

**INVESTIGATION INTO THE IMPLEMENTATION OF
PERFORMANCE MANAGEMENT SYSTEM IN THE
LESOTHO PUBLIC SERVICE**

BY

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DECLARATION

I, Mokhitli Peter Khoabane hereby declare that this dissertation submitted in partial fulfilment of MPA degree at the University of the Free State is a result of my independent research. Where assistance was sought and where other people's materials have been used, all these have been acknowledged. I further declare that this piece of work has never been submitted for a degree at any other faculty or university.

Signature

DEDICATION

To my wife 'M'alerotholi and son Lerotholi; my parents: 'M'amokhitli Khoabane, Nketse Khoabane who:

- Provided emotional support to start and complete this dissertation;
and
- Provided financial support and sacrificed their time while I was busy working on this research project.

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LIST OF ACRONYMS

DCI	Development Corporation Ireland
DFID	Department for International Development
EU	European Union
GoL	Government of Lesotho
GTZ	Germany Development Agency
IMF	International Monetary Fund
LCD	Lesotho Congress for Democracy
MDG	Millennium Development Goals
PRS	Poverty Reduction Strategy
PSIRP	Public Sector Improvement Reform Programme
RSA	Republic of South Africa
UK	United Kingdom

SUMMARY

This study adopted a qualitative research in investigating the implementation of a performance management system by the Lesotho's Ministry of Public Service. Recommendations made in this study are meant to indicate challenges and prospects for the Performance Management System Policy (PMSP).

In this study a sample of senior managers that were randomly selected from seven ministries responded to a questionnaire. The questionnaire entailed open ended questions to probe respondents to give their personal opinion on the current performance management system.

Focus group discussions were also held. The participants were randomly selected from the seven ministries mentioned above. These participants were asked to outline their expectations and experiences with regard to a performance management system adopted by the GoL.

The study tested the hypothesis that poor implementation of the PMS was a result of donors' pressure on Lesotho to put measures in the public service to ensure service delivery enhancement. This resulted in bypassing of basic principles of the PMS as guided by the strategic human resources theoretical foundation and therefore the PMS did not achieve the intended goals.

Generally, it was found that the current PMS has omitted some crucial parts in the implementation stage. For instance, employee performance based payment has never been in place. This led to de-motivated employees. Some ministries were also found not to have implemented the PMS and their main reason was that the employees' performance assessments were never used to inform decision around employees' related issues.

The study has recommended that those aspects of the PMS policy that have been omitted should be adopted if the GoL wants to achieve

significant goals with regard to the PMS. National priorities that inform employees' performance targets/ indicators should be available in time to allow both appraisers and appraisees to internalise those and align them with individual goals. The study also recommends a unit within the Ministry of Public Service that will coordinate the PMS activities in the line ministries.

Challenges to the current PMS were seen to include lack of political will and lack of legal basis of the PMS. It is therefore recommended that the GoL gives these issues a serious thought if the PMS is to attain the intended goals.

INVESTIGATION INTO THE IMPLEMENTATION OF PERFORMANCE MANAGEMENT SYSTEM IN THE LESOTHO PUBLIC SERVICE

1. INTRODUCTION

The Lesotho government (GoL) like its counterparts elsewhere in the world formulates and adopts policies to provide services to its nation. In the quest for an enhanced service delivery, the GoL adopted a performance management model as a way of ensuring that its employees achieve the set targets of the public sector. This was also done to give assurance to the GoL's donors that part of the aids and donations were taken seriously and are indeed used to transform the entire public service of the GoL. It is in light of these that this study intends to investigate the reasons of existence of the performance management system the GoL adopted in 2004/ 05.

The first part of this study covers the introduction which entails the background to the study and why the study is important. Also covered are the research problem; research questions; objectives and the methodology. The body of this study has three chapters. There is a chapter on the literature review. It attempts to define performance management concept as well as to give it the context of Lesotho. This in turn informs the study about the pillars of a performance management system. The other chapters explain the methodology used to collect data, analysing it and reporting it. The fourth chapter presents the research findings. The last chapter provides the conclusion and recommendations of the study.

1.1 BACKGROUND AND THE REASON FOR THE STUDY

Lesotho is a small country of about 30 000 sq metres. The GoL is a constitutional monarchy. The King serves in a ceremonial function

capacity and has no executive authority and is proscribed from actively participating in political initiatives.

Lesotho's economy is based on water and electricity sold to the Republic South of Africa (RSA), manufacturing, earnings from the Southern African Customs Union (SACU), agriculture, livestock, and to some extent earnings of labourers employed in the RSA. Lesotho also exports diamonds, wool and mohair. Lesotho is geographically surrounded by the RSA and economically integrated with it as well (Lesotho Budget Speech 2004/05, p11).

Lesotho receives economic aid from a variety of sources, including the United States of America (USA), the World Bank, Ireland, the United Kingdom (UK), the European Union (EU), Germany, and the People's Republic of China (Lesotho Economic Review 2004: 12) .

During the period 2002 to 2004, the GoL embarked on intensive consultations with its stakeholders in finding a solution to Lesotho's long period of starvation and poor public services. Donors that took part in these consultations included: the World Bank, International Monetary Fund (IMF), Department for International Development (DFID), Development Corporation of Ireland (DCI), European Union (EU) and Germany Development Agency (GTZ). The efforts culminated into the Poverty Reduction Strategy (PRS) in 2004 (MacDonald, 2004: 22).

1.1.1 POVERTY REDUCTION STRATEGY (PRS) - LESOTHO

This strategy has been a product of different donors' initiative to help Lesotho come out of her poverty and to enhance the public service delivery as a whole. According to the IMF Country report No. 06/159 of April 2006, the main challenges that have been picked up during

community consultations that contributed to impoverishment of the Basotho as a nation included:

- Government's neglect to community development and poverty reduction;
- weak link between government plans and the national budget;
- poor public service delivery; and
- unclear relationship between decentralisation and service delivery.

The intention of the PRS was therefore to revive the Lesotho's economy and stir it towards a poverty free nation by 2015. The PRS was implemented in the 2004/ 2005 fiscal year. The PRS had focused on HIV/AIDS as the first national challenge. The PRS also focuses on eight national priorities and these are as follows:

- Job creation;
- food security;
- governance;
- safety and security;
- infrastructure;
- health and social welfare;
- human resources development; and
- environment;

The PRS is also intended to contribute significantly to the attainment of the Millennium Development Goals (MDG) especially to goal 1 of the MDG which is; 'to eradicate poverty and hunger'. According to Flint (2005: 2), the global goal is to reduce the number of people living on less than a dollar a day by fifty percent in 2015.

From the priority areas mentioned above, the public service delivery and the development of human resources management of the PRS has also

been covered by the Public Service Improvement and Reform Programme (PSIRP) and the National Vision 2020. These common areas include;

- To create jobs through the establishment of an environment that facilitates private sector-led economic growth;
- to empower the poor and the vulnerable and improve their access to health care and education; and
- to deepen democracy and improve public sector performance.

1.2 CONCEPTUAL FRAMEWORK/ THEORETICAL FOUNDATIONS FOR THE STUDY

1.2.1 INTRODUCTION

This study is founded on certain theories on performance management concept. The paragraphs that follow discuss the framework within which the performance management has been conceived.

1.2.2 DEFINITION OF PERFORMANCE MANAGEMENT

Performance management concept entails a broad spectrum of issues that go into its definition. Platts (1995:80) defines a performance management as the understanding and acting on performance issues at each level of an organisation from individuals, teams and directorates and back to the organisation itself. This definition is to a certain extent vague since it does not specify the pillars it is referring to. However it is useful in referring to performance issues within an organisation.

On the other hand, Armstrong and Baron (2003:23) define a performance management as “concerning the strategic, integrated (vertical, functional, HR integration and integration of human needs), concerned with

performance improvement and concerned with development. The processes are embedded in the definition and can make it difficult to understand those and as a result the researcher felt there is a need to have a simple but a precise definition.

Neely (1998: 12) sees a performance management as a process that involves performance measurement, systems and processes. It entails managing people and the way people within an organisation operate and work together. This definition does not make a mention of linking objectives to the strategic plan of an organisation hence the researcher pursued further to find a definition that would encapsulate attributes of the performance management system.

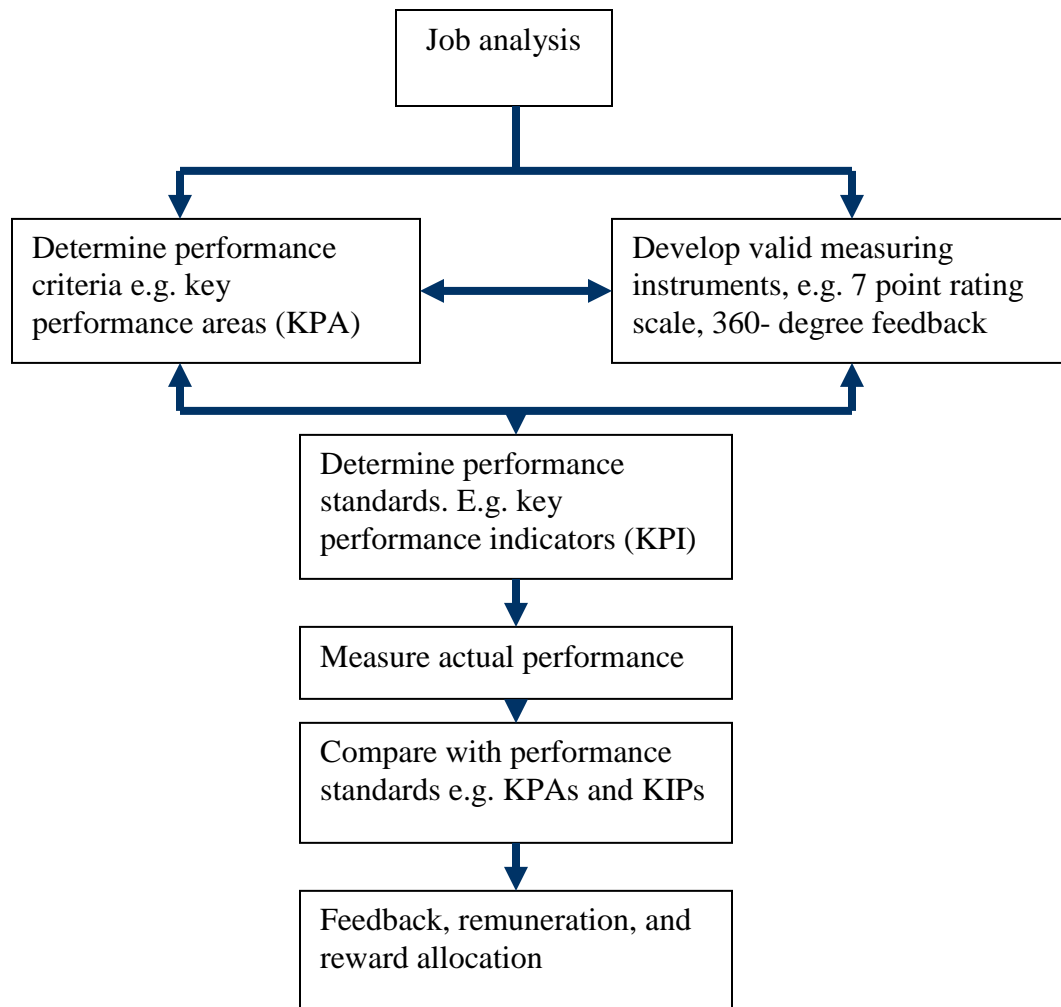
Bititci, **et_ al.** (1997: 522) define a performance management as a collection of activities including the setting of objectives or strategies; identification of action plans/ decision making; execution of action plans and the assessment of achieved objectives or strategies; provision of training and development; and rewarding best performance and punishing least performance. This definition seems to encompass basic attributes of a performance management. It was therefore adopted for the purpose of this study. This is mainly because it has all the necessary facets that define performance management in terms of the strategic human resources performance planning. This entails performance evaluation; provision of the performance feedback to the employees and rewarding employees' performance. These attributes and processes confirm the fact that performance management is broad and involves a lot of activities that impinge on staff motivation and organisational efficiency and effectiveness.

Although this study is primarily descriptive, it cannot purport not to have been based on any theory. Various theories have informed this study but

the major basis is the strategic human resources performance management theory. This was further combined with the operations control models. Other theories that support the stance of the study include the national culture and the institutional behaviour/ culture. These have been used to understand the performance management systems within public services (Modell 2001: 445).

As Smit and Cronje (2002: 251) argued that employee's culture influences the way an individual employee would perform especially if the superior differs from him/ her culturally. For instance, if an officer does not believe in abortion and the government has legalised it, the concerned employee would find it difficult to execute the abortion related duties. The summary of the strategic human resources performance management model that has informed this study is presented below.

Diagram 1.1 The strategic human resources performance management process



Source: Smit and Cronje, 2007: p 401

In summary, the model seeks to achieve management control over the work and ultimate results that come as a result of utilising the human resources in an organisation. Then for effective and efficient organisations, performance should be measured and the performance patterns should be discussed by all employees to determine employees' strengths and weaknesses. The end result for this activity or process is to reward performance with the intention of enhancing motivation of employees.

The notion that governments' institutions provide social goods and services without focusing on the profits, has given employees within these institutions a reason for not excelling in their work (Olson: 1999:8). For example, the fact that public officers are not paid like their counterparts in the private sector, this alone provides a sphere where public officials do not see the importance of being appraised more so if there are no monetary rewards attached thereto.

Another approach which this study is based on is the political culture. Political culture asserts that the performance behaviour of public servants is influenced by the way they perceive themselves within the entire polity (Gough 1999: 55). Lesotho had just gone for its fourth general elections after the military rule (1986- 1994) in February 2007. In this general election the ruling party, Lesotho Congress for Democracy (LCD) lost the election in all the constituencies in the capital town- Maseru. It was alleged that the majority of the people residing in these areas are public servants. If this is true therefore, it means that they do not support the ideology of the ruling party as a result it becomes difficult for them to genuinely execute and implement the manifesto of the ruling party- LCD. This difference of political viewpoints hinder smooth implementation of policies even if they come with certain advantages like it has been the case with the performance appraisal system put in place by the GoL in 2004.

The equity theory of motivation has also informed this study. According to Robbins (2002: 141), in any organisation, an individual employee perceives a relationship between the reward he or she receives and his or her performance. For example, an employee expects to be rewarded the same way as another employee that she or he regard as being equal in terms of the position for the same tasks they carry out. Therefore in this

study, it is anticipated that if an employee of the GoL cannot equate his/ her performance with the rewards given, then such employees would become de- motivated.

Another theory that formed the basis of this study is the expectancy theory model. It purports that employees will tend to act according to their perceptions that their work efforts will results into certain performances and outcomes and secondly by how much they value the outcomes (Smit and Cronje, 2002: 356). This theory further suggests that employee motivation to perform is largely based on the expectancy and instrumentality.

Expectancy is an effort- performance relationship. Individual employee believes that after putting in a particular level of an effort, the same equal level of output or performance would be attained at the end (Handler **et_** **al.** 2001: 45).

Instrumentality refers to the performance reward relationship. According to Malcom (1999: 45), most employees believe that certain level of performance will attract certain bonuses and desired outcomes. For example, an accountant would want to account for every cent in his/ her budget and if he/ she achieve this, the expectation is that she/ he would get a reward for such an outstanding performance.

Another perception is that self- rating or self appraisal's utility as a form of performance evaluation is important because it provides an environment where employee feels he/ she is part of the process and thus reduces defensiveness and allows employees to accept their training shortfalls (Weiner, 2000: 8). The self- rating is also able to remove the halo effect that the supervisor rating had. According to Meyer (1997: 45), in most African states the relationships between employees and supervisors have

mostly been based on favouritism not objectivity. Therefore the self- rating enables the objective appraisal to prevail in both the private and the public sectors. Nevertheless, employees could also try to defeat the system by being dishonest about their performance.

As McEnergy **et al.** (2004: 55) had argued, self- rating could obscure real employee training needs since employees could tend to hide their performance shortfalls. Based on the foregoing, it could be expected that all public officials in Lesotho would appreciate the system and rate themselves against the targets they had set for themselves. However as Taylor (1992: 599) points out, if the system does not have either positive or negative rewards for best achievers and least performers respectively, then employees would loose interest on the appraisal system in place.

Attribution theory also shed some light into the investigation of this study. According to Zacharakis **et al.** (1994: 10), employee's behaviour is a combination of internal factors (for example ability or effort) and external factors (for example, luck or task difficulty). Employees perceive their behaviour as having impact on their subsequent behaviour. For example, if an employee is promoted and she/ he perceives promotion as a result of hard work, the likelihood is that she/ he will put more effort to deserve more promotions (Prepenko, 1998:99).

Central to attribution theory and more relevant to this study is the fundamental attribution error and the self- rating bias (Rogoff **et al.** 2004:371). According to this theory, employees commit fundamental error when they over- estimate the influence of internal factors and under- estimate the influence of the external factors when interpreting the behaviours of other people. In performance appraisal, the theory predicts that supervisors tend to attribute unsatisfactory performance of employees to internal factors (that employees lack ability and capacity) while their

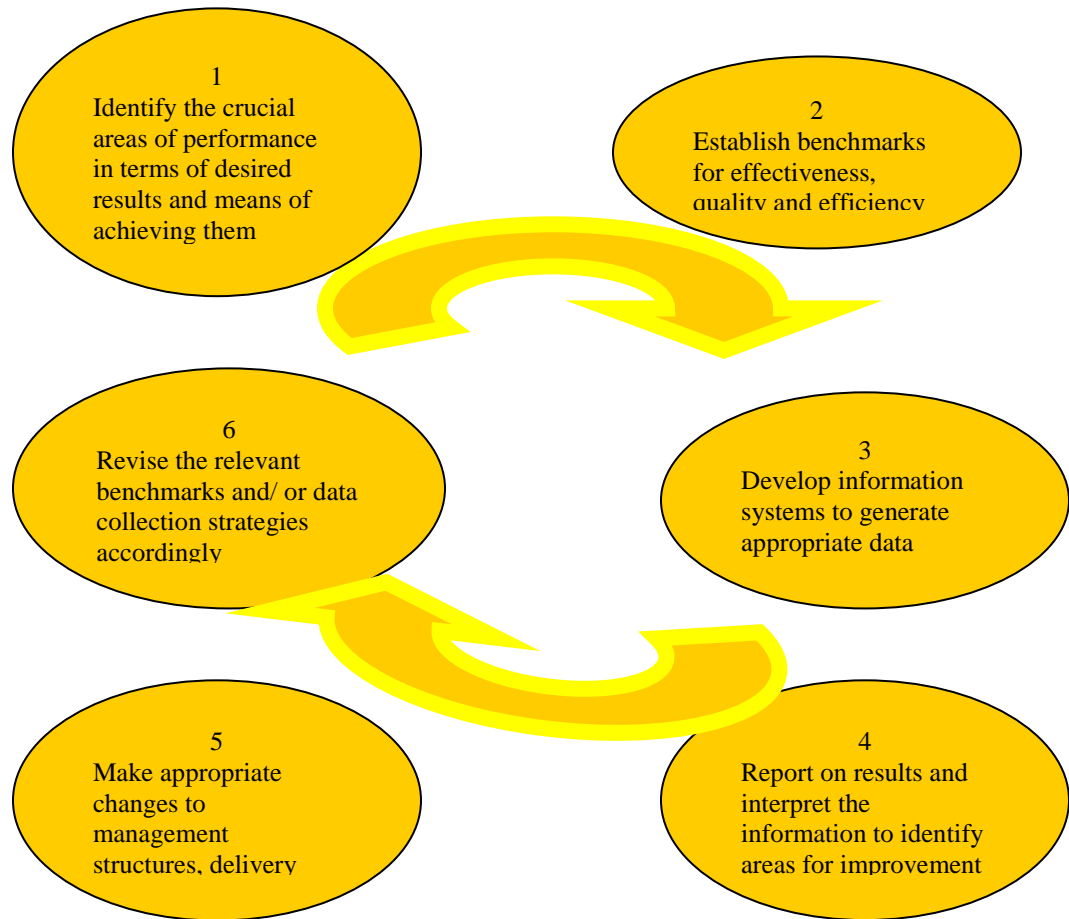
own (supervisors) unsatisfactory performance is blamed on external factors (unclear scope of work; work difficulty) (Gatewood, 1995:380). For this study it is expected that employees would attribute their poor performance on external factors such as motivation and rewards. For performance management system to succeed in Lesotho, the GoL should attach sanctions to its performance management system.

1.2.2 SUMMARY

For performance management system to be successful, it must go through certain interrelated activities which ultimately form a cycle of processes (Kennelly and Bourne, 2003: 33). The cycle allows organisations' performance management system to continuously improve the way goods and services are offered. The performance management cycle has six stages (Kennelly and Bourne, 2003: 34). These are: Identification of crucial areas of performance; establishment of benchmarks for achieving the specialised outcomes as effectively and efficiently as possible; development of information system to generate the appropriate data; reporting of the results and interpretation of performance information to identify areas for improvement; making appropriate changes to management and operations; and revision of the relevant benchmarks accordingly.

Figure 2.2 below summarises the interrelationships of processes in the performance management system. For performance management to deliver the expected goals constant revisiting of the strategies, communication and feedback is vital.

Figure 1.2 PERFORMANCE MANAGEMENT PROCESSES INTERRELATIONSHIPS



Source: Marchand **et al.** (2001: 4)

Performance management cycle helps and encourages managers to actively question relevance of particular activities and the need to continue with a given set of responsibilities or modes of operating. It is important therefore for a performance management system to encapsulate and to

utilise the strategy of performance management cycle to be able to determine well ahead of time when certain processes are not responding to the set targets. This would make organisations in the public sector as a whole to minimise the costs of pursuing activities that are not aligned to the organisational strategies. Furthermore, the cycle paves way for proper implementation of action plans. This as a result provides performance information with regard to outcomes and outputs, corporate planning and balanced scorecard.

1.3 PROBLEM STATEMENT

The Lesotho's Poverty Reduction Strategy (PRS) and the Public Sector Improvement Reform Programme (PSIRP) were a result of donor driven initiatives in assisting Lesotho to eradicate poverty and to enhance public service delivery. According to the Department for International Development (DFID) report (2004: 5), the PRS and PSIRP were recommended by the World Bank and International Monetary Fund (IMF) as well as other donors that include; DFID, Development Corporation of Ireland (DCI), European Union (EU) and German Development Agency-GTZ. Adoption of the PRS and the PSIRP would be a requirement for further funding from the donors mentioned above.

This being the case, since the performance management system adopted by the GoL is part of the PRS then the PMS adopted had been prematurely implemented to run away from the criticisms of the donor community that might lead to stoppage for further funding. This premature implementation had the following implications:

- The Lesotho's performance management system policy was not implemented with all its aspects and strategies due to the fact that the GoL's Public Service had not prepared itself administratively and financially. This has left the unimplemented aspects

(performance based payment; departmental activity based plans; training, coaching and mentorship) out of the current performance management system after the adoption of the PMS policy in 2004.

- The performance targets for the entire public sector including the performance appraisals were not based on the national strategies, i.e. either the PRS or vision 2020 as an example.
- Performance targets were left to be developed by individual employees as a result performance targets deviated from the national goals and priorities.
- The challenge mentioned above, led to performance disputes between the appraisees and the appraisers.
- The outcome of the performance evaluation did not recognise best performing public servants by rewarding such performance and did not punish employees that performed below the expectation as a result de-motivated employees because in terms of salaries increments every civil servant got the same increase.

The GoL did not give itself ample time to prepare for the implementation of the performance management system it adopted in 2004/ 2005 financial year. As Smit and Cronje (2002: 328) indicated, a performance management system is not an easy task to deal with. Both the appraiser and the appraisee should be conversant with different models and how each model is utilized. The performance indicators and targets should be set collectively by departments and units within a ministry. Peel (1998:71) confirms the above claim and further argued that agreed targets should

then be translated into activities that each individual employee could handle and perform on daily business of the ministry.

The main problem of the performance management adopted by the GoL is that it lacked a link to the PRS and PSIRP. This therefore made it short-lived. The system presented limited benefits if at all any. It failed to recognise the best performers in the public service hence those best performing officials became de-motivated. The GoL put a halt onto the PMS in 2006/2007 financial year with the aim of improving on it (Thahane, 2006: 34). This study will therefore contribute to the review of the performance management system the GoL should adopt. The study is therefore important in that it will contribute and guide proper implementation of the performance management system through finding answers to the research questions below.

1.4 RESEARCH QUESTIONS

In this study, the main question that needs to be answered is how was performance management system implemented in the public sector? Again had the performance management adopted by the GoL been based on the national vision 2020, Poverty Reduction Strategy (PRS) or the Public Sector Improvement Reform Programme (PSIRP)? More research questions are as follows:

- Has the implementation of a performance management system followed the guidelines of the policy document and has it shown evidence of significant impact in enhancing the achievement of the public sector's goals?
- Was the performance measurement system adopted by the GoL integrated with other programmes such as the financial management?

- Can the GoL in general and the Ministry of Public Service in particular manage to follow the principles of the performance management system in order to improve the service delivery in terms of administration and attainment of the goals of the PRS and PSIRP?
- What will be required for the GoL to practice the performance management system as defined in the GoL's policy?

1.5 HYPOTHESIS

The main hypothesis in this study is that poor implementation of the performance management system of the Lesotho Government leads to non-achievement of the Poverty Reduction Strategy (PRS) [enhancement of service delivery; training and development and employee retention] goals adopted by the Public Service. Other sub-hypotheses are as follows:

- Lack of training on the development of performance indicators on the part of appraisers and appraisees leads to immeasurable targets/ goals/ outcomes or patterns;
- lack of performance based payment/ reward de-motivates employees; and
- employees' training and promotion are based on the employee performance respectively.

1.6 AIM AND OBJECTIVES OF THE STUDY

The main aim of this study is to investigate the implementation of performance management system in the Lesotho's public service. This is done with the purpose of establishing challenges and prospects the

system has in enhancing public service delivery. In pursuing this goal, the researcher will establish the following:

- Whether the PDMP has been adopted as stated in the policy document.
- Whether there is any link between poverty reduction strategies (PRS/ PSIRP) that are meant to enhance the public service delivery in Lesotho.

1.7 RESEARCH METHODOLOGY

The methodology utilized for the purpose of this study was a combination of a qualitative research, descriptive research, desk top research and an appreciative inquiry approach. This explored the implementation and described the understanding; expectations and experiences of Lesotho's public servants in relation to the performance management system.

1.7.1 QUALITATIVE RESEARCH

Qualitative research is vital in gathering data from the civil servants through the use of interviews (Eisner 1991: 13). The researcher conducted group interviews and also administered a questionnaire. These two strategies were used to gather evidence from the public service officials.

1.7.2 DESK TOP RESEARCH

Desk top research is ideal for retrieving and gathering all relevant secondary data in the form of documentation available covering all the aspects of the concept of performance management system and its

models (Bartol, 1999: 333). This informed the study about available possible strategies that could be ideal for responding to the research questions.

1.7.3 APPRECIATIVE INQUIRY

According to Watkins and Mohr's (2001:14) appreciative inquiry is a curious mixture of old and new paradigm approaches to organisational change. It utilises group interviews because people tend to provide the truth about an issue being discussed so this in turn provides reliable information. The underlying principles can be very empowering and energising but some of its implementation can also be suitable for 'change management'. Suggestions on how to develop performance management systems could also be derived from these interviews. An appreciative enquiry enabled the researcher to interact closely with the interviewees in a group and to find out more on how interviewees perceived the performance management phenomenon (Okang 2002: 24).

1.7.4 SAMPLING

The researcher utilised an empirical study. Questionnaires were administered to senior management (Principal Secretaries (PS); Deputy Principal Secretaries (DPS); Chief Executive Officers (CEOs); Directors and Head of Departments (HoDs)) in the civil service. Furthermore, group interviews were held and these focused on gathering responses from the junior officers. This provided the researcher with rich data because the data collected was cross checked between these two set of respondents.

Out of eighteen GoL' ministries, seven ministries were selected to take part in the study. This was about forty percent (40%) of the total ministries. The forty percent representation of the ministries gave the

researcher a true basis for analysis and the findings would be generalised and inferred with less risk of misrepresentation of the civil service. Both the questionnaire respondents and the group interview participants were selected from these ministries.

Four respondents from each ministry selected were randomly selected to respond to the questionnaire. Therefore the twenty eight senior managers were targeted to respond to the study's questionnaire.

For the group interviews, four participants were again selected randomly from the junior officers in the public service.

1.7.5 DATA COLLECTION

In this study, both the literature study and empirical study were utilised to gain insight into the performance management system.

1.7.6 LITERATURE REVIEW

This involved an extensive review and study of relevant sources on the effectiveness of a performance management system. The focus was on the strategic human resource performance management within an institution. This also provided a conceptual and theoretical background from which the study has been based.

The researcher also studied the Lesotho's 2004 Performance and Development Management Policy (PDMP). This provided as insight regarding the basis of the PDMP. This policy later formed the basis from which the study's conclusions would be made.

1.7.7 EMPIRICAL STUDY

Questionnaires and group interviews were administered to unpack the reasons for the performance management system adopted by the GoL. Views of public officials on whether the performance management system adopted served its intended goals were sought. A group interview comprising twenty- three (28) public servants was be carried out.

Twenty eight (28) public officials were also targeted to respond to the study's questionnaire. Questionnaires have an advantage of giving respondents freedom to give true information. However on the other side, responses could also be vague and difficult to interpret. In this case face to face interviews were used to probe further into such vague responses that arose from the questionnaires.

1.7.8 DATA INTERPRETATION AND ANALYSIS OF FINDINGS

Data obtained from questionnaires and interviews was exploratory in nature or descriptive (Bailey: 1991: 153). This data was summarised in the following forms: charts; tables; percentages and averages.

1.8 KEY CONCEPTS/ PHRASES

A number of concepts and phrases used in this study are as follows; Strategic plan; performance management; performance preview; performance measurement; performance assessment; performance objectives; performance targets/ goals; performance competencies; public service delivery; service culture/ excellence; performance goals; performance indicators; action plan/ performance plan; performance appraisals/ evaluation; resource utilization and optimization; job descriptions; competitive advantage; employee rating; balanced score card; restructuring.

1.9 STUDY OUTLINE

The rubric outline of the study is discussed below.

1.9.1 Introduction.

This part begins by explaining the rationale for the study and carries the background; a statement of the aims and objectives. The research question and the methodology used are also dwelled on. The theoretical foundation for this study forms part of this section. The delimitation of this study is also given.

1.9.2 Performance management system.

This section unpacks the concept of performance management system. It looks into the principles of the performance management systems in relation to the strategic plan of an organisation. It also highlights the procedure in implementing an ideal performance management system. Along all these, the performance management system literature will be compared with the research findings in order to make a judgment of the Lesotho's performance management system.

1.9.3 Research Methodology. This part explains the methodology used in this study. It explains and describes the steps that taken to gather data from the government's ministries.

1.9.4 Kingdom of Lesotho- Performance Management and Development Policy. This chapter highlights the current practices of the Kingdom of Lesotho's performance management system as conceived in the 2004 Performance and Development management policy.

1.9.5 Presentation of findings. This part displays the findings and interprets data from the group interviews and questionnaires.

1.9.6 Conclusion and recommendations. This part concentrates on the findings, summary, conclusion and recommendations based on the findings from the literature and empirical investigation.

1.10 TIMEFRAME FOR THE STUDY

This study commenced in August 2007. An initial plan had to shift due to departmental procedures that are done before approving the research topic. The researcher developed a plan of action which would be followed from the commencement to the completion of this study. The different activities were planned as follows:

February 2008	Submit the proposal
March 2008	Amend the proposal. Submit rubric 2- Literature review
June 2008	Submit research methodology rubric 3 Chapter 3 amendment and re-submitting
July 2008	Data collection and data analysis. Rubric 4 amendment and re- submitting Chapter 5 conclusion and Recommendations
August 2008	Submit first draft

September 2008 Submit second draft
Work on the suggestions from the supervisor

October 2008 Final draft and hand in.
Binding and submission of the final copy.

1.11 Conclusion

The introduction, the statement of the problem, the aim of the study, the methodology and the outline of the study formed the basis of the overall research programme. There was a possibility that some aspects as initially formulated could change. The chapter that follows focuses on the grounding perspective on performance management system.

CHAPTER TWO

PERFORMANCE MANAGEMENT

2.1 INTRODUCTION

As public institutions strive to meet societal needs and provide quality services, the responsibility of the management is to direct and focus the human resource activities towards the achievement of the organisational vision, in a collective and cost – effective manner. The co - existence of the task function and the personnel function within an organisation implies a 'symbiotic' relationship (Chimka, 2007: 12). This unique relationship dictates harmonization of these functions if optimal performance is to be achieved and sustained. As Cronje (2007: 99) argues, performance management as an instrument for controlling the human resource needs to be systematically planned, organised, monitored and controlled in order to ensure effective and efficient achievement of identified objectives.

Bititci **et_ al.** (1997: 522) defines performance management as a collection of activities including the setting of objectives or strategies; identification of action plans, decision making; execution of action plans and the assessment of achieved objectives or strategies. From this definition it is clear that performance management entails a broad spectrum of activities which the management should implement for the effective and efficient achievement of the organisational goals.

Salerno (1999: 56) also confirms these attributes and argues that performance management needs to be aligned with strategic planning and that it has a pertinent focus on communication, motivation, and evaluation. The first implication of this definition is that performance management should be guided by organisational strategy and proper management of

such strategies. The strategic planning spells out the goals and means that will be utilised by the organisation in achieving its goals. Therefore it means that the activities and processes should be evaluated to ensure that their contents are still valid and the correct type of set goals is pursued.

Secondly, the other implication from the definition is that communication is important in conveying the strategies, objectives, performance benchmarks and performance feedback. Employees need to share and have a common understanding of the vision, mission and goals of the organisation. Furthermore there is a need to provide information on performance areas to avoid duplication of efforts that could occur if communication is not utilised across the organisation.

Thirdly, a performance management system should have an aspect of an evaluation and reward of performance behaviour in order to motivate employees, teams and the organisation as a whole to focus on the organisational strategic plan. This would also motivate the employees to align their goals and to make decisions which are parallel as well as consistent with the organisational goals.

Lastly the performance feedback that comes as a result of an evaluation provides a reflection of the performance pattern of an employee and as a result employees engage in improvement of their skills through training and learning. These attributes and processes confirm the fact that performance management is broad and involves a variety of activities that impinge on staff motivation, organisational efficiency and effectiveness. In the discussion that follows each implication mentioned above will be unpacked in terms of their features, processes and how those relate to a performance management system. According to Sprinkle (2003:78), research has suggested that performance management should be done

with the intention of enforcing the organisational strategies. By so doing it makes performance management different from a mere accounting system because strategies give performance evaluation a point of reference from which an evaluation can be based on. But the foremost factor in adopting a performance management system in an organisation is the political will.

2.2 POLITICAL WILL

Political culture asserts that the performance behaviour of public servants is influenced by the way they perceive themselves within the entire polity (Gough 1999: 55). It seems that political will forms the basis from which organisations could be persuaded into implementing a performance evaluation. The presence of collective agreement, commitment and leadership at the top is insufficient if the ideologies and perceptions of politicians and career public servants on performance management are not harmonized. In adopting a performance management system, top management should have political support and ownership (Ray, 2006: 212). Once there is a political will, it may be easy to implement the performance management system effectively.

As argued by Bourne **et al.** (2002: 111) and Kadurinen (2002: 33), it is important to approach the implementation of performance management from a change management perspective. However, for the performance management to succeed, clear agreements, strategies, goals, targets and performance measurement should be clearly stipulated to avoid the collapse of the system at a later stage. Consistent consultation and flow of information between political office bearers and top management are essential elements of successful performance management systems. Furthermore, accountability is important in implementing a successful

performance management system (Wilson, 2000: 23). This can be done through the maintenance of a performance culture.

2.3 PERFORMANCE CULTURE

One of the difficult issues with regard to performance measurement and management is developing a culture that accepts performance measurement as a tool to help the organisation improve on its service delivery (Lester, 2004:55). Performance culture should be instilled by leaders though being exemplary to the employees. This culture is depended on the ability of the leaders to demonstrate and communicate clearly the targets and objectives that need to be achieved. Edward (2000: 3) perceives effective leadership as being central in ensuring or transforming organisations into a performance culture. It is therefore important for managers to lead by examples. This entails making sure that the job expectations; organisational goals and departmental goals are understood by all employees. The possible way of ensuring that there is a common understanding of organisational goals and performance consistency is through an executive pressure.

2.4 EXECUTIVE PRESSURE

A transformational leader, is visionary, motivates colleagues through a collaborative planning, communication of goals, monitoring and feedback on the performance achievements. As Edward (2000: 3) argues, effective leadership is central in ensuring or transforming organisations into a performance culture. Sharif, (2002: 70) affirms this when he points out that the 'push or drive' of top managers is central to the attainment of departmental goals within an organisation. The implication of this is that as the management performs its tasks, it should be able to guide, motivate, mould and nurture employees in order to ensure pinnacle performance and a sustainable performance culture.

Failure to exert executive pressure could lead to the organisation performing below the expected standards. Lester, (2004: 55) confirms this when he indicates that one of the challenges with regard to performance measurement management is developing a culture that accepts performance measurement as a tool which enhances quality service delivery. The responsibility of the management is therefore to motivate and challenge the employees to perform their tasks diligently by setting time bound goals which can be monitored and evaluated for their effective and efficient achievement. However the management cannot exert performance pressure on employees without providing performance orientation to all the employees.

2.5 PERFORMANCE ORIENTATION

For the employees to achieve their tasks effectively, all the information regarding the expected standards of performance should be communicated. Knowledge of the job processes and the needs of the customers could be enhanced through relevant orientation (Woodall, 1999: 221). Such information may help employees to know where their responsibilities fit and relate to those of others within the organisational structure. Education and training may be required to equip employees with the knowledge and the skills so as to cope with the demands of their responsibility. As Matlosa, (2001: 12) adds, that in most instances civil servants attend training that is intended to equip them with the necessary skills for the newly assumed responsibilities. Clearly, orientation regarding one's responsibility is very important for organisational performance as this enhances accountability and timely achievement of strategic objectives.

2.6 STRATEGIC PLANNING

The main concern when examining an organisation's total effectiveness is determining the extent to which it attains its mission and goals (Cronje **et**

al. 2007: 402). Since strategic planning involves the management of implementation and challenging assumptions made earlier about performance standards, it is important to evaluate employee's performance against organisation organisational goals (Simons, 1999: 76). The average performance of employees is directly proportional to the organisational performance. The underlying argument is that performance management systems have failed in many organisations because they have not been linked to the strategic plan of an organisation (Robbins, 2002: 213). As observed by Chaole (1999:12) that in certain instances it may be found that most employees' performance appraisal reports reflect excellent achievers, but that this trend seems not to be translated into the quality of the public service delivery as a whole. It seems as if for the effective performance management, the strategic objectives should be accurately translated into observable and measurable activities. These should then be communicated to all employees.

2.7 COMMUNICATION

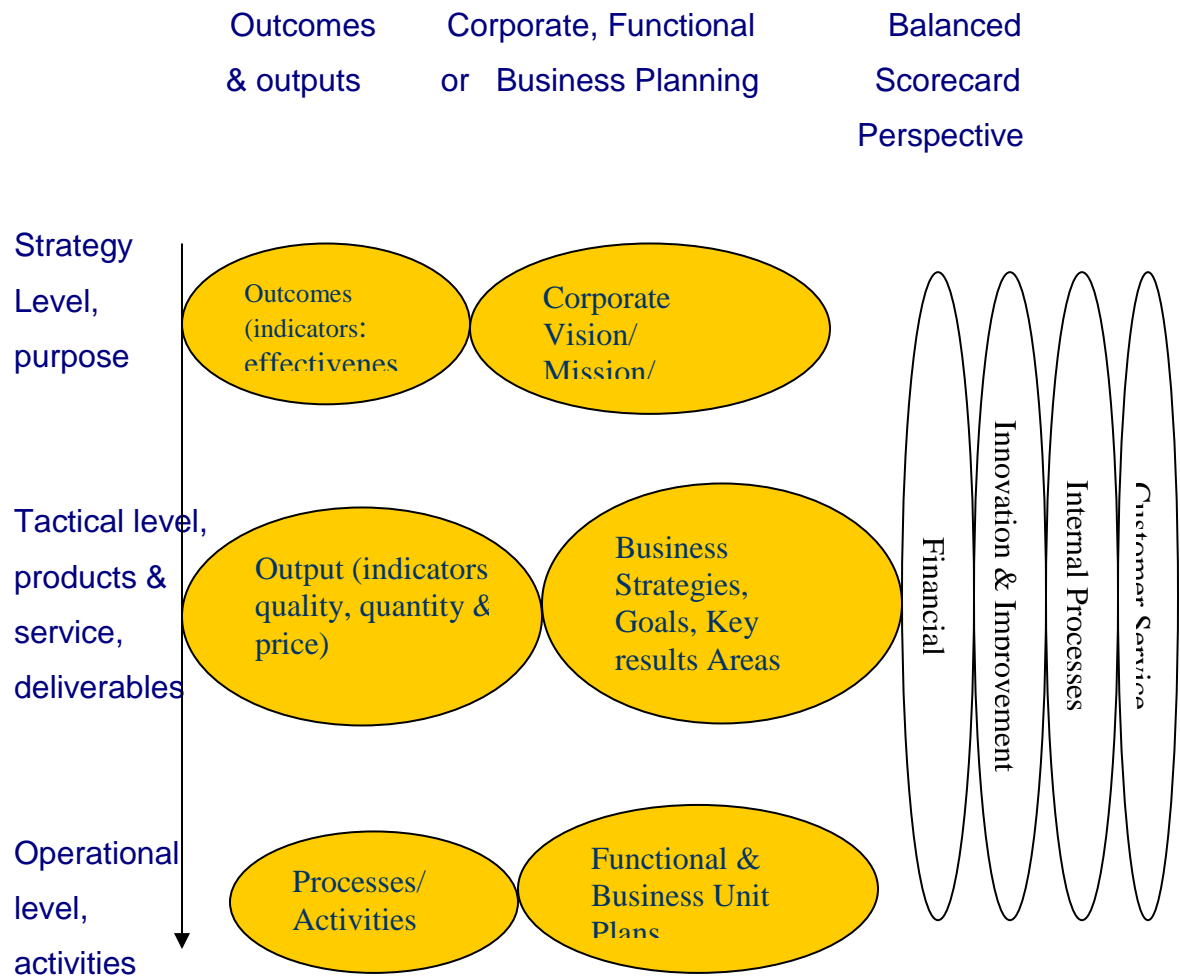
Blenkinsop and Salerno (1999: 102) argue that communication plays a major role in any organisation. This provides information regarding an environment in which employees operate. Organisational expectations, employee performance feedback and performance standards or benchmarking should be made known to every stakeholder within the organisation. In implementing a performance management system, interaction is inevitable (Neely, 1998: 55; Kaplan and Norton, 2001: 52). This implies therefore that the success of the performance management system depends on an intensive communication for the purpose of informing both the employers and employees of the expectations and challenges met during the execution of their activities. This also provides an environment in which interim remedial measures could be approved to support smooth operations by all the stakeholders within the organisation. It is also essential for managers to communicate performance information

which is detailed in relation to what the employees should expect to know about their performance management.

2.8 PERFORMANCE INFORMATION

Performance information relates to the provision of performance achievements from time to time in terms of outputs or outcomes that have been based on the strategic planning (Christopher, Hoenig and Dodaro, 2000: 70). Outcomes and outputs frameworks also relate to the corporate planning and balanced scorecard. According to Kaplan (2004: 77) the outcome and output approach is concerned with aligning organisational strategy and its operations so that they are consistent with the overall purpose of the organisation. This implies that the outcomes and outputs approach has a strong focus on performance measurement in terms of effectiveness of outcomes. On the other hand corporate planning helps organisations to identify key results areas and outcomes that have been targeted by the organisation.

Figure 2.1 below shows the elements of performance information from all the levels in the organisation from four perspectives namely; customers, internal process, innovation and financial performance.



Source: Wisniewski (2001: 5)

It seems that for a performance management system to be effective, implementers should be conscious of the fact that performance information plays a major role in outlining the processes and their interrelatedness. Moreover, effectiveness of performance management does not only depend on the awareness of processes involved, it is also important to understand each level and as a result be able to execute such levels correctly. As confirmed by Speckbacher, Bischof and Pfeiffer

(2003: 371), failure to provide performance information limits the effectiveness of the performance management system. Even if implementers and employees are aware of the processes they must perform, if they do not understand the performance processes involved, that particular performance management system is bound to fail. As a result it becomes important to periodically measure and evaluate the performance of each employee to determine the level of his/ her understanding of his/ her job. Proper use of performance information depends on whether both the employer and the employee understand the performance management process.

2.9 PERFORMANCE MANAGEMENT PROCESS

Performance management entails numerous processes that managers and subordinates need to be aware of. Rouda and Kusy (1995: 1) and Lewis (2001:33) identify the three main pillars in developing a performance management system. These are; needs assessment; aligning organisational goals with human resources capabilities; and employee performance evaluation. Therefore this implies that the entire organisation has to engage into a feasibility study from which the strengths and weaknesses of an organisation can be studied. This would provide information about the needs of an organisation in terms of enhancing its performance.

2.9.1 NEEDS ASSESSMENT

Needs assessment provides the decision makers with the information on performance areas that need attention within an organisation. In carrying out the needs assessment, Lewis (2001: 41) identifies four steps, namely; gap analysis; identification of priorities and importance; identification of causes of performance problems or opportunities; and identification of possible solutions and growth opportunities. Upon the completion of this

exercise decision makers would be in a position to identify performance gaps that need to be filled if the organisation is to perform optimally.

2.9.1.1 PERFORMANCE GAP ANALYSIS

The first step in developing an organisational performance management system is to perform a 'gap' analysis. Rouda and Kusy (1995: 1) and Thorn (2006: 55) regard a performance gap analysis as the stage that involves the actual checking of the performance of organisations and their human resources against the set organisation's goals and performance standards. In determining all these, the current situation needs to be established. The current organisational goals, climate and internal and external constraints should be examined in order to have a benchmark of attainment of organisational performance base for the purpose of future reference. On the other hand, the current state of skills, knowledge and abilities of serving and future employees should be audited.

The second step is to identify the desired organisational status. This entails the identification of the necessary conditions for organisational and personal success. This analysis focuses on the job tasks or standards as well as the skills, knowledge and abilities needed to accomplish tasks and standards successfully (Kusy, 1995: 2 and Thulo, 2002: 12). This implies that it is important to identify critical tasks necessary not just to observe the current practices. Furthermore, the management needs to make a distinction between actual needs and perceived needs or wants must be made to determine the course of action for the implementation of the performance management system. But the most important aspect is to ensure that all the endeavours are aligned to the performance priorities.

2.9.1.2 IDENTIFICATION OF PERFORMANCE PRIORITIES

The desired situation mentioned above leads to the identification of numerous needs for training and development, career development, organisational development and other interventions (Armstrong 1995: 221 and Macgregor, 2002: 73). In this stage, these needs are examined in view of their importance to the organisational goals, realities and constraints. As Barrett (2004: 10) agrees, there is a need to establish whether the identified needs are real and whether they are worth addressing. There is also a need to specify the importance and urgency of these needs in the light of the organisational goals and requirements in terms of the cost effectiveness of the performance management system.

2.9.1.3 COST EFFECTIVENESS

Cost effectiveness refers to the relation between the costs of the problem in comparison with the cost of implementing a solution (Anderson, 2000:283). An organisation needs to conduct a cost benefit analysis in order to determine whether the proposed solution would be beneficial for the organisational performance. As Barrett (2004: 12), assets, the expenditure of an organisation in developing a performance management system must bring benefits that contribute positively to the attainment of effective and efficient as well as quality service delivery. The investment in the performance management system must develop a strong team spirit among employees that are characterised by competition in pursuing the organisational goals. However to avoid legal battles that may arise as a result of sanctions adopted after performance evaluation, there is need for regulating the performance management system through legal mandates.

2.9.1.4 LEGAL MANDATES

Certain mal-practices in performance management are due to the lack of adherence to the regulatory compliance (West, 2001:22). For example, for financial activities, regulatory compliance is central during the execution of duties. Proper adherence to the budget is procedural and the employees must comply otherwise the organisation might experience deficits that could impinge on organisational effectiveness and efficiency as well as on the staff development. According to Amaratunga (2000: 263), an organisation should acquire certain technological appliances to enhance employee effectiveness especially those promoting regulatory aspects of their jobs. This is important because proper machinery and other tools are central to the competitive advantage of an organisation. Since contemporary organisations operate in the era of technology, improved tools and proper utilisation of these translates into quality services and these services can be achieved in shorter spaces of time. It is important therefore for organisations to ensure that there are binding regulations to ensure that all employees are treated equally for performances. In achieving this, organisations would be satisfying its population.

2.9.1.5 POPULATION

Every organisation has both internal and external actors (Morison 2001: 23). The crucial point here is to involve every stakeholder in determining the solution of the problems identified in the gap analysis stage. It is important to have the support of all key people in addressing the problems associated with poor performance of an organisation. Organisational employees represent the internal population while the members of the public served by the organisation form the external population.

As it was established by Peel (1993: 154) and Sun (2002: 19), it is not possible to develop performance areas without knowing what the

population being served wants from the public sector or an organisation. Therefore it is important to know exactly the kind of services the members of the public expects from the system.

On the part of the employees, the standards proposed must be accepted and be achievable. For example in developing tasks, employees must have their inputs considered before being ordered to perform those. Sewell (2003: 7) regards the organisational culture as being the key issue in implementing the performance management system. If employees have positive attitude towards quality service delivery, then it becomes easy to adopt a performance management system. But before the system can fully attain its goals, it is necessary to establish causes of performance problems and challenges.

2.9.2 IDENTIFICATION OF CAUSES OF PERFORMANCE PROBLEMS OR OPPORTUNITIES

According to McAfee and Champagne (1993: 213) and Basin (2002: 202), it is important to identify the causes of poor performance and possible opportunities if the performance is to improve. This can be done by establishing whether employees are doing their jobs effectively. This calls for the investigation and analysis of employees, their jobs, and the organisation as a whole.

The structural problems must be looked into and determine how much it supports the achievement of goals or vice versa. Van Aardt (2000: 153) argues that no matter how capable an organisations' human resources can be, poor structural designs of departments can defeat the organisational goals and result in poor service delivery. The establishment of departments must be derived from the strategic plan of an organisation. Clear job descriptions enhance effective execution of employees' tasks. Therefore, all aspects of organisational goals must be

entrenched in the individual jobs and any activity that does not pursue the organisational goals must be discarded from the activities of individual employee. Organisations should therefore identify possible solutions and growth opportunities if they want to overcome their performance challenges.

2.9.3 IDENTIFICATION OF POSSIBLE SOLUTIONS AND GROWTH OPPORTUNITIES

Natale *et al.* (1995: 8) and Rubben (2001:29) contend that if employees are doing their jobs effectively; perhaps there should be no need to intervene. However some training and other interventions could be needed if the organisation wants to maintain its standard in terms of effectiveness and efficiency. An organisation should develop a clear training policy in order to constantly equip its employees with the necessary skills that are aimed at addressing its goals and other emerging issues. The challenges of HIV and AIDS for example require from organisations to offer training that will provide better understanding of the pandemic.

The pandemic, as Smit and Cronje (2002: 75) agree, does not only affect concerned individual employees only, but everybody who is close to the particular infected employee. Furthermore, individuals infected and affected by the HIV and AIDS disturb the rhythm of performance of departmental teams in that the work load increases as a result of long sick leaves before the replacement of such an employee can take place or as a results of taking care of the sick. The organisation's health expenditure, for example, as well as employer contributions to medical aids also increases. On the other hand, for organisations to grow there is a need to align organisational goals with its human resources capabilities through job analysis.

2.10 JOB ANALYSIS

Job analysis involves the systematic study of the observable work activities, tasks and responsibilities associated with a particular job or group of jobs (James 1994: 14). A performance management system cannot be successful if tasks are not clearly defined from the on set. The main reason why job analysis is important in any performance management system is simply that the tasks or job activities identified during the process, serve as a measure in determining whether the job or position strive to achieve directly the organisational goals set out in the strategic plan. Furthermore, job analysis helps to facilitate organisations to cope with change. It provides reliable information about the content and requirements of the position in question. Michael and Hope (2004: 88) found in their study of 'the importance of job analysis in public organisations', that the clearer the jobs or tasks are, the easier it becomes to measure the performance of an individual employee.

The problem with the third world countries as purported by Cronin (2005: 78) is that human resources capabilities compromise the output of the public sector. The post 2000 era in Lesotho's public service is that graduates of the National University of Lesotho (NUL) are absorbed into the public service without any screening such as interviews by the Public Service Commission (PSC) (Matonangoane: 2002: 12). This often places graduates in positions that has no link to the speciality of the incumbent because of many reasons including corruption. For example, a law graduate into a journalism position in the state media (Majoro, 2003: 44). This particular practice makes it difficult for employees to align their goals with that of the department he/ she is working for. The feedback that automatically comes from the performance evaluation or appraisal reveals that motivation of employees can be compromised (Sekatle, 2005: 33).

2.11 PERFORMANCE EVALUATION.

Rasiel and Friga (2001: 77) regard performance evaluation as being helpful in capturing the performance patterns of individual employees' achievements and for organisations to be able to take remedial interventions, an evaluation should be done periodically. This is done to assess employees' strengths and weaknesses and as a result to be able to correct deviations as employees engage into different operations. Furthermore, it gives both the employer and the employee a chance to monitor and redefine the performance in terms of the goals and targets set at the beginning of the year. Employees' perspectives are also re-aligned to focus on the positives and allow them to improve on the next goals and challenges. Therefore as it was confirmed by the study of Lipe and Salterio (2000: 44), that summary of performance evaluation could be well summarised in the balanced scorecard.

2.12 BALANCED SCORECARD

According to Smit *et al.* (2007: 99- 100) a balanced scorecard has an advantage of assisting managers to make proper and informed judgement about the performance of individual employees and departments in relation to set objectives. For organisations to operate optimally, its mission, objectives and goals need to be translated into measurable, long term goals to ensure that they are clearly understood by both managers and subordinates in the organisation. In order for organisations to have an effective balanced scorecard, its balanced scorecard should have four major dimensions, namely: financial perspective; customer perspective; internal business processes and the learning and growth perspective (Capko, 2003:42).

This implies that the balanced scorecard should also focus on financial perspective. Measuring financial operations involves measurement of financial related operations such as revenue, return on capital employed

and economical value added. The customer perspective should look at the measures such as customer retention and customer satisfaction while the internal business processes entail continuous improvement throughout the operations of an organisation in order to ensure quality services (Santiago, 1999: 1572). Lastly, the learning and growth perspective involves constantly checking on the human resources improvement through provision of training.

According to Christopher (2000: 99), the balanced scorecard should entail a list of performance areas of an individual employee. These areas can be formed by the job knowledge and skills, quantity of work as well as employee attitude. Descriptors that show the level of performance should be attached to each area, for example it could be below requirement, meets requirements or exceeds requirement.

The other equally important issue is that in the balanced scorecard, space should be provided for employees to explain reasons for their good or bad performances (Otley, 1999: 376). For management posts, on top of the above mentioned performance areas, the ability to motivate, provide directions, to communicate and the ability to solve problems must be added to the evaluation form. Successful implementation and the use of the balanced scorecard leads to proper monitoring of organisation's activities and if challenges are well addressed, the organisation realises increased customer satisfaction and as a result enjoy increasing profits and improved service delivery.

2.13 IMPROVED SERVICE DELIVERY

The public have their own specifications and expectations of how the delivery of services must take place. These perceptions influence operations of many public organisations. Since the public is the most important stakeholder in any public organisational, their needs are central

to the survival of organisations more so because they are the reason why organisations operate. Martin (1999: 86), argues that organisations opt for the performance management systems for the sole purpose of satisfying their customers and on the other hand the public service strives to satisfy the public in the provision of public goods and services such as water, electricity and education. Organisations only realize improved service delivery if their performance targets are achieved with the available human resources and the operations within the organisational budget.

2.14 ALIGNING PERFORMANCE MANAGEMENT WITH ORGANISATIONAL BUDGET

Performance management systems have failed as a result of non-alignment of the budget to the organisational strategic plan (Waggoner, 2001: 223). The budget is another management tool in ensuring that pursuance of activities is possible considering the available and allocated resources. Edward (2002: 4) further argued that one measuring or monitoring tool in assessing employee performance should be through the budget.

The budget acts as a benchmark to performance management because it entails comprehensive operational plans for every department (Leonard, 2007: 71). Therefore the budget outlines the expected achievements in terms of time and money, as a result provides measurable targets. Employee activities should not result in budget deficits because in that way the profitability and efficiency of an organisation would be compromised significantly. This implies that in judging and measuring effectiveness and efficiency, organisations should achieve their goals and objectives by available resources. This means that if employees realize during performance evaluation that their operations are within the budget or vice versa, they will be motivated to maintain or improve respectively on the status quo.

2.15 EMPLOYEE MOTIVATION

The notion that public institutions provide social goods and services without focusing on the profits, has given employees within these institutions a reason for not excelling in their work (Olson: 1999:8). For example, the fact that the public employees are not remunerated at the same level as their counterparts in the private sector, this alone provides a sphere where public officials do not acknowledge the importance of performance management more so if there are no monetary and other rewards afterwards.

The other equally important role of performance management is to motivate both the employers and employees. In this regard, as the equity theory of motivation argues, in any organisation, an individual employee perceives a relationship between the reward he or she receives and his or her performance (Robbins, 2002: 141). For example, an employee expects to be rewarded the same way as another employee that she or he regard as being equal in terms of the position for the same tasks they carry out. Therefore it is anticipated that if an employee cannot equate his/ her performance with the rewards given, then such employees would become de-motivated and as result leave the organisation. Performance management in this regard could therefore be used as a retention strategy of employees.

2.16 PERFORMANCE MANAGEMENT- A RETENTION STRATEGY

Employees leave organisations for different reasons. Perhaps possible reasons could be due to lack of attractive pay; job dissatisfaction and de-motivation (Basin, 2006:109). Therefore for employers that are concerned with staff turnover, performance management plays a major role in keeping employees from leaving the organisations.

According to Bratton and Gold (1999:332) retention of staff could be done through facilitation of human resources development through a performance management system. This allows personal growth through the implementation of the personal development plan. It also considers the training needs of employees in order to equip them with competencies and skills as a result increasing their performance and that of an organisation as a whole (Ramsingh, 2007: 3). As Metcalf **et al.** (2005: 111) found out in his study of performance management and staff turnover that employees tend to stay in an organisation where promotions and career development are part of the organisational staff policy for the improvement of organisational performance.

2.17 CAREER DEVELOPMENT

Supervisors need to play a role of helping staff develop their potential if optimal performance is required. Growth goals, changing and challenging job assignments, responsibilities and training are mechanisms that could contribute to the development of a more effective staff member (Nathan, 1999: 45). Performance management through its evaluation or appraisal and feedback can nurture an employee to attain an acceptable level of performance (Matlanyane, 2002: 12).

The feedback provides a reflection in which an employee can see if the right direction is being pursued towards achievement of own professional goals. A sound system of performance management contributes towards the motivation of employees to do their best (Buchan, 2000: 322). As a result, employees are encouraged to follow their career path step by step until they attain their ultimate goals because the organisation is also able to provide an on- going coaching.

2.18 PERFORMANCE COACHING

Performance coaching refers to the managers' or supervisors' ability to illustrate to the employees of how particular tasks should be done (Schwartz, 1999: 62). Mullins (1999: 115) regards performance coaching as central to monitoring and evaluation of performance trends of an individual employee. This provides feedback that informs both the employer and employees about the strengths and weaknesses that employees possess for any particular job.

Coaching and feedback helps employees to build on their strengths and improve on their weaknesses. This also encourages the employee to seek help when is necessary. Employees are able to choose their coaches from which they learn and foster certain qualities which later work for the advantage of the organisation since these employees usually take over the managerial positions. In this way continuity is guaranteed (Crane and Patrick, 2002:445). Although coaching is not necessarily central in performance management systems, it provides intermediate feedback on the performance of an individual before the main performance evaluation. The shortcoming of an employee after the provision of all remedial support by an organisation could be overcome by exposing such employees to training programmes that have been tailor made to employees' needs.

2.19 TRAINING

Employees at all should be familiar with the principles of the performance management system as well as the measuring tools and procedures (Frigo and Krumwiede, 1999: 33 and Maisel, 2001: 77). If employees are not well prepared in terms of knowing the challenges and demands of the performance management system, the system could never achieve its optimal effectiveness in enhancing organisational performance. Another possibility is that individual employees could distort the information system

by smoothing, biasing, focusing, gaming and by filtering illegal acts. It is important to train and educate individual employees on how to engage rather than bypass the causes of dysfunctional behaviours.

The use of tools that measure performance should be well understood before a performance evaluation could be initiated. The implication of training in the pre- implementation stage of performance management system is that individual employees should attend courses on different areas of the system and emphasis should be on the proper development of performance targets that are measurable and achievable. The ability to development measurable performance targets would enable employees to perform beyond the expected performance benchmarks. When this happens, there is a need to compensate and recognise employee performance.

2.20 EFFECTIVE COMPENSATION AND RECOGNITION SYSTEM

There is a need to reward employee performance. More often, employers confuse recognition of employees' performance with rewarding it with money (Torrington and Hall, 1998: 121). Trophies and certificates of excellence could still serve the purpose. This could serve as a motivating factor. On the other hand, Ancona (2005: 11) argue that granting rewards for excellent performance and granting employees permanent salary progression to the next higher salary on the basis of satisfactory performance rating motivates employees. Furthermore, provision of cash incentives through awarding of merit based awards and cash bonuses could also maintain the performance momentum.

These incentives stimulate the thought and knowledge that since such performance rewards are payable and those employees through their continued hard work can aspire to receive such rewards. Granting rewards for excellent performance and granting employees permanent

salary progression to the next higher salary on the basis of satisfactory performance rating motivates employees (Buchan, 2000: 323). Furthermore, provision of cash incentives through awarding of merit based awards and cash bonuses could also maintain the performance momentum

2.21 SUMMARY

This chapter has attempted to provide an alternative perspective on multidimensional performance management grounded on the traditional performance management theory and the management by objective perspective that centres on the strategic planning. Performance management needs to be based on the strategic goals of an institution. Furthermore, performance information that entails measurable goals, targets, performance feedback, and employee rewards should be commonly understood and communicated to both the managers and subordinates in an organisation. This literature together with the findings from an empirical research will form the basis from which the research questions and hypotheses will be answered.

In view of what has been discussed, the research methodology and design is dealt with in the next chapter. The chapter attempts to outline how the empirical research has been carried out.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 INTRODUCTION

As it has been explained in the literature review, performance management is meant to monitor and evaluate employees' contribution in terms of performance with regard to organisational goals and strategies (Basin, 1999: 77). The main aim of this study was to investigate the implementation of performance management system in the Lesotho's public sector by focusing on the prospects and the challenges of the current PMS. Furthermore it sought to establish any link between individual performance targets to poverty reduction strategies, thus; PRS and PSIRP adopted in 2004. In pursuing this goal, the following methodology was applied to the study. This chapter explains and describes the processes and methodologies used to gather information on the topic.

The issue of performance management in the public service in Lesotho is a controversial one because it is highly politicized. According to the Director- Recruitment in the Public Service top government officials are sceptical about studies on performance management. The main fear is that the results of studies on performance management could expose the government of the day as having no valid and reliable measurement of performance in terms of inputs invested on human resources in the public service.

According to Burns and Groove (2001: 173) a study's direction and implementation could be changed to respond to the challenges met during

the execution of the study. The initial plan was to include the political officers (assistant ministers; ministers; and parliamentarians) in the study because the researcher believed that such officers would outline their political party's mandates with regard to performance of the public sector. However, this did not work because the permission to access these officers was not granted for reasons not known to the researcher.

In this study, qualitative, descriptive, exploratory and appreciative inquiry research designs were used. This enabled the researcher to describe the understanding of; expectations and experiences of the Lesotho's public servants in relation to performance management system.

3.2 RESEARCH DESIGN

Uys and Basson (2000: 38) see a research design as the structural framework of a study that guides the researcher in the planning and implementation of the study. They further content that this organises all the components of the study in a way that will ultimately lead to valid answers to the research questions. Research design spells out the strategies that the researcher uses to develop information that is accurate, objective and interpretable. As Burns and Grove (2001: 233) put it, the research designs are developed to reduce the threats to the credibility of the study.

In this study, a set of research questions were formulated. This according to Terre Blanche and Durrheim (2002: 338) allows the researcher to prove or refute the allegations or hypotheses made earlier in the preceding sections of this report. Since the phenomenon studied here is social in nature, the ideal methodologies adopted included the qualitative research; descriptive and appreciative inquiry approach.

3.2.1 QUALITATIVE RESEARCH

Qualitative research is concerned with meaning, that is, how people make sense of lives, experiences and the structures of the world (Bailey 1995:144; Burns and Grove, 2001: 67 and Shank, 2005: 5). It provides for gaining insights through discovering meanings by understanding the whole phenomenon being studied. It also provides for exploration of the depth, richness and complexity of the phenomenon under the study.

Research design is based on the premise that knowledge of, understanding of, human beings are possible through their description of experiences as defined by actors themselves (Ulin et al. 2001: 26; Polit and Hungler 1999:325). Qualitative research is also concerned with the understanding of human beings and the nature of transactions within themselves and within their environment without any researcher- imposed control.

Ulin et al., (2001: 27) describe qualitative research as a flexible, emergent and interactive process, meaning it is never fixed. There is a constant interplay between design and discovery. The researcher remains in touch with the process by observing how respondents reply to the research questions and always scrutinise data to pursue further areas which could be useful in providing extra information that relates to the research questions.

An attempt was made to gather all the necessary information and new insight into the experiences and knowledge of public servants with regard to performance management. During interviews, the researcher was able to probe for more answers in complex areas that cropped up, for instance, the issue of capacity of monitoring of performance by each department. This entailed asking for clarifications on issues regarded as salient features of monitoring mechanisms that could work in this case. Through

an appreciative enquiry the views and experiences of participants were established and these were important for the study because possible solutions were suggested and discussed.

3.2.1.1 STRENGTHS OF QUALITATIVE RESEARCH

The researcher used the qualitative research because it provided an environment and context in which the researcher was made to understand the perceptions and the experiences of the respondents. In particular, the researcher was able to establish the following:

1. Understanding people lived experiences in a better way. The natural context of people's lives is a critical component of qualitative designs since it influences the perceptions, experiences and actions of the participants in the study. This according to Ulin **et_ al.** (2001:27) the interpersonal and socio- cultural fabric shape meanings and actions and it is through a qualitative research that a systematic discovery is achieved. The purpose is to generate knowledge of social events and processes by understanding what they mean to people, exploring and documenting how people interact with one another and how they interpret and interact with their environment (Burns and Grove 2001: 28);
2. truth about human beings is both complex and dynamic and can be derived by studying persons as they interact with and within their environment (Ulin **et_ al.** 2001:26); and
3. investigating performance management phenomenon in an in-depth and holistic fashion through the collection of rich narrative materials using a flexible research design (Polit **et_ al.** 2001: 269).

3.2.1.2 LIMITATIONS OF QUALITATIVE RESEARCH

On the other hand, participation of the researcher in the study meant that the study could be compromised by his influence in asking questions and leading the group interviews. This aspect had been taken care of. The piloting of questions asked in the questionnaire and the selection of group leaders minimised the fears that are posted as limitations of the qualitative research. The researcher was aware of the following weaknesses of the qualitative research as advanced by Burns and Grove (2001: 28).

The first limitation is that the researcher could influence the study findings because of his active participation in the whole study. Secondly qualitative research yields a lot of narrative data thereby making it difficult for the researcher to analyse the data collected. Thirdly causal relationships among phenomenon may be difficult to establish since it focuses more on natural contexts. Lastly, as advanced by Leininger (1985: 106) it may be difficult for someone learning about the topic for the first time to understand it and the phenomenological language may be too vague.

The limitations above were taken into considerations when carrying out the study. The impact they may have were also guarded against to ensure that little deterrence occurs on the methodology.

3.3 DESCRIPTIVE APPROACH

Key (1997: 11) sees the descriptive research as being useful in obtaining information concerning the current status of the phenomenon to describe what exists with respect to variables or conditions in a situation. The descriptive research explains the status quo in order to inform possible changes in the system or organisation.

In this study, the researcher adopted the descriptive research to unfold the current state of affairs regarding performance management system in the public service. Expectations and experiences of public servants were sought out in a group interview in order to find out the current state of affairs with regards to the implementation of a performance management system Lesotho adopted in 2004.

3.3.1 ADVANTAGES OF DESCRIPTIVE RESEARCH

The descriptive research allowed the researcher to fully understand the current state of affairs. This provided a clear picture of the conceptions and intentions of the government of Lesotho when introducing a performance management system. In particular, descriptive research helped the researcher to identify variables and hypothetical construct which could be investigated through other means like explorative research (Kgosi, 1997: 14). The researcher was able to make follow up questions to get rich information on the topic being discussed. Furthermore, the descriptions of a performance management system provided an indirect test of a performance management theory or model that has informed this study. As argued by Brynard and Hanekom (1997: 29) descriptive research is inexpensive and easy to carry out quickly. This is because it utilises a sample of the whole population, if the sample is truly random and representative of the population as a whole it could provide an understanding of the behaviour of a larger population in a natural setting as a results avoids artificiality of laboratories.

3.3.2 DISADVANTAGES OF DESCRIPTIVE RESEARCH

Bailey (1995: 266) argues that descriptive research has a number of disadvantages, these include the following;

- Descriptive research describes behaviour rather than explaining that behaviour;
- can be difficult to become unobtrusive in some cases;

- can allow some bias; and
- ethical issues can be compromised as the researcher tries to note what he/she thinks is the case.

The researcher was aware of these cons and remained neutral in all the interviews and during group interviews. This curbed the challenge of influencing the responses and behaviour of participants towards performance management.

3.4 APPRECIATIVE INQUIRY APPROACH

Bosen and Bruck (2004: 15) define an appreciative inquiry as a management philosophy and a development strategy for change processes that take a different path. This method generates life-affirming, life energy-promoting change processes and builds on the positives that already exist in a system. In typical Appreciative Inquiry interviews which can be conducted by the employees themselves, questions are asked first as to what strengths the system already has, where the qualities are, what superior potential, competencies, resources and assets can already be found in the organisation.

Watkins (2001: 14) contends that appreciative inquiry questions, that is, questions that clearly identify the strengths of an organization can be integrated in most of the large group approaches. The appreciative inquiry interviews always have an emboldening and motivating effect on the entire system. When those involved realize the positive strategies that already exist, their confidence grows, and the task associated with the change process no longer appears insurmountable, because after all there are already a number of aspects present that can guide and facilitate the process. Appreciative inquiry has a number of phases and these are discussed below.

3.4.1 PHASES/ STAGES IN APPRECIATIVE INQUIRY

Bosen and Bruck (2004: 22) identify the following phases while carrying out the appreciative inquiry;

3.4.1.1 PHASE 1 DISCOVERY EXPLORING AND UNDERSTANDING

The appreciative inquiry begins by introducing the issue that needs to be discussed in what is called value- conscious interview (Watkins, 2001: 23). A group interview involves in a critical debate about the issue or research question being posted. Then since everyone actively takes part and the initial stage is to identify all the positives of the system, it becomes easy to see things or issues that need to be corrected in order for the system to improve.

3.4.1.2 PHASE 2 DREAMING AND ENVISIONING

Bosen and Bruck (2004: 23) regard this phase as being important in identifying the possible solutions for the organisation. Participants are asked to use fantasy and creativity to create the best of all possible desired future for their organisations. These dreams are based on the discoveries (phase 1) about what the organisation already has. Then envisioning comes in when participants paint a desired picture of what their future of the organisation should look like.

3.4.1.3 PHASE 3 DESIGNING AND INVENTING

This phase runs parallel to the dream and envisioning phase. According to Barry (1998: 44) the design and inventing stage involves developing, designing and inventing possible solutions that could be adopted by the organisations. A number of suggestions are noted down but are not adequately discussed until the later stages. Participants are free to make

their vision known and try to influence or bargain for the adoption of own suggestions.

3.4.1.4 PHASE 4- DESTINY, IMPLEMENTING AND RENEWING

Brink (2001: 18-79) regards this stage as the ultimate of all the phases. In the destiny stage, activities are planned. The special thing about this phase is that much enthusiasm is generated for the realisation of the vision agreed upon in the preceding phases. Usually it becomes much stronger and intense than in the Vision phase.

3.4.2 STRENGTHS OF THE APPRECIATIVE INQUIRY

The researcher realised that the appreciative inquiry approach can yield positive results in developing the ideal and effective monitoring and evaluation system that could work for the Lesotho's public service because it derives its recommendations from the people or participants. The approach has the advantage of including or organising participants' views and ideas towards attaining a common goal or an ideal strategy that could be adopted by the system and in this case the performance management system for the Lesotho's civil service. These strengths have been confirmed by Bosen and Bruck (2004: 23) who have identified the following strengths of the appreciative inquiry:

- Ideal for huge changes in public systems since it uses people centred approach;
- promotes cultural change or to convince many of a common vision;
- incorporates the ideas of participants in the development of solutions;
- ideal for team development;
- encourages best management practices and advocates for transparency;

- re-energises projects and as a result cheers up de-motivated employees;
- a management strategy for including appreciation in value within the organisation; and
- reinforces the customer orientation.

3.4.3 WEAKNESSES OF APPRECIATIVE INQUIRY

Nevertheless the researcher was aware of the weaknesses of the appreciative inquiry. The researcher learned that the support for the change needs to be backed by the entire management, in this case the directors and heads of programmes from different ministries within the public sector. The most weakness of the appreciative inquiry as identified by Bosen and Bruck (2004: 25) is that it requires political will or support of the management on the issue being discussed. It also needs a committed team of planners and stakeholders to implement the changes proposed. Therefore the implication is that the leadership should observe the outcomes of the appreciative inquiry interviews and ensure their implementation through monitoring and evaluation.

3.5 UNIT OF ANALYSIS

As it has been indicated in the problem statement that the Public Service does not have an effective system of measuring and monitoring its performance including that of its employees, viz; public servants, the methodology proposed entails carrying out a sample based interviews from which the actual state of affairs would be obtained. Therefore, as Brink (2001: 132) argues, there is always a need to define population for the study.

3.5.1 POPULATION

Population is defined as all members or the units that are clearly defined that form a group of people, objects or events (Polit and Hunger 1999:278). In this study, a population framework that encapsulates all the Lesotho's public service officials was used to draw up a sample of participants and interviewees that provided information required to make analysis for this study. Since the study also seeks to establish whether there is any existence of any form of performance measurement in the public sector, this group of civil servants served the purpose and was therefore ideal for this study. However, not every employee participated. The study used a sample of civil servants to gather data from.

3.5.2 SAMPLE

Sandelowski (1995: 180) defines sample as representative of the population from which the researcher is interested in doing some analysis from. In sampling, the main aim is to maintain representation for the whole population (Durrheim and Teree Blanche 2002:44). Therefore the sample for this study has been selected in the following manner.

3.5.3 INCLUSION CRITERIA

Durrheim and Terre Blanche (2002:44) contents that for a unit to be selected in the sample, it needs to satisfy the inclusion criteria. In this case, since the study seeks to investigate the existence of the performance measurement in the Lesotho's public service, public servants were sampled because they can confirm the implementation of the performance measurement system in place or deny existence of such a system. Not every government department could provide the required information because of different environments and regulations that guide their operations. For example the Examinations Council of Lesotho (ECoL)

was excluded because it is a government parastatal and is not operating under the public service regulations but operated under the Labour Code-1992. This means that certain developments in the public service do not affect such institutions directly. On the other hand, the study targeted all the eighteen government ministries because employees from those ministries could provide information on the performance management system adopted in the public service.

3.5.4 SAMPLE SIZE

For the study to increase the validity and reliability of the results, it needs to ensure that the sample size is large enough to represent the population (Uys and Basson 2000:88). Generalising the findings of the study could be trusted if the sample included or represented all the characteristics of the bigger population as further substantiated by Brink (2001: 133). The other purpose of the study is to make assertions about the existence of a performance management system in the public sector. The selection of participants, as Ulin (2001: 57) argues, should guarantee that those participants will be able to provide meaningful information on the topic under investigation, in this case, performance management system in the Lesotho's public service.

The government of Lesotho (GoL) has about eighteen ministries/ departments (www.lesotho.gov.ls). As highlighted in the appreciative inquiry approach, the most appropriate methodology is to have group interviews; the researcher used a simple randomly sampling technique in selecting the sample. Seven ministries were selected and this represents forty percent (40%) of all the GoL's ministries. Within these ministries, four officers from each were randomly selected to represent his/ her ministry.

The selected ministries included:

1. Ministry of Public Service;
2. ministry of Home Affairs and Parliament;
3. Ministry of Justice;
4. Ministry of Finance;
5. Ministry of Public Health;
6. Ministry of Forestry; and
7. Ministry of Education and Training.

In addition to these selected participants above, four officials (those that did not take part in the group interview) from each ministry or department were targeted to respond to a questionnaire. The researcher used the stratified random sampling to select this targeted respondents. These respondents were exclusively comprised by the senior management cadre (the principal secretaries; the deputy secretaries; directors and heads of departments).

This is so because the officials in these positions are in light of the regulations and procedures that are in place in support of the performance management system. Furthermore, the management takes part in policy formulation and could therefore provide more relevant information than any other officer especially the junior staff. A table below summarises the sample used for this study.

Table 1: NUMBER OF PUBLIC OFFICIALS SELECTED FOR THE GROUP INTERVIEWS VS. THE ACTUAL NUMBER OBTAINED

Ministry	Targeted Number	Actual Number Obtained
Public Service	4	4
Justice	4	4
Finance	4	3
Education and Training	4	4
Forestry	4	3
Home Affairs and Parliament	4	2
Health	4	3
Total	28	23

Table 2: NUMBER OF PUBLIC OFFICIALS SELECTED FOR RESPONDING TO QUESTIONNAIRES VS. THE ACTUAL NUMBER OBTAINED

Ministry	Targeted Number	Actual Number obtained
Public Service	4	4
Justice	4	4
Finance	4	3
Education and Training	4	4
Forestry	4	4
Home Affairs and Parliament	4	3
Health	4	3
Total	28	25

3.5.5 SAMPLING TECHNIQUES

Durrheim and Terre Blanche (2002:49) argue that in order for the researcher to get relevant information to the research questions, a purposive sampling method is needed to include certain participants in the sample as this increases the chance of getting knowledge on the topic of the study. This further increases the theoretical and practicality of the phenomenon under the study. In this study, without being biased, the sample was carefully selected to ensure proper representation of the selected ministry in the sample.

3.5.6 PURPOSIVE SAMPLING

The researcher used purposive sampling in selecting respondents who responded to the questionnaires. As earlier mentioned, four respondents from the managerial positions within the ministries were targeted and selected. As Uys and Basson (2000: 94) have argued, purposive sampling enables the researcher to select certain participants depending on the participants' relevant knowledge on the subject under investigation. Furthermore it reduces the stress of the researcher since more information collected is relevant and as a result it reduces the time that should be spend on cleaning the collected data.

3.5.6.1 LIMITATIONS OF PURPOSIVE SAMPLING

Purposive sampling is not perfect. According to Brink (2001: 120), purposive sampling has a potential for sampling bias and can limit the generalisation of the study. It also requires the expertise of the researcher to be able to select appropriately the required sample.

These limitations were taken into considerations while pursuing the purposive sampling. The researcher carefully selected the sample on the relevance of each ministry in as far as policy development, finance, law. HR and education are concerned. These were regarded as being more

relevant to draw samples from. To counteract disadvantages, the following strategies were adopted to select the participants:

- Consultations with Director Admin- Public Service for relevant cadre of officials that could be selected;
- requesting head of departments to nominate officials for the study-group interviews; and
- where possible public officials were asked to volunteer depending on their interest as the appreciative inquiry approach dictates.

In this study, the sampling aim was to ensure that selected participants yielded saturation, that is, they provided enough information required by the study itself. As Polit and Hungler (1999: 333) highlighted that more participants would be required to be included if the already selected group does not provided adequate information for the topic under the discussion. The current sample provided enough data which the researcher thought was adequate.

3.6 RESEARCH TECHNIQUES

The methodology for this study has been briefly highlighted in the first and preceding sections. Research techniques that were adopted for the purpose of this study were also mentioned briefly. However these are discussed in depth in the following paragraphs.

3.7 DATA COLLECTION

According to Rossman and Ralis (1998: 5) qualitative research uses at least three methods of collecting data, these include:

- observation;
- interviews; and

➤ group interviews.

In this study all the three methods, namely; observation; interviews and groups interviews were used to gather relevant information. However the observation was only used to observe whether other members of the group did not influence others and to determine the seriousness of participants.

The group interviews are useful because data produced is in most cases explained and these make data to be clean and as a result very few data become vague (Holstein and Gubrium 1999: 56). The discussions allowed the researcher to intervene with questions that were meant to probe for more clarity on the issues that were inadequately addressed.

Data collected from the group interviews through observation allowed triangulation and hence checks and balances which later validated data collected. As Patton (2003:34) contents that multiple sources of information on the same topic always validates data and ultimately collected data is normally rich and could be used to generalise the phenomenon being studied.

The study attracted most ministries sampled since most heads of departments wanted their employees to reflect on their comprehension of performance management patterns as well as to be able to inform own ministry on how other employees perceive performance management. Participants were also let to select their leader who in turn made sure that the group responded and discussed the research questions adequately. Group interviews were facilitated by the researcher and notes were taken by the researcher and the leader of the participants. Data that was not captured was later filled in by the recorder.

3.8 QUESTIONNAIRES

Questionnaires used in this study covered the research questions and the possible research answer(s). White (1991: 201) argues that questions in a study are indicators of the concepts that a researcher wants to find out. Both open- ended and closed- ended questions were used. This enabled the researcher to channel the questions in a manner that yielded required or anticipated response (White, 1999: 203 & 209).

3.8.1 PILOTING QUESTIONNAIRES

A draft questionnaire was distributed to five (5) officers from the Ministry of Education and Training (MOET). Their responses were looked into and questions were reviewed and re- phrased (Q.2; Q10; Q 15 and Q19). White (1999: 205) regards piloting questions as being important stages since this removes the possibility of respondents not understanding what the questions want.

3.9 DATA ANALYSIS

Neuman (1997: 426) defines data analysis as the process of organising data in a way that it becomes meaningful and responds to the research questions. It involves examining, sorting, categorising, evaluating, comparing, synthesizing and contemplating the coded data as well as reviewing the raw and recorded data. On the other hand, qualitative data analysis further entails the organisation and interpretation of non- numeric, narrative data for the purpose of unfolding important underlying dimensions, patterns or relationships (Ulin etal 2001:143). Therefore, analytical reasoning follows the tabulations and comparisons of data collected.

The first step in the analysis of data in this study was to look at the pre-conceived expectations regarding performance management system. This was to ensure common understanding of performance management system. This removed confusion made by participants. Participants tended to mistake or supposed that performance management and other monitoring measures such as departmental meetings is one and the same thing. For the analysis to be less hectic, it is sometimes useful to do it alongside data collection (Thorne 2000: 70). However for most part of this study, the researcher waited until the end of interviews to analyse data collected.

3.10 MANAGING DATA

Group interviews took almost thirty minutes per session. Four sessions were organised over a period of four days. All the participants were not asked to identify themselves to allay their fears of being victimised for taking part in this study. According to Burns and Grove (2001: 594), participants are able to give detailed information when they feel secure and independent. The only form of identification used was the use of the ministry's name that a participant came from.

The researcher followed basic steps in analysing qualitative data as outlined by Bailey (1995: 297):

- Repeated familiarisation with the collected data;
- organisation of data into similarities and dissimilarities;
- norms of behaviour;
- coding;
- exploration of relationships between categories; and
- data cleaning.

The researcher familiarised himself with the group interview notes in order to get the content of the interviews. As Urwick (2000:43) and Ryan and

Bernard (2000: 159) argue, before analysing any information, there is a need to read through all the collected data to make sense out of it. This helped the researcher to categorise data under different subheadings.

Data was broken down into small common areas which made it manageable. Coding makes it possible to manage data in a manner that will not lose or ignore certain parts of the collected data (Miller 200:132). All related pieces of data were put together in one place and then analysis commenced.

Public officials' knowledge, attitudes and expectations regarding performance management were picked up and summarised to obtain the frequencies of each perceptions. Brown et_ al, (1990: 134-150) suggest that during the interviews, the researcher must be able to explicitly categorise the feeling and perceptions of each participants so that ultimately no data get lost. The taking of notes by the researcher and one of the participants made easy for comparison of notes at the end of interviews and during analysis and helped for closing gaps in data that existed.

3.11 RELIABILITY AND VALIDITY OF RESULTS

Debate on the usefulness of the concepts of validity and reliability in quantitative research has been on-going. Others argue that in qualitative research these are not appropriate (Seale, 1999: 470). However, as Crawford, Leybourne and Arnott (2000: 66) suggest, it is always important for qualitative research and data analysis to be carried out in a thorough and transparent manner.

3.11.1 ELIABILITY

Reliability is defined as the extent to which results are consistent over time and an accurate representation of the total population under the study (Joppe [2000] in Golafshani 2003: 598). This simply means that the same results can be produced if the same methodology and setting is the same as in the first study.

Golafshani (2003: 598) identifies three types of reliability for qualitative research and these are: the degree to which a measurement, given repeatedly, remains the same; the stability of a measurement over time; and the similarity of measurement within a given period of time.

3.11.2 VALIDITY

Validity determines whether the research truly measure that which it was intended to measure (Wainer and Braun 1998: 21). This also relates to the construct validity where the whole process of building the research questions and methodology are put into test (Winter, 2000: 12). Triangulation of reliability and validity normally leads to trustworthiness of the study (Johnson 1997: 283). Therefore credible and defensible results mean that such results can lead to generalization of the findings of the study.

The conception of this study was discussed by the researcher and his academic supervisor. The supervisor moderated the conceptions which entailed the research problem, aims, methodology that entailed data collection and data analyses. On top of this, the researcher discussed the topic with a colleague who is a consultant in policy formulation issues. This colleague gave advice on how to approach the GoL officials and helped to request approval to hold group interviews. This process helped

the researcher to establish and ensure the credibility; transferability; dependability and conformability of the whole study (Healy 2000: 77).

3.12 CREDIBILITY

Credibility in this study was established through the active participation in the interviews. The researcher was able to ensure in depth findings through the recorded data after a thorough debate has been completed. The researcher was also able to seek explanations for inconsistencies that arose from the responses, methods used. Healy (2000:78) argued that credibility is important for the study because it guarantees that its findings are acceptable by all the stakeholders.

3.13 TRANSFERABILITY

Transferability on the other hand has been taken care of by the detailed explanation of the methodology and this enable whoever that wants to use the same study in another context and settings other than the one being studied to do so. Shrank (2002: 94) argues that if the study's results can be applied to the larger population it represented then it is reliable and valid.

3.14 DEPENDABILITY

Dependability is defined as the consistency of the processes of the study and this should be stable over a period of time and conceived the same by researchers (Miles & Huberman 1994: 278). In this study, the researcher used all the conventional methodology as described in the qualitative literature to make it possible for any researcher who would want to pursue the same study in future.

3.15 CONFORMABILITY

Healy (2000: 78) sees conformability as relating to the neutrality of the research procedures and results. This is achieved by remaining objective and non- influential to the participants. In this study the researcher removed any identification of participants in the interviews and later ensured that misconceptions about the performance management were removed. As Creswell (2000: 131) suggests audit rails are important in ensuring that the researcher does not have an influence or does not lead the interview in a biased manner as this would compromise the neutrality of the study.

3.16 ETHICAL CONSIDERATIONS

This study involved the use of human participants as well as the acquisition of some confidential human resources data obtained from the selected ministries. Ethical considerations had been identified and prioritized. Specifically, consent and confidentiality factors were valued in the process. The researcher ensured that these factors were safeguarded during the entire duration of the study. In order to gain the consent of the ministries regarding this study, the researcher secured an approval from both the permanent secretary- Public Service who on informed his colleagues about this study.

The researcher had outlined clearly the purpose of this study and the procedure to be undertaken and this was distributed among the selected participants. Lastly the researcher maintained confidentiality of the collected data and protected data from unauthorized access.

3.17 CONCLUSION

In this chapter a concentration was on the description and explanation of the methodology used for studying the implementation of the performance management system in the Lesotho's public service. This precedes a chapter that highlights the current policy of the public service with regard to the performance management system.

CHAPTER FOUR

4. KINGDOM OF LESOTHO- PERFORMANCE AND DEVELOPMENT MANAGEMENT POLICY

4.1 INTRODUCTION AND BACKGROUND INFORMATION

The Ministry of the Public Service was formerly known as Cabinet Personnel under the Office of the Prime Minister. It was responsible for the management of personnel in the Civil Service. It was granted ministerial status in the financial year 1985/6 as the executive arm of the Minister responsible for the administration of the personnel function in the Public Service (Kolane, 1993:07).

According to Tsekoa (1993: 11) the activities of the Ministry were guided by five-year National Development Plans and these were usually not followed. With the adoption of the Civil Service Reform Programme in 1994, sponsored by UNDP, the first Strategic Plan was developed in 1996/97. However, before the plan could be implemented, there was a change in Ministerial leadership (Lesotho Gazette, 1996, 02). The new leadership did not implement the strategic plan but embarked on restructuring the Ministry in 1999. After the restructuring process, the 2001/2003 Strategic Plan was developed. The 2001/03 Strategic Plan was developed as a prelude to the introduction of the Performance Management (Ministry of Public Service, 2001: 5).

According to the Public Service Principal Secretary Mr. S. Sekatle, a number of issues had been identified as major challenges that formed the basis for the focus of the 2003/06 strategic plan and later the 2006/15 strategic plan.

- Poor communication within the Ministry and with line Ministries;
- Poorly coordinated training in the Public Service.
- Inaccurate HR information in the Public Service.
- Lack of effective coordination of MPS controlled Cadres.
- Monitoring and evaluation of systems and performance in general.
- Waste and cost reduction.
- Lack of value system within MPS and in the Civil Service as a whole.
- Lack of Human Resources Planning in the Public Service.
- Unemployment in the country as whole.
- HIV/AIDS in the workplace.
- Gender imbalance in top management in the Public Service.

These challenges formed the basis from which the PMS performance targets were developed for individual ministries (Mareka, 1999:6). For the PMS to attain its intended goals, the individual employees' performance evaluations are expected to cover areas mentioned above. The paragraphs that follow describe the implementation of the PMS in the Kingdom of Lesotho.

4.2 PERFORMANE MANAGEMENT SYSTEM (PMS)

The Lesotho's public sector adopted a performance management system in 2004. Section 1, part one, of the 2003 Performance and Development Management Policy stipulates that the main aim of the PMS in the Public Service is to establish and maintain an environment where the performance and productivity of the Public Service is enhanced in order to support the achievement of national goals. The other aim of this system was to measure the individual performance of public servants against the Poverty Reduction Strategy (PRS) and other national strategic goals (Makara, 2005:12)

4.3 OBJECTIVES OF THE PERFORMANCE MANAGEMENT SYSTEM

The Performance and Development Management System aims at the following (PMS policy, section 2; p 2):

- to assess individual employee's performance against the set and agreed performance standards. This is to ensure that the set targets of respective ministries are aligned to the targets of the individual employees;
- to ensure that national goals, departmental goals and individual performance are synchronised by a constant monitoring and evaluation process. Departmental heads should always ensure that national goals are translated into understandable activities which could later be measured during the appraisal period;
- to enhance harmonious relationships between appraisers and appraisees in the quest for building a culture of continuous organisational and individual development; and
- to enhance a culture of results- oriented performance and development so that employees' performance rewarded. Performance based remuneration should be adopted to encourage and motivate civil servants to do their best.

4. 4 MINISTERIAL PLANNING

The PMS demands that the Office of the Prime Minister through the Cabinet Secretariat, issue guidelines on national priorities on an annual basis at least six months before the next financial year (PMS policy, section 3.1: p. 4). This means that each ministry develops operational plans that set out measurable objectives and activities in accordance with

the objectives stipulated in the national plan as prepared by the Ministry of Finance and Development Planning.

The other aspect is that the adoption of the PMS faced out the notion of permanent secretary with that of principal secretaries. The principal secretaries (PS) are no longer given permanent contracts (employment contracts that grant an employee to work until he/ she attains a certain age, e.g. currently 55 years or alternatively a fulltime employment). The PS is currently given a performance contract, meaning their contracts are valid as long as they deliver the outputs as stated in the performance contracts. This is done to deliberately compel them to intensively coordinate and execute the management function of their respective ministries including ensuring implementation of the PMS.

4.5 LINE MANAGEMENT COMMITMENT

The PMS requires the commitment of the line managers in enhancing the adoption of the PMS in their respective departments. Section 8, subsection 1 of the PMS policy, highlights the fact that line managers should constantly sensitise both the management and their subordinates on the PMS. For instance, one of their tasks is to request the government secretary to release national priorities prior to the annual PMS planning process. Furthermore line managers should provide their departments with strategic plans and ensure through presentations that the strategies are understood by all concerned employees.

Apart from coordinating the PMS in their respective departments, line managers are also involved in performance assessment of their subordinates. According to Lephoi (2003:44), line managers in the public service guide subordinates into developing measurable targets. Therefore during the appraisal period, these line managers evaluate the performance

of their subordinates. It is further recognised that the line managers also provide performance counselling to subordinates in order to encourage improved employees' output. These managers are also in turn assessed by their superiors who include the PS and the government secretary (GS).

4.6 INDIVIDUAL EMPLOYEE PLANNING

Every fulltime employee in the public service has a performance plan (agreed performance targets and the targeted time) that has been agreed upon between him/ her and the supervisor. Supervisors send the individual employees' performance plans to the ministerial committee on PMS for moderation (an evaluation the performance plans with regard to departmental targets) and approval. Section 3, subsection 2 stipulates that individual performance plans should be finalised in the fourth quarter of every financial year.

4.6.1 JOB DESCRIPTION

The individual employee job description informs the performance plan of every employee. Job descriptions are used to determine outputs required of an employee and the competencies required in achieving the agreed outputs (PMS policy, section 3; subsection 2.3). The strategic plans and operational plans are used to determine the quality and quantity and as well as the time period for each activity.

4.6.2 DEVELOPMENT PLAN

The development plan entails the suggested career path of an individual employee and if well developed, the current activities that an employee performs should lead to the achievement of ultimate goal career goals of the concerned employee. The individual development plan of employees

should be aligned with the competencies indicated in the job description. Supervisors guide each employee through a one to one meeting by establishing individual employees' professional vision. This is followed by aligning such a professional vision with the organisational strategic plan. Furthermore, from this process, succession plans are developed. The PMS policy therefore advocates for a performance planning process (section 3, subsection 2.4, p. 4).

4.7 PERFORMANCE PLANNING PROCESS

The performance planning process is done collectively by employees of the same unit within a department. In an interview with Mr. Sekatle, Principal Secretary- Public Service, the HR department should carry out the performance planning exercise together. This process entails outlining and explaining the departmental goals in order to align individual goals with departmental goals. Furthermore this exercise facilitates the establishment of employee development plans. The PMS policy section 3, subsection 3.9, stipulates that the performance planning should be informed by the actual performance of the previous year. This means that for continuity reasons, the previous year's performance should be used as the benchmark for the current performance. Therefore in assessing the current performance, reference should be made as to whether the employee has advanced, declined or has stagnated as compared to previous years' employees' performance.

For new employees, the performance planning takes place within a month after joining the public service. In this way, the newly recruited employee is inducted and knows what to expect out of the job s/he is currently holding.

4.8 PERFORMANCE ASSESSMENT

Public servants sign a performance agreement form. This agreement entails an undertaking of the employee that the assigned job will be executed as agreed in terms of outputs and time between the employee and the employer. According to section 3, subsection 5 of the PMS policy, there is an annual performance assessment of employees. This annual performance assessment is composed of quarterly performance assessment. For convenience reasons, the quarterly appraisals make it easy for both the appraiser and appraisees to remember the performance targets agreed upon during the performance planning stage. The performance assessment is developmental in nature and is an interactive process as well. It takes place between the appraiser and the appraisee. Honesty and clear feedback on performance are central in enhancing employee's performance. This means that if there is a shortfall in the execution of employee's tasks, a supervisor's intervention could be sought before it is too late to rectify the challenge.

The performance assessment as earlier indicated is based on the appraisees' performance against job requirements not personal factors. Since employees develop performance plans, they are assessed against the mutually agreed outputs. Furthermore the development competencies (the skills for doing the tasks in the long term) are also assessed. This determines if the appraisee has developed successfully during the assessment period.

4.9 EMPLOYEES ON PROBATION

The PMS policy section 3, subsection 2.11 provides that employees on probation (a period in which the employer evaluates the employee to determine if the employee can cope with job tasks assigned within the stipulated period) should also be assessed and their annual performance

review should be used to determine if they could be permanently employed or if they require training or dismissal from duty. However the public service regulations would guide the concerned ministry in the case of a dismissal. The pattern of individual employees' performance is depended on the performance observation, feedback and coaching.

4.10 PERFORMANCE OBSERVATION, FEEDBACK AND COACHING

The Principal Secretaries (PS) who head respective ministries reports to the cabinet and the assessment of ministerial efficiency is therefore done by the cabinet. In turn, the PS is responsible for his or her employees' efficiency and effectiveness in their respective ministries. The expectation is that the PS in respective ministries should provide support to all subordinates under his/ her ministry.

Line managers also are responsible for improving the performance and competency development of their subordinates. According to section 3.3 of the PMS policy, appraisees' performance should be constantly monitored. Supervisors need to observe employees while executing their tasks so that if the appraisees' execution strategies could be improved, the supervisor can be in a position to advise in that regard.

The other tool used by the supervisors to monitor employee progress is through the constant departmental feedback/ progress meetings and through the utilisation of the budget. The utilisation of the budget provides for an assessment of activities already been achieved. This constant check of the budget helps supervisors to rectify the challenges that result to processes been done being at a slow pace. The performance assessment form should also reflect non achievement of certain activities in a particular period.

The performance feedback is given to appraisees immediately following the observation and this is constructive and specific in nature and aims at developing the appraisee as well as improving their performance.

Performance coaching is also an important part of the Lesotho's PMS. This is a process in which both the appraiser and the appraisees discuss the tasks at hand with the view of finding flexible solutions for continuous skill and career development. The performance coaching process also entails leading and showing directions as how to carry out a particular task. The performance observation, feedback and coaching is done simultaneously with the performance preview.

4.11 PERFORMANCE PREVIEW

The performance preview is an interactive process aiming at acknowledging good performance and correcting poor performance. This process is a mandatory process and takes place on a quarterly basis and covers the formal feedback on performance and development of an employee (PMS policy section 3.4: p. 6). This process is done in an environment that enhances employee's free expression on own performance outputs, his/ her performance rating and his/ her views regarding the development plan. The performance review can bring about disputes and on this regard, the PMS policy provides for a resolution of disagreements.

4.12 RESOLUTION OF DISAGREEMENT

Any appraisee in the public service has the right to seek an intervention if the outcome of the performance assessment process ends with a dispute. Section 3.6 of the PMS policy stipulates that disagreements should be

clearly and specifically documented by the appraiser and signed by both the appraisee and the appraiser. The local resolution of disagreements sessions should be convened within five working days and should involve the appraiser, appraisee and the next high level of supervision. If the disagreement continues after the local intervention, then the technical advisor is asked to take over the dispute resolution process. The dispute resolution process at this stage takes into consideration the right of the appraisee to be represented by his/ her union representative.

4.13 ROLES AND RESPONSIBILITIES

According to section 6 of the PMS policy, the proper implementation of the PMS in Lesotho is the responsibility of the following officers:

- The Ministry of Public Service. This ministry coordinates the PMS within the entire public service.
- Line managers/ supervisors. These officers manage all the aspect of performance and development of the appraisee.
- Human resources departments. Individual departments carry out performance research in order to develop policies, design and ensure consistency in implementing the PMS. The human resource departments are also responsible for communicating the PMS policy, the current financial national goals and priorities

4.14 COMMUNICATION

Communication of the PMS guidelines is central if the ministries are to be successful in implementing the PMS. National goals, performance targets, performance assessment are communicated to appraisees by the head of

department. This allows all the stakeholders to know their performance inefficiencies so that those areas could be improved (PMS policy, section 8, p.11)

4.15 TRAINING AND DEVELOPMENT OF EMPLOYEES

The GoL views training and development as a concerted, deliberate and continuous effort. According to section 3 of the Public Service Training and Development Policy, training is intended to enhance the productivity of public officers through the acquisition of skills and knowledge. to perform current and future jobs to acceptable standards while at the same time gaining personal fulfilment (Public Service Training and Development Policy section 3, p. 1). The individual employee's performance assessment reveals the training needs of each employee and as such the suitable training is determined by the supervisors.

4.16 TYPES OF TRAINING AND DEVELOPMENT

The Public Service Act 2005 prioritizes the needs-based training and development of civil servants. The public service training policy distinguishes between various types of training and development programmes and these include the following:

- **Induction programmes, which includes:**
 - In-House Induction. All new staff undergoes a suitable training within the first two weeks of their arrival in their offices and this aimed at settling them in. The training covers both the core and the functional areas and is arranged by their respective Ministries (Public Service Training Policy, section 7, subsection 1, p. 3). All the new staff should also undergo appropriate

induction programme in the first month of their arrival to acquaint them with the functions of their offices and the ministry as a whole.

- Formal Induction. New employees are sent to the Lesotho Institute of Public Administration and Management (LIPAM) for formal introduction to the purpose of the Lesotho Civil Service, its structures, rules, operations and scope within six (6) months of their joining the public service. These programmes are meant to give an employee the vision of the public service and provide the newly recruit employee with the opportunity to align his/ her goals with those of the public service (Public Service Training Policy, section 7, subsection 2, p. 3).

- **ON-THE-JOB TRAINING**

According to the Public Service Training Policy, section 7, subsection 2 (b), this type of training is provided to ensure that an employee acquires skills while on the job. The following are types of On-the-Job Training and these are directed by the head of departments:

- **ROTATION-** Departmental Heads, acting upon the Public Service Act, No. 9 of 2005, should post employees to different sections of the Ministry, in order to enable them to learn about the specific jobs of the sections with a view to broadening their knowledge and experience, for a maximum period of four (4) months.
- **IN-HOUSE-TRAINING-** Departmental Heads have the authority to provide periodic in-house training sessions to address particular problems or concerns of the organization (Public Service Act No. 9 of 2005). Consultants may be invited to serve as facilitators.

- **ATTACHMENT-** Public officers are attached to an outside organization or ministry to acquire experience and gain insight into the workings of a similar organization for a specified period.
- **EXCHANGE PROGRAMMES-** Where possible exchange programmes may be arranged between institutions or agencies at local, regional and international levels.
- **STUDY TOURS-** Public officers may be allowed to undertake study visits to internal or external agencies to learn and observe their modus operandi as well as exchange experiences, ideas and skills.

4.16.1 FORMAL TRAINING AND DEVELOPMENT

Training and Development is classified into two main categories, short term and long term:

- **Short – Term.** This refers to functional training and development offered for a period that does not exceed six (6) months and is for short courses. This is meant to intervene where an employee has shown serious shortfall during the performance assessment period.
- **Long – Term.** Refers to training intended for acquisition of academic and professional qualifications for effectiveness in job performance. As this training is longer than six months, study leave is required. The government embarks on this kind of training to respond to its strategic mission. The PMS reveals the possible candidates for these kinds of training.

4.16.2 PART-TIME TRAINING

This refers to approved training and development undertaken by public officers whilst remaining in full-time employment with Government. This training may involve periodic block release of officers from work for a cumulative maximum period of eight (8) weeks for every year of study (Public Service Training Policy of 1995, p 6).

4.17 PROMOTION OF EMPLOYEES

Promotion of employees is based on the employee's performance as indicated in the performance assessment evaluation (Public Service Promotion Policy, 1995: p. 12). The Public Service Commission (PSC) should also endorse the promotion of an employee. Among other information that need to be submitted by the ministry to the PSC include the current performance assessment form and the academic qualification. These endeavours could be yield little benefits if they are not enforced. Compliance of ministries on the implementation of government policies is central for the efficiency and effectiveness of the public service.

4.18 COMPLIANCE

Violation of the PMS policy by ministries may result in a disciplinary action which could lead to a dismissal of the officer concerned. The PMS should be in place at all times because it is a strategy in which the public service measures its achievements against the set national goals. Therefore, as put by the government secretary, Mr. T. Sekhamane (2004: 21), any principal secretary that fails to ensure the implementation of the PMS should have his/ her contract terminated.

4.19 SUMMARY

The kingdom of Lesotho's PMS has attributes of the strategic human resources performance management process. The PMS is based on the national strategic goals which have been a result of a mutual agreement of all the stakeholders within the public service. Other attributes include for instance, performance management system based on the human resources strategic plan; performance based remuneration; and employee development plan (career development or career path). The next chapter dwells on the interpretation and analysis of the study's data.

CHAPTER FIVE

PRESENTATION, ANALYSIS AND INTERPRETATION OF DATA

5.1 INTRODUCTION

The main purpose of this study was to investigate the implementation of the performance management system in the Lesotho's public service with the view of unpacking the prospects and challenges it has for the Lesotho' public sector. Furthermore, it sought to establish whether there is any link between the performance management system and government strategies (PRS/ PSIRP strategies) that are meant to enhance the service delivery of the Lesotho's public service.

As White (1991:299) points out, the essence of qualitative analysis is not necessarily based on the numbers obtained on certain category but it considers the coherence in reasoning and the evidence in place as well. The researcher therefore took numbers as indicators of individual interviewees' direction of opinion but also considered the reasons put behind each question or category.

This chapter starts the analysis of responses from the group interviews and then later focuses on the responses gathered from the questionnaires.

5.2 PERFORMANCE MANAGEMENT IN THE PUBLIC SERVICE

The research questions used for both the group interviews and individual interviews centred around four main categories/ questions, namely;

1. Knowledge/ awareness of performance management concept.

2. Benefits of performance management in the public service.
3. Employees' expectations and experiences regarding performance management.
4. Link between the performance management and the government's strategies.
5. Capacity of the public service in handling performance management.

Different perspectives from which respondents perceived and defined performance management were identified and agreed upon by all the participants through the guidance of the researcher. Participants were to respond from the two major angles and these were;

- the employees' angle; and
- the employers' angle;

The main categories in analysing data from group interviews were divided into the following: perception and knowledge of performance management; benefits of performance management; expectations and experiences and lastly the capacity of the public service ministry in handling the performance management system.

5.3 KNOWLEDGE/ AWARENESS OF PERFORMANCE MANAGEMENT

Participants in the group interviews were asked to reflect on the performance management system. They were asked to mention any attributes or characteristics that could explain an ideal performance management system.

Group Question 1: *What do you think performance management is all about? Include your ideal system.*

The group participants gave numerous responses on this question. Their responses on an ideal performance management system are highlighted below:

- “Evaluation of my input to the public service or organisation”.
- “My performance contribution in terms of skills and time to the achievement of the public service goals”
- “The PMS measures the strength of an individual employee”.
- “Performance management system focuses on how employees pursue the goals of the public service by gauging each employee’s potential and attainment of the intended goals”.
- “Aligning my goals to that of my department to ensure the achievement of the departmental goals”.

Other group interview participants regard a performance management system as a strategy that entails:

- “Reflection of employee performance over a period of time”.
- “The best performance achievement of employees reflected in the appraisal forms should be seen by a positive transformation of the public service”.
- “Performance management entails a communication of the public service strategic plan and the targets dates to the employees”.

- “One of the attributes of a performance management entails managing performance of an organisation through full utilisation of resources, human resources included”.
- “Performance management entails rewarding employees’ performance”.
- “PM provides information used in making decisions on training and promotions”.
- PM evaluates the organisation’s recruitment policy”.
- “Checkpoint on the utilisation of organisational budget in pursuing the set goals”.
- “Check and balance as to whether the plans of the public service are indeed achieved”.

Based on the strategic human resources performance management system which informed the conception of this study, the above responses indicate a certain minimum level of comprehension and understanding of a performance management system. In summary, according to the respondents, an ideal performance management system should entail the following;

- Goal setting for an organisation (strategic plan);
- pursuing organisational goals and achieving them within the targeted period;
- performance evaluation;

- training and coaching; and
- rewarding performance.

These attributes seem to be in line with what the strategic human resources performance management system advocates.

5.4 BENEFITS OF PERFORMANCE MANAGEMENT IN THE PUBLIC SERVICE

The focus group interview participants advanced different concerns regarding the benefits of the current performance management system in the public sector.

Group Question 2: *What benefits do you think performance management system adopted in 2004 has brought for the entire public service?*

According to ten participants, the performance management system has increased their motivation and eagerness to do well at work. Some common answers indicating this opinion included:

- *“Motivates me to do more and well in my daily work”.*
- *“Since I know which goals to pursue, I always push myself”.*
- *“Boosts my morale and increases my productivity”.*

On the same subject of the benefits of the performance management system, seven participants regarded the performance management system as being vital in ***performance auditing (an examination of public service programmes, functions, operations, systems and procedures to assess whether the intended goals are attained***

efficiently and effectively with the available resources) what has been achieved and what still needs to be pursued. This was supported by the following statements:

- *the system is able to monitor and evaluate progress made in terms of time, resources and budget;*
- *I use it to audit and justify my human resources activities; and*
- *helps me to prioritise my own activities and have a clear vision regarding organisational goals*

On the contrary, six group interview participants did not regard performance management adopted by the public service as having any benefits. Instead they purported that the appraisal that is part of the performance management is rather being used as a **threatening tool to blackmail** employees that do not have good working relationships with their bosses. Statements that supported this view included:

- *It is being used to advance the political mandate of the ruling party;*
- *public service performance evaluation is confined to civil servants only, it excludes political officers who usually deviate from the current approved strategies;*
- *used to threaten employees;*
- *no sanction for employees that deviate from the agreed targets; and*
- *financial regulations are not adhered to hence corruption.*

These findings seem to be confirming the findings of Mpooa (2004: 257). In his study on principles of performance management in Lesotho, respondents had the same feeling that an appraisal that is part of the performance management is a threat instead of enhancing their performance. Lethale (2005:93) in her study of experiences and expectations of performance appraisal in registered nurses also found out that nurses felt that the appraisal was perceived as a threat instead of yielding positive result.

5.5 EXPECTATIONS AND EXPERIENCES OF FOCUS GROUP INTERVIEW PARTICIPANTS ON THE CURRENT PERFORMANCE MANAGEMENT SYSTEM

Participants responded to the research question that sought to find out the expectations and experiences of participants with regard to performance management system adopted by the GoL. In presenting responses, the responses on expectation are dealt with first and then the responses on experiences follows.

5.5.1 EXPECTATIONS

Upon the introduction of the performance management system in 2004, civil servants have had different expectations and dreams about the performance management system. After the introduction of the poverty reduction strategy (PRS) which encapsulated the improvement of the public sector in terms of service delivery as one of its pillars, civil servants had hoped for the enhanced conditions of service which could lead to an effective public service.

5.5.1.1 PERFORMANCE IMPROVEMENT

Eighteen participants unequivocally expected the improvement in performance from every individual employee which would directly lead to the improvement of the performance of the public sector as a whole. Their expectations on performance improvement were advanced in the following manner:

- *there should be an integration between the financial administration and operational plans over a period of time not one year as is the case now but three to five year programme, e.g. introduction of the medium expenditure term framework (METF) ;*
- *performance management system should address performance inefficiencies and align government strategies with performance targets;*
- *performance targets should be an agreement between supervisor and subordinate;*
- *subordinates should also appraise their supervisor to give them information regarding their performance as well; and*
- *extensive monitoring is necessary to ensure pace of implementation of projects.*

Five participants were sceptical about performance management system as being the drive for improving performance in the public sector. The major reasons advanced included:

- *the performance appraisal which is part of the performance management system does not include the political officers who are*

responsible to the performance of the public sector because they introduce policies that are in contrast to what have been implemented before they came hence no continuity of programmes;

- *performance targets pursued by most employees and departments do not adequately flow from the government's strategies meant to reduce and enhance performance of the public sector;*
- *no coordination of the performance targets and the financial management or the national budget to ensure that operations are stirred towards the government's programmes as a result, performance targets and plans become derailed; and*
- *no monitoring and evaluation of departments' performance.*

It is clear that participants understood the idea of performance improvement through the performance management system and this means that the employees in the public service would not have any resistance in implementing a performance management system as long as all the principles of performance management are implemented.

5.5.1.2 ENHANCED COMMUNICATION

Bradley (2001: 73) argues that for the performance evaluation to be successful, communication becomes important in making the expectations clear to every department and employees within such departments. Participants in the group interview expected an enhanced system of communication that would give them a constant feedback on the performance of the entire public service system. Their sentiments were summarised as follows:

- Since communication is central in performance management, supervisors and subordinates will need to meet to constantly discuss progress made;
- challenges should be made known to all in the department to invite others' opinions and views regarding possible solutions; and
- communication is pivotal in addressing immediate performance gaps.

Communication as already highlighted, is important in facilitating other functions such as provision of feedback to employees.

5.5.1.3 CONSTANT PERFORMANCE FEEDBACK

Performance feedback is important because it provides information on performance gaps of employees in a department. Participants thought that after the introduction of the performance management system, performance patterns would be made known at intervals that would allow refocusing in cases where departments and employees have derailed from their schedules or targeted goals. As Bradley (2001: 71) argues, performance feedback to employees is one of the strongest non- financial rewards that could lead to motivated and satisfied staff. Constant feedback allows organisations to monitor and evaluate the pace and the initial goals that the organisation is pursuing. On the follow up question of how the performance feedback affects individuals' performance, all the twenty three participants regarded performance feedback as vital in repositioning and re-aligning themselves with the set goals and targets and some common views were as follows:

- "Feedback should be given regarding my performance and that of my department as a whole to enable me to evaluate my trend and

contribution to my departmental goals”.

- “Performance feedback provides challenges that face the organisation and should be made known to us as a team so that remedies could be developed”.
- “Performance feedback reveals a degree of attainment of the public service targets and these targets should be shared among all the employees in order to have ownership of such goals”.

5.5.1.3.1 FINANCIAL PERFORMANCE

Fifteen participants expected that a performance management system would lead to a transparent system in managing the finances of the entire public sector. Generally, proposed plans of action and the spending plans (budget) were expected to be an inclusive exercise where departments’ targets and spending are made known to everyone involved. This would enable the entire stakeholders in the public sector of targets that are prioritised and areas that have not been funded.

Eight participants regarded the budget process a complex process as a results there are sensitive issues like the sources of funding; names of donors who would want to remain anonymous; and specific government spending, for example on the Intelligence that makes process not transparent. On the basis of these reasons, these participants thought that to attainment of transparency of the government’s financial management system will not be achievable. In their own words, they said:

- “Transparency would mean dilution of power of certain officials more so politicians”.

- “Feedback on the use of finances is not correctly given so that whatever is left is pocketed by corrupt officials”.
- “Audit reports are stuck and are not availed to hide corruption”.

This group of participants made it clear that they should not be mistaken to denying that one of the expectations of performance management is to have enhanced feedback on the entire system’s performance. But their negative expectation was based on the fact that the environment, attitudes and the nature of the Lesotho public sector is characterised by favouritism, nepotism and corruption not on merit.

However this view above was counteracted by the office of the Principal Secretary (PS) – Public Service in a follow up interview with the researcher. The PS illustrated that for any person to be employed in the civil service, first the individual needs to apply and show her/ his relevance in terms of skills and academic qualifications to the vacant position.

“Then if these requirements are met, the person is interviewed and selected by the Public Service Commission which comprises of independent people who have been appointed by the Government of Lesotho as per section 137 subsection (1) of the 1993 Constitution of Lesotho”.

5.5.1.4 DEVELOPMENT OF STANDARDS AND GOALS

Nineteen participants expected to be involved in the setting of standards and goals to pursue in their divisions. Their feelings on this issue were expressed by some of the following statements:

- “Planning workshops should be held to inform public servants about the expected performance standards and goals”.

- “There should be guidance on how to harmonise individual goals with those of the department”.
- “Our managers should not impose targets that may not suit my skills rather I should be allowed to interpret the goals and translate those to my own execution style”.

Four participants on the contrary did not expect to be involved in the setting of standards and goals for the public service. They cited the following reason:

- “Goals setting is solely the duty of the senior managers”.
- “The setting of goals is done by political structures”.
- “Goal posts” are usually shifted by top officers to suit their political goals. As a result inconsistencies and programme failure take place”.

5.5.1.5 REWARDING PERFORMANCE

The major expectation anticipated by the participants was performance based rewards and recognition of their performances. Fourteen participants generally said that they were hoping for performance based payments based on annual performance. The salary increment across the board in the public sector should be the minimum increment but for employees that perform beyond the targets there should be an added percentage increase on top of the minimum increment. Some of the responses included:

- “best performance should be rewarded”;

- “punish and reward least and best performances respectively”; and
- “recognise best performers by rewarding their performance”.

Nine participants did not expect to see any change in the way performance of civil servants is recognised. The main reason for this was that the public service adopted a performance management system that did not encapsulate all the principles of an ideal performance management system in this case, sanctions of employee performance. This being the case, the performance evaluation or appraisal according to them did not necessarily mean rewarding performance. Two of the participants were quoted as saying:

- “donors wanted to see an evaluation of employees hence an appraisal of employees’ performance in the public sector”.
- “many donors invested a lot of money in helping the Government of Lesotho improve service delivery as a result fostered for an adoption of a performance management system”.

Furthermore these two participants concurred that the performance appraisal was used to fake performance in order to justify promotions and training needs for favourite employees in the public sector. However this allegation was refuted by the HR and Training Officer- Ministry of Public Service, Ms. Seitlheko. In an interview with the researcher, Ms. Seitlheko emphasized that in practice, there is a committee that scrutinises the promotions and training needs as reported in the appraisal forms of an employee to inform the decision of the ministry involved.

5.5.1.6 PROMOTION AND TRAINING

Still related to rewarding performance is promotion and training. Eleven participants expected to be promoted on the basis of the outcome of an overall evaluation of their performance. Furthermore they expected to be offered some training on areas that were not performed satisfactorily. Their statements on this issue included:

- “Best performers would be given higher positions as a way of recognising their performance”.
- “Performance evaluation would reveal potential hence promotions”.
- “Training needs would also be revealed to justify certain line of training for employees”.

5.5.2 EXPERIENCES

The experiences that the participants had on the performance management system adopted in 2004 provided the following lessons.

5.5.2.1 POOR COMMUNICATION

Twenty- one participants strongly felt that the entire performance management system is characterised by poor communication between all the stakeholders. A summary of their perceptions entailed:

- “No communication on performance goals and targets”.
- “No action has ever been taken against poor performing departments”.
- “Performance of departments is usually kept a secret”.

The lack of proper communication channels implies that it will even become difficult to convey performance feedback to the employees.

5.5.2.2 PERFORMANCE FEEDBACK

Feedback on performance is central in that it highlights areas that require improvement (Carson, 2004: 8). It motivates employees since it provides an introspection of one's contribution towards effective departmental performance. The failure to provide performance feedback leads to lack of commitment from both performance evaluators and appraisees. General perception of the respondents included:

- “No performance feedback is given either to an individual employee or the whole department”.
- “Performance efficiencies are not discussed in any forum”.
- “Performance standards, expected goals and directions of the public service are never discussed with employees”.

This lack of communication on performance patterns implies that it is difficult to establish a transparent system of how the public service rewards performance whether it is through promotions or monetary.

5.5.2.3 REWARDING PERFORMANCE

The performance management system adopted in the public sector does not reward performance of employees in anyhow. All the twenty- three participants agreed they have never witnessed any performance based payment to best performing employees, demotion to lower positions or

even in terms of lowering salary scales resulting from poor employee performance. This according to them de-motivates employees.

- “The appraisal information is not used to inform salary increments”.
- “The annual 10% salary increment is for all of us regardless of individual performance”.
- “Since I get same rate salary increment with best performers, I won’t bother to improve my performance”.
- “Promotions or training needs are never based on the performance achievement or least performance respectively”.

However this view above is not entirely true for every ministry. The researcher had established cases where merit principles seem to have been used to promote individual employees. The Ministry of Education and Training (MOET)’s human resources provided a proof of such cases. This included files for example of employees who had upgraded their academic qualifications and based on their performance as well such employees got promoted. Furthermore, the 1995 GoL’s policy on promotions stipulates that the Public Service Commission which hires the civil servants still needs to approve the ministerial promotion decisions through interviews and other screening methods that may be adopted by the Commission.

5.6 CAPACITY OF THE MINISTRY OF PUBLIC SERVICE

Twelve participants felt that the Ministry of Public Service does not have enough technical skills on performance management issues. As a result they fail to guide and monitor the performance management system's principles. The summary of their sentiments were captured as follows:

- “The personnel is not adequately trained”.
- “The ministry does not monitor the system”.
- “The ministry does not understand its role in ensuring proper implementation of the performance management system”.

The remaining thirteen participants were not able to give their views and opinions on the subject. They felt they needed to go and research first. From their findings, four participants believed that the ministry has the capability to coordinate the performance management system although the limited number of trained personnel (at the beginning (2004) only four employees were trained and the expectation was that those would become trainers upon completion of their course)) could become an obstacle. The general perception of the remaining nine participants was that they regarded the implementation of the performance management system as being based on uncoordinated strategic plans or objectives. These were expressed by the following statements:

- “The coordination by the Ministry of Public Service is difficult because the objectives set out by my ministry are not measurable”.
- “There is no unit within the Ministry of Public Service that has been assigned to coordinate the process of the performance management in the public sector as a whole”.

- “Previous performance evaluation records are not kept for future reference as a result there is no comparison of employees’ performance. This defeats the idea of evaluating employees’ performance”.
- “Coordination of civil servants becomes difficult because the Ministry of Public Service still uses the manual instead of an automated system like the Human Resources Management Information System (HRMIS)”.

The findings of the thirteen participants indicate that the Ministry of Public Service may not adequately coordinate the performance management system.

In order to validate the claims made by the group interview participants, top management that comprises the principal secretaries; chief executive officers; directors and heads of departments were sampled to respond to the study’s questionnaire and their responses are discussed below.

5.7 RESPONSES FROM THE QUESTIONNAIRE- TOP MANAGEMENT

This part dwells on the responses gathered from the questionnaires. Twenty- eight respondents were targeted, but the researcher was able to get twenty- five people to respond to the questionnaire. These respondents were exclusively selected from the top management of the ministries whose employees participated in the group interviews. Top management include the following:

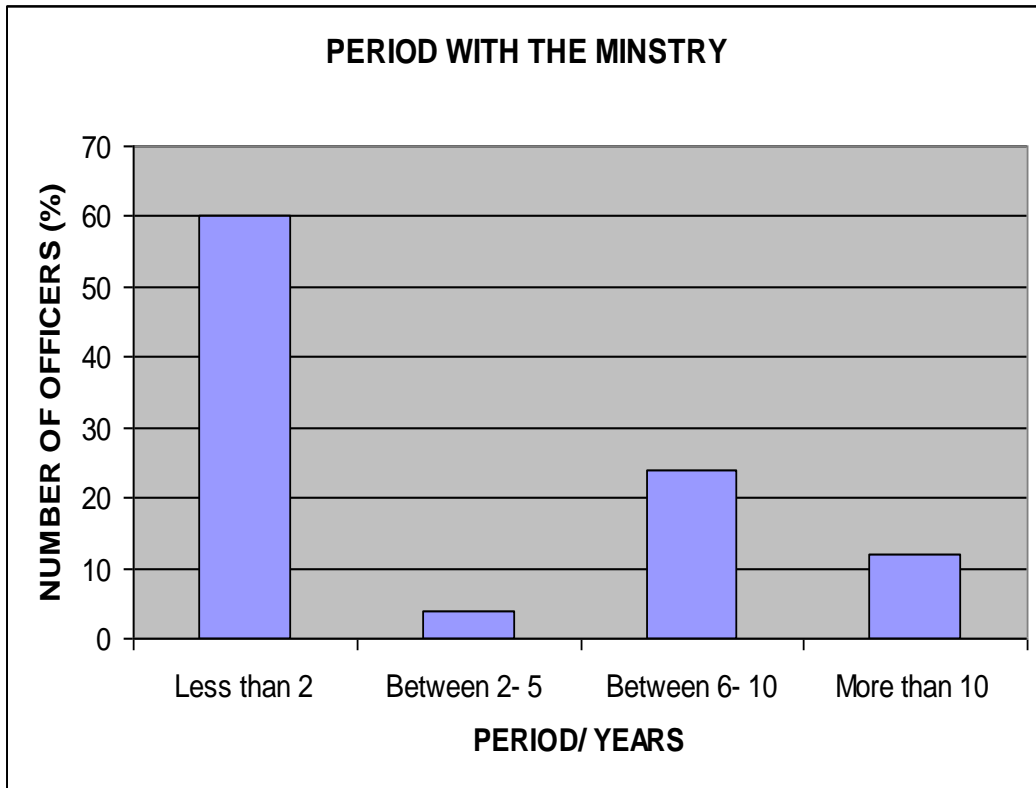
- The principal secretaries;
- deputy principal secretaries;
- directors; and

- heads of departments

The views gathered from the questionnaires are analysed in the following paragraphs.

5.7.1 PERIOD WITH THE CURRENT MINISTRY

On the question of how long they been working for the current ministry, fifteen respondents (60%) have worked for the current ministry for less than two years. One respondent (4%) has been with the ministry for a period between two to five years. Six respondents (24%) have been with the current ministry for a period of six to ten years while three respondents (12%) have been with current ministry for more than ten years. A barchart below summaries this information:



This pattern shows that top officials in the public service do not stay for a long period at one ministry. This as a result compromises continuity of plans and monitoring mechanisms that are in place. This according to Hansson (2001:32) could arise as a result of deployment of staff that governments embark on in order to minimise corruption and redundancy on the part of the officers.

5.7.2 PROBATION

A Probation period serves as a screening period in terms of performance; attributes and interrelationships with other fellow colleagues (Martin, 2002:421). A combination of these qualities to a certain extent enables a new employee to settle in comfortably in the new job. It is important to evaluate employees' physical and mental strengths and assess if the qualities and behavioural skill that an employee possess align with what the organisation needs.

On the question of whether employees serve a probation period, all the twenty- five respondents replied yes to the question. However, on the question of whether confirmation on the position is based on any evaluation, forty percent (40%) of the respondents revealed that there was no formal measurement before a confirmation could be effected. In most cases, after the two years of probation unless an officer has serious work relationship with the supervisor, the confirmation into the position is automatic. This has lead to others in believing that another form or system of measurement existed in the public sector.

Twenty- eight percent (28%) of the respondents thought that the confidential appraisal system is still being used for probation purposes to evaluate employee's performance. This is due to the fact that

confirmations (decision to employ permanently) to positions are normally done without any evaluation.

Sixteen percent (16%) believed that confirmation is based on performance appraisal and is also based on the general impression the management has on the individual employee.

Sixteen percent (16%) on the other hand was not certain about the procedure or evaluation used to inform management for confirmation purposes.

5.7.3 PROVISION OF JOB DESCRIPTION AND DEPARTMENTAL WORKPLAN

All the twenty five respondents agreed that each employee is furnished with a job description. On the question of whether an employee is conversant with the departmental work plan, a mixed view was gathered. Seventeen respondents (68%) were aware of the departmental work plan. The remaining eight respondents said they are not aware of their departmental work plans.

5.7.4 PERFORMANCE AGREEMENTS

The performance agreement refers to an undertaking by an employee that particular tasks would be done within an agreed period of time (Mullins, 1999: 222). One of the strategies used by the GoL to reduce unemployment in the country is to provide employment through the public service (Thahane, 2006:9). Since the government is not interested in making profits, most of the positions in the public sector are not based on performance based contracts.

The respondents gave different responses on the question of whether they sign a performance agreement. Eleven respondents (44%) replied yes to this question. They are adamant that their employment contracts encapsulate this aspect.

Fourteen respondents (56%) had a different view. They replied no to this question, thus, the public service does not enter into performance agreement contracts with its employees. Their responses are highlighted below:

- “The main reason is that currently, there are no employment contracts that have been terminated as a result of poor performance of an employee”.
- In the past there was no need to enter into performance agreements since there was no performance evaluation in place”.

In reality, it is not every employee that signs the performance agreement. According to the Cabinet Secretary Mr. M. Moshoeshe, it is only employees that are on contract employment that sign a performance agreement.

5.7.5 INDUCTION OF EMPLOYEES

Induction in this context refers to the programme in which employees are nurtured to comfortably understand the needs and demands of the new position he/ she is going to perform in an organisation (Anderson, 200: 153). The employers’ expectations about the position/ job are clarified at this stage. The Lesotho Public Service Training Policy section 7 stipulates that there should be an in house and formal induction programmes. In-house training involves taking new employees step by step by their

immediate supervisors on areas that new employees will be dealing with at work. Formal induction refers to the assimilation of employees through the Lesotho Institute of Public Administration and Management (LIPAM) or other tertiary institutions that may be requested to do so.

Forty percent (40%) of the respondents said they did not know of any form of an induction programme provided in the public sector. This according to the reasons advanced by respondents, means that new recruits have to find their own way in and out of the workplace.

The remaining sixty percent (60%) argued that there is an induction policy in the public sector; however this policy is dormant.

The above responses indicate that the GoL does not provide any induction programme for its newly recruited employees. This may hamper the performance of an individual employee and might even make it difficult for an employee to settle in this new position.

5.7.6 MENTORING AND COACHING OF EMPLOYEES

Supervisors in respective departments act as mentors and coaches for new and old employees. This was the feeling of eighteen respondents (72%). Communication and consultations between heads of departments which is also guided by strong structural chain of command ensures that supervisor- subordinates interaction exist. This relationship paves the way for the employees to seek assistance from their supervisors.

Seven respondents (28%) think there was an informal relationship between supervisors and subordinates. According to these respondents, “relationships are based on favouritism and in other cases discrimination”. These respondents further argue that since employment is based on

nepotism not merit, it means certain supervisors would not be in a position to supervise subordinates due to limited knowledge in the area of operation. Therefore, coaching and mentoring becomes difficult to take place in the public sector.

Although as pointed out by seven respondents above that mentoring or coaching are not adequately dealt with in the public service, the general feeling is that it exists. Perhaps the GoL needs to strengthen the process of mentoring and coaching if optimal guidance is to be achieved because this could lead to the enhancement of service delivery.

5.7.7 EXIT INTERVIEWS

Exit interviews aim at finding out the reasons why a particular employee is leaving the organisation (Kindrick, 1999: 19). Questions of motivation, rewards and individual self-esteem come into mind. It is important therefore to determine the causes of resignations of civil servants in order to improve on the allegations that accompany such resignations.

Twenty respondents (80%) answered no to the question of whether an exit interview is part of the human resources management system. Among these respondents, one said; “many colleagues have resigned and there has never been a time when an exit interview was conducted”. Other respondents (in this category said that the non- existence of exist interviews imply that the public service does not know the exact reasons why civil servants resign from their positions and therefore if there are push factors, such factors still remain unknown and unattended to. As a result the trend to lose employees will constantly continue.

Four percent (4%) of the respondents were not sure whether exit interviews were not used the public service.

5.7.8 EXISTENCE OF A PERFORMANCE MANAGEMENT SYSTEM

Almost all the respondents attempted to define performance management.

The following are definitions given by respondents:

- “Performance measurement is about measuring output against the performance targets”.
- “Performance management entails goal setting based on one’s strategic plan”.
- “Performance management involves a human resources strategic planning”.
- “Performance management entail an employees’ performance evaluation against set organisational goals. This informs decisions on training, promotions and reward of remuneration packages”.
- “Performance management sets out a transparent way of sanctioning performance by determining best achievers and least achievers in an organisation”
- “Performance management is about rewarding employees’ performance by how much each employee contributes to the organisational strategic plan”.
- “Performance management sets out performance targets as a result enhance performance evaluation”.
- Performance management enable employees to conduct a self-assessment against the set goals”.

There is an indication that respondents have a collective comprehension of what a performance management should entail. This is so because the definitions above seem to bear aspects of a definition that has been used as a point of departure of this study in chapter two.

5.7.9 GOL POLICIES AND PERFORMANCE MANAGEMENT

The management cadre in the Kingdom of Lesotho's public service had a mixed perception on the question of whether the performance management objectives link coherently to the corporate objectives and priorities as well as the operational objectives of individual ministries.

Ten respondents (40%) said the employee targets on the performance management evaluation form are based on the objectives of the different ministries. The targets that is, the quality, the quantities of such goods and services, and the period or the deadline in which the activities should have been completed are determined by the ministry or the supervisors on behalf of the government. Furthermore since permanent secretaries (PS) in Lesotho are political appointees, they are in most cases conversant with the ruling party manifestos as a results this harmonises the government policies with those of the ruling party. Goal setting also take place through staff meetings and workshops that are meant to aggregate views of every staff member with regard to government strategies.

Ten respondents (40%) did not agree that individual targets on the performance management evaluation tool were based on the objectives or strategies of their respective ministries. An example cited by one respondent was that certain appraisal tools were found to have objectives that were no longer appropriate and relevant for a specific financial year and as a results were cancelled on the appraisal form during the period which the appraisals done. Three photocopied samples of the used appraisal forms were shown to the researcher for illustration purposes.

Five respondents (20%) were not sure if the objectives set for individual officials and those of the different ministries were aligned at the beginning of each financial year.

These mixed views arise out of the fact that not every manager is involved from the onset in the setting of government goals. In due course, disagreements regarding how best a particular activity could be done usually arise.

		No of responses N= 25					
QUESTION	5	4	3	2	1	Mean	
17. To what extent is performance management supported by clearly identified measures and key performance indicators? Let 1 be the smallest and 5 the highest	3	4	2	5	11	2.24	
18. Indicate by circling the number that best describe your feeling about the benefit of performance management in your ministry. Let 1 be the lowest and 5 the highest	4	3	12	6	0	2.52	
19. What benefits could be derived from performance management?							
OPTIONS	FREQUENCY			CUMULATIVE FREQUENCY			

INCREASED SALARY	9	9
TRAINING	6	15
PROMOTION	5	20
SCHOLARSHIP	3	23
STUDY LEAVE	2	25
TOTAL	25	

The table above captured the responses on three questions. The summary of responses are depicted and indicate that most respondents felt that the performance management system used in the public service is not supported by well defined goals; performance targets and key performance indicators. Furthermore, the respondents felt that the performance management has had limited benefits for the Lesotho's public service.

The expectations that the top management in the public service had with regard to performance management system are summarised below.

1. Development of clearly defined strategic plan;
2. aligning public service goals with individual goals;
3. rewarding employees' performance; and
4. providing information for promotions, training and deployments.

Top managers in the public service have had the following experiences regarding the performance management system adopted by the public service:

1. "Pre- implementation training did not cover most people affected by the system however initiatives were made to train few who would become trainers";

2. "PMS has been useful in providing a reflection of employees' performance as well as a measure of how much is gained in terms of public service delivery as compared to the inputs"; and
3. "Alignment to government policies/ strategies/vision 2020 still needs to be revisited".

5.7.10 FREQUENCY OF PERFORMANCE APPRAISAL

Performance appraisals are carried out quarterly in the public service. All the twenty- five managers confirmed that in every quarter, every head of department has to submit appraisal report to their human resources' office. A sample of an appraisal tool used is attached as an appendix H.

5.7.11 REWARD AND SALARY INCREMENT SYSTEM

5.7.11.1 Rewards

Respondents were asked to give their opinions and directions regarding the current performance management system with regard to a pay system. Nineteen respondents (76%) believed that salary increments should be based on performance of individual employees. Their fear is that salary increments means that the best performers and poor performers are treated the same by the public service despite the outcomes of different performance appraisals. All employees should only be given the inflation factor as the benchmark salary adjustment and then for determining the real increment, the nineteen respondents said that the performances of individual employees should be used. The following two statements were quoted from two responses:

- “Appraisal does not make a difference in motivating employees”.
- “Appraisal brought little benefits if at all”.

Six respondents (24%) had a different view. Performance evaluation is not done necessarily to reward performance through monetary means. It is a way in which employers find out whether the efforts of the employees are directed towards achieving organisational goals. There are other rewards other than monetary that could be used such as recognition of performance by awarding certificates of excellence; promotions and training.

5.7.11.2 SALARY INCREMENT

On the question of the 10% salary increase across the board that was announced by the Finance Minister, Dr. Thahane, in the 2007/8 budget speech, respondents felt that the salary increase across the board system defeats the idea of performance management. For example seven respondents (28%) regarded Lesotho’s performance management system as having deficiencies because of the fact that the public sector rewards performance uniformly to best and least achievers. According to them, this has impacted negatively to all the employees. The general perception these seven respondents above is that employees have lost interest in filling in the appraisal forms.

Ten respondents (40%) argued that the public sector since the aim of the public sector is about providing social services that the private sector cannot provide due to the costs involved, the salary increases in the public sector should be affected by the quality of services rendered by every employee. These respondents further argued that the GoL did adopt a

performance management with all its principles. Among these respondents, one said;

“the public service only uses performance appraisal which is aimed at informing the employees about their performance strengths and weakness with the purpose of improving where there are performance gaps. The other aspects like rewarding performance are left out”.

Eight respondents (32%) believed that for performance management to be successful there is a need to reward above performances at a certain level and discipline poor performance. According to these respondents employees should be rewarded for exceptional performances as depicted from the performance management system. The poor achievers should only be given an inflationary salary adjustment not an increase. However, this category has also indicated that poor performers should be dismissed if she or he performs least for two consecutive years.

5.7.12 PROMOTION

Sixty- eight percent (68%) of the respondents do not believe that the current performance appraisal was used to inform promotions of employees. They cited examples of certain officers who were appointed on political reasons into the public service and since the ministers are the ones approving promotions, such people (political appointees) usually move up the ladder faster than other employees. The promotions are usually not based on merit. Two heads of departments had shown the researcher performance reports of certain employees in their ministries where those individual employees were promoted to higher position even though their performance was not satisfactorily.

The researcher further pursued this issue and requested an explanation regarding the government policy on this issue and found out that for example the approval of the Public Service Commission (PSC) was not sought out in this matter. This meant that in these two particular cases, certain procedures were bypassed.

On the contrary, thirty- two percent (32%) of the respondents thought that promotions in their departments have been based on individual performance and that performance could be substantiated by the appraisal/ evaluation reports. For example, according to this category of respondents, any employee that is appointed to a position higher to his/ hers, an appraisal form showing individual employee's performance must accompany the promotion proposal. The information contained in the form would also be verified by members of the PSC and if found true, then the concerned employee would be promoted.

5.7.13 TRAINING ON PERFORMANCE MANAGEMENT FOR ALL EMPLOYEES

Top senior managers in the public service had a mixed view on whether there was pre- implementation training on performance management system adopted by the GoL.

Sixteen respondents (64%) claimed to have authorised short courses on performance management in general. The aim as found from the head of training and development department of the Ministry of Public service was that it will make it easy for these officers to understand the GoL's performance management system. Some of these courses were offered by institutions in the region for a period of six months. The GoL had fully covered the tuition and other related costs.

Five respondents (20%) did not agree that all the concerned employees were exposed to pre- implementation training before the adoption of a performance management system.

Four respondents (16%) were not sure of the preparations of the performance management adopted because they were not part of the top management at that time.

5.7.14 DISPUTE RESOLUTION

The implementation of a performance management system could lead to disputes especially when carrying out appraisals. This could occur between the appraiser and the appraisee (Lethale 2005: 92). This arises when the individual appraisee's own rating differs from the ratings given by the appraiser. In this case, proponents of appraisal regard the role of a moderator as being important. This role could be played by the human resources office or any other person assigned to do so by the organisation (Chandra, 2004: 25). Furthermore, existence of the moderator reduces victimisation that could characterise the appraisal system especially when the relationships between the concerned parties are not in harmony. In this regard, the GoL' performance development and management policy provides for a technical advisor in cases where disputes arise.

Seventy- two percent (72%) of the respondents believed that in practice, the Lesotho's public service performance management system lacked the mediator for resolving disputes and conflicts that arise from the appraisal process. If an employee was not satisfied about the rating, the employee became frustrated because there was no formal procedure for handling disputes in the system. The main reason advanced by these respondents is that the current performance management system adopted by the GoL is not adopted as provided in the PMS policy as a result, since the

performance pay principles is also not effected, employees do not bother to seek a technical advisor's intervention.

Twenty- eight percent of the respondents (28%) did not see why there should be a moderator for resolving disagreements. Their main reason was that since performance targets are developed collectively, it does not make sense why there should be an argument regarding what has been achieved or not achieved.

5.7.15 SANCTIONS FOR UNDER-PERFORMING EMPLOYEES

Twenty respondents (80%) said that under- performing employees, that is, employees that fail to meet their set targets, were not dismissed, punished or transferred as per section 3.4 of the Performance and Development Management Policy of the GoL. Since performance evaluation provides diagnosis of ministerial effectiveness with regard to the strategic contribution of its human resources, the anticipation would be to see an implementation of the PDM policy, section 3.4. But this did not happen as it was argued by one respondent that:

“The government is the main employer in this country and firing employees would be adding up to the high existing unemployment rate”.

5.7.16 REMEDIAL AND SUPPORT SYSTEM

A Remedial and support system provides an environment where employees get job related counselling in order to make them part of the system and to make them to perform better (Chao, 2007: 12). A sense of belonging ensures teamwork. As a result, performance is enhanced because employees regard themselves as being part of the entire system that has a common goal. A remedial and support system is not a

package to the performance management system used in the public service.

Seventy- two percent (72%) said the kind of intervention is depended on the supervisor's ability to lead and motivate his/ her people. The system itself does not spell out the proper channels that should be used to provide support for least performers. Other remedial and support systems are very informal; they depend on the individual employees' initiatives to enrol in courses that are meant to enhance their own performance.

Twenty percent (20%) argued that the GOL funds numerous in-house training, workshops and formal courses. The selection for participation in these kinds of training is usually based on the performance evaluation's results. Poor performers are given first preference. Reasons advanced for this initiative are that such trainings come as a direct response to the shortcomings of the employees and this is reflected by the performance outcomes that indicated bottlenecks in terms of skills required to perform a certain task. However, eight percent (8%) within this category have a fear of corruption in selecting those that qualify for training. They cite political favouritism and nepotism as their main worries.

Eight percent (8%) of the respondents was not sure as to whether the support and remedial system existed. They excused themselves by claiming not to have come across instances that would warrant any form of intervention.

5.7.17 COMMUNICATION STYLE

Communication is defined as the exchange of messages between people for the purpose of achieving common meanings (Bartol, 1999: 518).

Communication in this context becomes central in relaying performance feedback between the supervisor and the subordinate.

Eighty percent of the respondents (80%) regard communication as being poor between the appraiser and appraisees. These respondents cited the following reasons:

- “filled appraisal forms are kept in files until the next appraisal”;
- “nobody will ever say anything to me about my performance and likewise I would not know who to ask for my performance record”;
and
- “in cases of disagreements on ratings, it becomes difficult to ask because in most cases the appraiser would be a new supervisor who did not appraise you last time”.

5.7.18 FEEDBACK ON PERFORMANCE

The responses from the senior management of the GoL indicate that nineteen respondents (76%) did not know of any feedback mechanism in place in the public service. This was a surprise to them as to whose responsibility it was to give feedback to employees. There is no clear channel and no mandate has been given to any office to carry out this task.

Six respondents (24%) said that feedback is usually given to the employees as a collective feedback not focusing on an individual. The main reason given is that performance is aggregated and where there are challenges, those challenges affect the entire civil service. However they claimed that any employee who wants to check his/ her performance is

still allowed to do so since the appraisal forms are kept in employees' file in the human resources departments.

5.7.19 PERFORMANCE MANAGEMENT- DORMANT OR ACTIVE

Eighty-five percent (85%) agreed that there is a system of performance evaluation in place in the public sector. Only fifteen percent (15%) of the respondents did not know of any system in place in the public sector that measures the performance of all the employees.

The response of the latter group implies that there are still departments that have not implemented the performance appraisal system. The question is how is this possible? As per the GoL PMS policy section 3, the human resources department in various ministries are supposed to ensure the implementation of a performance management system.

In an interview with the Director of Training and Development of the Ministry of Public Service, Mr. Ntlama said that the challenge of implementation can be alluded to lack of trained personnel at ministerial levels. He further blamed high rate of brain drain to the public sector which leaves the public sector with less trained employees who can handle the PMS. Again, according to him, the process of monitoring the implementation of the system against the PMS policy becomes negatively affected as well.

Five respondents (20%) believe that communication and interaction requires the initiative of the two parties involved. Both the appraisers and the appraisees should also be blamed for poor communication since they usually do not ask supervisors about performance outcomes. According to this group, supervisors always approach employees about performance patterns. However this group failed to outline the communication channels

that are in place in the public service in as far as performance appraisal is concerned. Therefore their claim was not well substantiated.

5.7.20 CURRENT PERFORMANCE MANAGEMENT SYSTEM- A SUCCESS OR FAILURE

Nine respondents (36%) believed that the performance management system had achieved its intended goals. The yardstick cited in this instance includes the well-established criteria for selection for training, promotion and redeployment of employees. The appraisal results provide a transparent measuring way upon which decisions are based on.

Fourteen respondents (56%) did not see solid milestones in terms of enhancing public service delivery through the performance management system adopted by the GoL. They claimed that due to lack of training on performance management, it has become difficult to monitor the performance outcomes of employees. The performance management system used has not been adopted with all its principles as a result failed to achieve tangible goals. The most given example included the issue of monetary rewards which has not been part of the current system.

Two respondents (8%) were not sure whether the system achieved its intended goals. The reason for this is that it is difficult to measure without carrying out a detailed audit of the whole system

5.7.21 AN IDEAL PERFORMANCE MANAGEMENT SYSTEM

Twelve respondents (48%) regard the current performance management system as lacking the monetary rewards. According to this group, if this aspect is put in place, the current performance management system would be complete. One of the respondents had said:

“This would have pushed the motivation of employee high”.

Thirteen respondents (52%) were not sure of the areas needed to be strengthened. According to these respondents, developing a performance management system requires specialists in the field and because it is a complex exercise.

5.7.22 CAPABILITY OF MANAGERS ON IMPLEMENTING PERFORMANCE MANAGEMENT

Twelve respondents (48%) believe that supervisors and managers have the capacity to administer a performance management system. However these respondents caution that it is only when the system is utilised with all its principles like punishing of employees' performance whether positively or negatively that supervisors and managers could be serious about implementing it effectively.

Nine respondents (36%) do not believe that managers in ministries have the necessary skills in ensuring proper implementation of the performance management system. The main reason given is that these officers are not trained and therefore cannot administer appraisals effectively.

Four respondents (16%) were not sure whether the level below managers-supervisors can handle the performance management system. They regard the system as being complicated especially when the goals/strategies of the government and the targets that are pursued by the performance evaluation are not harmonised as it is the case currently.

5.7.23 CAPABILITY OF THE MINISTRY OF PUBLIC SERVICE

Fourteen respondents (56%) believed that the Ministry of Public Service has the capacity to coordinate the performance management system in

the public service. However, these respondents maintained that managers need to be trained on performance management principles to enable them to monitor and evaluate the implementation of the performance management.

Eleven respondents (44%) did not have faith in the Ministry of Public Service could manage and coordinate the performance management system. They cited political intervention; nepotism; favouritism and discrimination as being the biggest deterrence on performance management in the public service. For any performance management system to succeed, the respondents thought the following are central:

- “A substantial amount of political will and ownership from all the political officials and the public service officers affected by the system involved”.
- “Proper planning, organising, budgeting and coordination are central in successful systems”.

The public sector has the structures that are pivotal for the proper implementation of the evaluation system but such structures need to be utilised to achieve the performance management system goals.

5.7.24 SUMMARY

The views of participants from the group interviews and the perceptions of respondents that responded to the study’s questionnaires seemed to agree in many respects. The areas include the fact that there is no form of sanctions for best and least performers.

The other area where these two cadres of participants in this study agree relates to the provision of performance feedback to the employees. It is suspected that after the performance evaluation, performance forms are filled away and no follow up is made to rescue or to improve the situation.

The other equally important area where the respondents and group participants seemed to have similar views is the fact that the Ministry of Public service does not have the necessary skills and personnel to handle the performance management system. The major reason advanced is the lack of training and feasibility studies to test the sustainability of an idea.

However there are still people who think that regardless of the flaws the system has, the system has been able to motivate them to do well in their respective jobs.

The chapter that follows focuses on the conclusions, recommendation and limitations of the study.

CHAPTER SIX

6. CONCLUSIONS, RECOMMENDATIONS AND LIMITATIONS

6.1 INTRODUCTION

The previous chapter dwelled on the results from the group interviews as well as the responses from the questionnaires. The interpretation and analysis was based on the literature review of the performance management system, the PMS policy of Lesotho and the responses from the group interview participants and questionnaire respondents. The study's purpose and research questions have also been used to arrive at conclusions made by the researcher. Therefore in this chapter the researcher concentrates on the conclusions and recommendations.

The researcher's conclusions will be centred on the following:

- Implementation of the PMS;
- Link of PMS to the national strategic goals;
- The benefits of the Lesotho's PMS;
- Capacity of the Ministry of Public Service in handling PMS; and
- Challenges for the Kingdom of Lesotho's PMS.

6.2 IMPLEMENTATION OF THE PMS POLICY

The researcher has concluded that:

- The public service did not implement all the principles of the PMS policy as conceived in the policy document. There are aspects of the PMS policy that have not been implemented. For example, performance based rewards. Participants from the group interviews

confirmed that best achievers – those employees that perform beyond expectations were not recognised in anyway in terms of rewarding their efforts. Senior managers also agreed that there was no direct system of performance based payment.

- There are ministries that have not implemented the PMS policy. Some participants in the group interviews as well as the questionnaire respondents have indicated that the PMS in their respective ministries was not actively implemented in the financial year the study was conducted.
- The Ministry of Public Service (MPS) does not monitor the implementation of the PMS. The evidence obtained from the questionnaire respondents and the group interview participants indicates that there are no employees' performance assessment reports submitted to the MPS and there is no evidence that the MPS itself has demanded such reports from the line ministries.

6.2.1 RECOMMENDATIONS ON THE PMS IMPLEMENTATION

It is recommended that:

- The principles of the PMS policy should be fully implemented if the enhancement of the public service delivery is to be achieved. In this case, rewarding of employees that exceeded their targets should not only be in the form of monetary rewards but it could also be in any other form of a prize, for example certificates of excellence/ recognition.
- The MPS human resources department should maintain a record of departments that fail to comply with the PMS policy. In such cases

disciplinary action should be taken against the ministries that do not abide.

- The MPS should adopt monitoring mechanisms that would compel human resources departments in line ministries to provide employees' performance assessment reports to the human resources department of the MPS on annual basis.

6.2.2 LINK TO THE NATIONAL STRATEGIC GOALS

According to the respondents from the study's questionnaires, it has been established that the PMS is based on the national strategic goals. However, the challenge lies with the process of updating and informing line ministries about the current national priorities. The Lesotho's PMS policy claim that national priorities are communicated to ministries in the last quarter of the current financial year and there is evidence that this is not taking place consistently. This therefore leaves line ministries with the previous year's performance targets upon which the current financial year's new employee performance targets are based on.

Participants in the group interviews had also indicated non-alignment of individual performance goals to the national goals. This finding means that some individual employees may spend the whole financial year pursuing activities that contribute little to the enhancement of the public service delivery.

6.2.3 RECOMMENDATION ON LINK TO THE NATIONAL GOALS

Based the conclusion above that there is an inconsistency between individual employee goals and their respective ministerial goals, more time in terms of departmental employee performance planning meetings should

be held in the last quarter of the financial year. This would assist in ensuring alignment of employees' goals with that of public service as a whole.

The government secretary (GS) should also coordinate the process of development of national priority and urgent public service performance areas. The GS should liaise with the Ministry of Finance and Economic Planning for timely release of the national strategies which will be pursued by respective ministries.

6.2.4 THE BENEFITS OF THE LESOTHO'S PMS

The PMS has been used as a yardstick by some employees in assessing their own performance strengths. In some instance, some employees have been accorded with the training opportunities, promotions and increased salaries. This increased motivation for these employees.

Other participants regarded the PMS as displaying little benefits in terms of enhancing the public service delivery. The services of certain ministries in the public service could be used to illustrate this point. According to the group participants, the issuing of national passport documents to applicants by the Ministry of Home Affairs, takes more than three years. If the PMS had been strictly monitored, many employees and managers would have been disciplined.

6.2.5 RECOMMENDATION ON THE PMS BENEFITS

This study recommends that all the employees in the public service should receive training on the PMS and the emphasis should be on the contribution of the PMS towards nurturing the individual employees'

development plans (career path) while at the same time pursuing the public service goals.

6.2.6 CAPACITY OF THE MINISTRY OF PUBLIC SERVICE (MPS)

The MPS has not adequately coordinated the PMS. Group participants and questionnaire respondents blamed poor training; personnel and finances involved. The MPS has not been able to provide the required assistance to the line ministries as a result employees in respective ministries got de-motivated. This resulted in employees not implementing the PMS.

6.2.7 RECOMMENDATIONS ON THE CAPACITY OF THE MINISTRY OF PUBLIC SERVICE

A unit within the MPS should be established to coordinate the PMS. There are eighteen line ministries and these have around thirty thousand employees (Thahane, 2006: 9). Therefore in order to deal with around thirty thousand performance reviews from these ministries, the MPS needs trained personnel and adequately staffed unit. This implies that the GoL should provide financial support for the establishment of such a unit and also for training of officers in this unit.

6.2.8 CHALLENGES FOR THE KINGDOM OF LESOTHO'S PMS.

There are a number challenges with regard to the current PMS identified during the study however the following have been central:

- PMS was a direct response of the GoL to donor communities' requirement for further funding through the Poverty Reduction Strategy (PRS). The process has therefore been prematurely implemented to meet funding and aid requirements. The GoL needs to find out long term solutions to reducing the misperception about the PMS.

- There is also a need for the GoL to give the PMS a legal base. Compliance by ministries and individual employees could be very difficult to enforce because the PMS is not backed up by legal regulations or act of parliament. In this regard, the PMS should be given the legal status.
- Political will. The post military regime parliament of Lesotho (1993 to 2009) has never ‘fired’ any minister based on poor performance of the ministry under his/ her leadership. It therefore looks like the political officers in Lesotho are not offering support to the PMS policy. Even though the political officers themselves should also be evaluated in terms of their performance, this has not taken place. Therefore if the political arm is not monitoring the public service’s policies, then the PMS also could not attain its intended goals.

6.3 LIMITATION OF THE STUDY

The major limitation to this study has been the access of GoL’s documents, for example the PMS policy and other related documents. However after numerous attempts, the information was released to the researcher and this had impacted negatively on the schedule of the study.

The researcher relied on one tape recorder which could run for maximum of ninety minutes. This made transcribing of participants’ responses hectic since the researcher had to transcribe onto a notebook every time after the group interview.

Lastly, the researcher’s tight work schedule and tight activities of this study put a lot of pressure on the researcher and as a result this might have compromised the quality of the study.

6.4 SUMMARY

The study's hypothesis that poor implementation of the PMS was a result of donors' pressure on Lesotho to put measures in the public service that would ensure that what has been invested by these donors is being indeed pursued and attained within the agreed time or period has been established. As a result necessary preparations were not adequately done to ensure smooth implementation and sustainability would be achieved. The information used to arrive at this conclusion has been obtained from the interviews of both the senior management and the junior public servants.

Numerous recommendations have been made to counteract the challenge facing the GoL's PMS. As earlier noted, the PMS policy could be prosperous if implemented as is. The researcher therefore established that with proper implementation and monitoring, the current PMS policy could enhance the effective and efficient human resource performance.

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1993 Constitution of Lesotho

APPENDIX A: GROUP INTERVIEW QUESTIONS

<p style="text-align: center;">INVESTIGATION TO THE IMPLEMENTATION OF PERFORMANCE MANAGEMENT SYSTEM IN THE LESOTHO'S PUBLIC SERVICE</p>
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FACILITATOR: MOKHITLI P. KHOABANE- RESEARCHER

OBSERVER: ITHABELENG MATLOSA- CONSULTANT

GROUP LEADERS: RAKOLOI TEBOHO (MR.)
MATSELISO MOELETSI (MRS.)
MOSIUOA JOBO (MR.)
NTHATI MAKOA (MISS)
MANTSEBO BOFIHLA (MISS)

DATE: NOVEMBER – DECEMBER 2007

1. What do you think performance management is all about?
2. What benefits do you think performance management system adopted in 2004 has brought for the Lesotho's public service?
3. What expectations and experiences do you have regarding the performance management system adopted by Lesotho's public service?

4. Do you think the Ministry of Public Service can effectively administer the performance management system?

THANK YOU

APPENDIX B: STUDY'S QUESTIONNAIRE

**QUESTIONNAIRE
INVESTIGATION TO THE IMPLEMENTATION OF
PERFORMANCE MANAGEMENT SYSTEM IN THE
LESOTHO'S PUBLIC SERVICE**

Dear Respondent

1. This questionnaire consists of both closed and open ended questions. Please make a tick while answering closed ended questions and use your own words for open ended questions.
2. This questionnaire consists of 39 questions and takes about 20 minutes to complete.
3. Your responses will be used for research purposes only. All responses will be treated as confidential. It is only the researcher that will have access to the completed questionnaire.
4. Research findings will be captured and integrated into a dissertation as partly fulfilment of the requirements of the degree in Master in Public Administration at the university of the Free State, South Africa. The findings could also be made available upon request from the researcher.
5. Please provide honest and true answers to the questions.
6. Please return this questionnaire within five days.

THANK YOU FOR YOUR PARTICIPATION.

MOKHITLI P. KHOABANE

1. Which government ministry do you work for?

2. How long have you been working for this ministry? Please tick.

- Less than 2 years
- Between 2- 5 years
- Between 6- 10 years
- More than 10 years

3. Have you been provided with the following?

	Yes	No
Job Description	<input type="checkbox"/>	<input type="checkbox"/>
Departmental work plan	<input type="checkbox"/>	<input type="checkbox"/>

4. Do employees serve a probation period in your ministry? Please tick.

- Yes
- No
- Not sure

5. If your answer is yes in 4, what kind of a system of performance evaluation is used at the end of a probation period?

6. What is your own understanding of performance management?

7. Indicate by circling the number that best describe your feeling about the benefit of performance management in your department. Let 1 be the lowest and 5 the highest.

1 2 3 4 5

8. What benefits could be derived from performance management? Please tick.

Training opportunities Promotions Scholarships

Paid study leave Don't know

Other _____

9. Does performance management within your department link coherently to corporate objectives and priorities; operational services as well as individual employee objectives?

 Yes

 No

 Not sure

10. How are managers/ leaders involved in setting clear direction and organisational strategy?

11. How are strategic priorities agreed, reviewed and updated on a regular basis?

12. To what extent is performance management supported by clearly identified measures and key performance indicators? Let 1 be the smallest and 5 the highest.

1 2 3 4 5

13. Does your ministry have any kind of mentoring or coaching mechanism for employees?

- Yes
- No
- Not sure

14. If the answer is yes in 13, please attach a document that explains the process or briefly describe the mechanism referred to in 13.

15. Do all employees sign a performance agreement?

- Yes
- No
- Not sure

16. Is there any form of induction or orientation to the job for new employees in your department?

- Yes
- No
- Not sure

17. If the answer is yes in 16 above, attach the manual or describe how the induction/ orientation is carried out.

18. Please list 3 of your personal expectations and experiences about the current performance management system adopted by the public service in Lesotho.

Expectations:

- 1.
- 2.
- 3.

Experiences:

- 1.
- 2.
- 3.

19. If the public service was to develop a new performance management system, what would you like the system to entail?

20. Describe briefly the process of developing employees' targets to be obtained in relation to the government's policies and strategies.

21. Do you think the performance management system adopted achieved the intended goals? If yes, name five milestones.

22. How often are employees appraised?

- Quarterly
- Half yearly
- Yearly
- None

23. In your opinion, do you think the supervisors/ managers have the capacity to administer the performance evaluation/ appraisal schemes adequately? Please explain.

24. Was there any training provided for all the employees (appraisers and appraisees) before the implementation of the performance management system?

- Yes
- No
- Don't know

25. Is there a mechanism in place to solve disagreements that arise during the performance appraisal?

- Yes
- No
- Don't know

26. If the answer is yes in 25 what process is followed to solve the problems?

27. Do non- performers get dismissed?

- Yes
-

- No
- Don't know

28. If the answer is yes in 27, describe the procedure for dismissal.

29. What kind of remedial and systematic support is there to help non-performing employees improve their performance?

30. Are the achievements of individual rewarded in any way after the appraisal?

- Yes
- No
- Don't know

31. How are the outcomes of an appraisal communicated to employees?

32. What kind of feedback is given to appraisees after the appraisal?

33. Name polices and regulations that guide the performance management system adopted by the public service in 2004?

34. Is the performance management adopted in 2004 still applicable in the public service?

Yes

No

Not sure

35. If the answer is No above, what could be the possible reasons?

36. In the budget speech for 2008/09, the finance Minister announced a 15% salary increase across the board for all the civil servants. How does this salary increment affect performance management?

37. Are exit interviews conducted in your ministry?

Yes

No

Not sure

38. In your own opinion, do you think the Ministry of Public Service in particular can manage and follow the principles of the performance management system?

Yes

No

Not sure

39. Please provide reasons for your answer in 38 above.

THANK YOU

PERFORMANCE AND DEVELOPMENT MANAGEMENT POLICY

1. PURPOSE

To establish and maintain an environment where the performance and productivity of the Public Service is enhanced in order to support the achievement of national goals.

2. OBJECTIVE

The Performance and Development Management System aims

- To objectively assess individual performance against set standards
- To align individual performance with organisational goals
- To enhance harmonious relationships between Appraiser and Appraisee
- To build a culture of continuous organisational and individual development.
- To enhance a culture of results-oriented performance and development.
- To reward performance
- To remunerate staff based on performance

3. POLICY GUIDELINES

- The Policy on Performance Management and Performance Related Pay will inform the implementation of the performance and development management process and system.
- Management, including Ministers should at all times be fully informed and knowledgeable on the Performance and Development Management System.
- The successful implementation of the Performance and Development Management System will be contracted with Human Resources Officers and Line Managers and Supervisors.
- Line Management will implement each phase of the performance cycle, whilst Human Resource will provide support and advice on the process.
- Progress on implementation will be communicated to Management by Human Resources.

- The development of Appraisees are both the responsibility of the Appraisee and the Appraiser. Appraisers should however indicated and create opportunities for competence development.
- A central Performance and Development Management coordination team, from the Management Services Department will ensure coordination , alignment and guidance for the implementation of Performance Management and Development across Ministries.

3.1 Ministerial Planning

- The Cabinet Secretariat, within the Office of the Prime Minister, shall issue guidelines on national priorities (for the following financial year) on an annual basis, at least 6 months before the beginning of the financial year and the annual plans for each Ministry shall be based on those priorities.
- Each Government Ministry or Department shall prepare an annual operational plan which shall, among others, set out measurable objectives and activities of that Ministry or Department in accordance with the objectives stipulated in the National plan as prepared by the Ministry of Finance and Development Planning.
- The Cascade of National, Ministerial, Departmental and Sectional Strategic and Operational plans should be finalised in the fourth quarter, prior to the beginning of the financial year.
- The performance contracting of Top Management will leverage the planning process in all ministries.
- Readiness Assessments will be conducted per Ministry prior to the Planning and Assessment phases of the performance cycle to evaluate the Ministry's readiness to roll the process out. The readiness assessment should at least consider the following factors:
 - Availability of resources.
 - Availability of management tools (e.g. national /departmental priorities)
 - Key stakeholder commitment
- Management /supervisor skills / ability to implement.

- An annual performance management implementation plan, compiled by Human Resource in consultation with Management will guide the implementation of performance management in all ministries.
- The Ministerial Performance Management Implementation Process Plans will be aligned across Ministries to run simultaneously.

3.2 Individual Planning

- Performance is managed over a one-year period, from April to March. Each full time employee must have a Performance plan agreed upon between him and his Appraiser, which has been signed off by the relevant Principal Secretary, Head of Department or Sectional Head.
- The Individual Performance planning Process should be finalised at the end of the fourth quarter of every financial year.
- The Individual Performance plan should be informed by the job description and the operational plan for the division. Job descriptions must be used to determine outputs required of an employee and the competencies required to achieve outputs. Strategic plans/operational plans must be used to determine quality, quantity and time measures.
- The Individual Development Plan of employees should be aligned with the competencies indicated in the job description.
- Re-planning can take place at any time during the performance cycle if any aspect of the plan becomes either irrelevant or requires change.
- If an Appraiser has a number of Appraisee under his/her control performing the same outputs, they may do planning as a group by mutual agreement. Development plans must be drawn up in Individual Development Planning sessions between the Appraiser and Appraisee.
- Acting Appraiser have the same authority, responsibility and accountability as a full time incumbent for purposes of this policy.
- Performance planning should be informed by the actual performance of the previous year.

- Review is a mandatory process that should take place on a quarterly basis involving formal feedback on Performance and Development.
- A conducive environment should be created to enhance free expression and participation during performance review and feedback.
- Review should be based on clear, mutually agreed upon performance standards and objectives.
- In the case of officers on probation, performance review shall be carried out quarterly and submitted timely to Ministerial Human Resources.

3.5 Performance Assessment

- The annual assessment of performance must be conducted in March of every year.
- Performance assessment is developmental in nature and an interactive process and takes place between the Appraiser and Appraisee, involving honest and clear feedback on performance against outputs with the aim of enhancing employee performance.
- Performance assessment should be based on the Appraisee's performance against job requirements, and not personal/personality factors. Appraisees are assessed against their performance plan, thus mutually agreed upon outputs. The planned outputs and progress with the development of competencies required in delivering the outputs must be assessed.
- The Appraisee and Appraiser must compile a portfolio of evidence to ensure the assessment is based on facts and not perceptions. Supportive evidence should be gathered by both the appraiser and the Appraisee.
- A Performance Agreement Form, relevant to the applicable level to be provided by the Ministry of Public Service shall be completed and signed by both Appraiser and Appraisee.
- Assessment of progress with development must be done to determine if the Appraisee developed successfully during the past year.
- Incomplete or unsuccessful development should form the basis of subsequent

development plans.

- When an Appraisee or Appraiser is transferred during the course of the year, interim assessments must be completed to enable the new Appraiser to make a proper assessment at the end of the period.
- In the case of officers on probation, performance appraisals shall be carried out annually by the supervisor and timely submitted to Human Resource for submission to MPS.
- A copy of the completed performance appraisal form shall be submitted by the Head of the Department or Section as the case may be, to the Ministerial Human Resource Department within two weeks after the expiry of the performance appraisal session.
- Ministerial Human Resource shall co-ordinate and report on the completion of performance appraisals and submit completed forms of MPS.

3.6 Resolution of Disagreement

- The disagreement should be clearly and specifically documented by the Appraiser and signed by both the Appraiser and Appraisee.
- The local resolution of disagreement session should be convened within 5 working days and will involve the Appraiser, Appraisee and the next level of supervision.
- Provision should be made for a technical advisor, when required.
- Unresolved disputes on performance assessment should be dealt with in accordance to the Dispute Resolution Procedure.
- Mutual respect must be maintained throughout the process.
- The resolution of disputes should be conducted within 30 days of declaring the dispute.

4. ROLE AND STATUS OF RECOGNISED STAFF ASSOCIATION / REPRESENTATIVES

- A representative will be entitled to assist the Appraiser during the formal Disputes Procedures, on condition that -
 - i. the representative is an official/member of recognised staff association;
 - ii. the Appraiser specifically requests the assistance and presence of the representative;
 - iii. the Dispute Procedures is not unnecessarily delayed due to the non-availability of the representative; and
 - iv. The representative is fully conversant with the performance and development management process.

5. MAINTENANCE

The following actions will, amongst others, be taken to fine-tune and further develop the system:

- i. Audits to check on the process; identify problem areas and adapt the system.
- ii. Efforts to develop the people management skills of managers. A development plan for managers will be put in place to ensure that they are able to coach and provide regular feedback performance against output and development.

6. ROLES AND RESPONSIBILITIES

Line Manager/Supervisor

- Manage all aspects of performance and development Appraise.

Human Resources

- Do research and development, policy, design ensure consistency of application, and provide supportive tools organisation wide in support Performance and Development Management System

7. COMPLIANCE

Violation of this policy may result in disciplinary action up and to including dismissal.

8. PROCESS

8.1 Implementation of a Performance Management Strategy

MACRO PROCESS	SUB - PROCESS	FORMS	RESPONSIBLE PERSON	AUTHORIZATION
Line Commitment	Continuous sensitisation of Management on the Performance and Development Management System	PM Policy	HR Heads	
	Call on the Government Secretary to release national priorities prior to the beginning of the planning		HR MPS Principal Secretary MPS	
	Initiate the release of an internal circular per Ministry, indicating Ministerial priorities	<ul style="list-style-type: none"> • National priorities • Internal Memo • Legal notice 21 of 2000 • Strategic Plans 	HR Heads	
	Do a presentation on progress at the monthly Ministerial Management Meeting		HR Heads	
	Do a final presentation on the implementation at the end of each phase of roll out.		HR Heads	
Readiness Assessment	Present a proposal to Management on conducting a readiness assessment study (optional)		HR Heads	
	Train HUMAN RESOURCE staff on the methodology of		HR Head	

	the assessment (optional)			
	Prepare the assessment tool (optional)		HR OFFICER	HR Heads
	Conduct the readiness assessment		HR OFFICER	
	Compile a report on the areas of concern and present to Management		HR Head	
	Plan interventions to raise the organisational readiness		HR in consultation with Line Manager	Principa Secreta
	Implement intervention to raise organisational readiness		HR in consultation with Line Managers	
	Monitor and report on progress. Re-plan if required		HR Head	
Plan Implementation	Provide national guidelines for the Performance Implementation Cycle	Circular Savingram	Management Services	Princip Secret MPS
	Establish a national performance implementation coordination committee with representation for HR in each Ministry		MS Services	
	Draw a Ministerial Annual Performance Implementation Plan (include objectives, milestones, responsibilities, resources and timesheets)		HR Head	
	Align Annual Performance Implement Plans across Ministries		Management Service	
	Have the Performance Implementation Plan endorsed by the highest authority in the Ministry		HR Head	Prin Secret
Communicate Policy	Sensitise all supervisors / managers the policy guidelines		HR Heads	

	Sensitise Staff on policy guidelines		HR Heads/Officers	
	Monitor application / adherence		HR officer	
	Advise on the policy		HR officer	
Cascade Performance And Development Management Planning	Ensure that national and Ministerial priorities are communicated to all Managers	<ul style="list-style-type: none"> • Strategic Plans • National Priorities 	HR Head through Principal Secretary	
	Provide guidelines and time frames for the compilations of Departmental / Sectional plans	<ul style="list-style-type: none"> • Strategic Plans • National Priorities 	HR Head	Princip Secret
	Where required, facilitate the appointment of Departmental Performance Management Steering		HR Head	
	Committees to drive the process where required, and to build capacity in Departments / Sections to develop operational plans.		HR Head	
Communicate	Include Planning the way in which Performance Management should be communicated in your Performance and Development Management Implementation plan		HR Head	

8.2 HR Process Steps in coordinating the Performance Management Cycle

MACRO PROCESS	SUB-PROCESS	FORMS	RESPONSIBLE PERSON	AUTHORITY
Planning	Announce the planning phase pro-actively through a circular		HR Head	
	Advise management and employee in the process of planning		HR Officer/ Head	
	Provide the required forms and documents		HR officer/Head	
	Provide guidelines and coaching as and when required		HR Officer/Head	
	Communicate the deadlines for the submission of work plans		HR Head	
	Monitor Progress against the deadlines and liase with management when required		HR Head	
	Compile a database of plans based on signed spreadsheet received from Line Manager		HR Head	
	Observation Feedback	Prepare guidelines on observation, feedback and coaching to assist line in the implementation of the process	Internal Memorandum	HR Officer

	Monitor the implementation process		HR Officer	
	Report to management on the progress		HR Head	
	Conduct audits to measure qualitative implementation		HR Officer	
Review	Announce the review period	Internal Memorandum	HR Head	
	Ensure that LM has the expertise to conduct reviews		HR Head	
	Provide guidelines on the review process		HR Officer	
	Monitor, record and report on progress spreadsheet		HR Officer	
	Obtain forms, update database and file the forms		HR Officer	
	Validate quality of review plans		HR Officer	
Assessment	Announce the assessment period	International Memorandum	HR Head	
	Communicate clear guidelines on the implementation of the process		HR Officer	
	Monitor progress		HR Officer	
	Provide advice to line management and staff as and when required.		HR Officer	
	Record progress and report to the Management team		HR Officer	
	Compile and update a database of completed assessments		HR Officer	

	Submit the Performance agreement to the MPS		HR Head	
Resolution of disagreement	Advise an resolution of disagreement procedure if required		HR Officer	

8.3 Line Management Process steps for implementing the Performance Management Cycle

MACRO PROCESS	SUB - PROCESS	FORMS	RESPONSIBLE PERSON	AUTHORIZATION
Planning	Schedule the time table for planning sessions and inform staff		Appraiser	
	Prepare resources, documents and other logistics	Review sheets	Appraiser	
	Obtain the job descriptions applicable to all positions.	Job Description	Appraiser	
	Obtain the departmental/Divisional plan and study	Divisional Plan	Appraiser	

	<p>Planning:</p> <p>Clarify the purpose of the planning session</p> <p>Give an overview of the divisions objectives.</p> <p>Explain how the appraiser's job fits into the bigger picture.</p> <p>Discuss each output and the performance requirements expected in term of each output.</p> <p>Indicate how performance will be measured</p> <p>Discuss performance barriers</p> <p>Compile the competence development plan</p>	PM Planning and Assessment form	Appraiser	
	Sign the performance agreement		Appraiser Appraisee	
	Forward the signed spreadsheet of plans completed to HR		Appraiser	
Observation and feedback	Agree on observation methodology and the implementation thereof.		Appraiser Appraisee	
	Continuously monitor and observe performance and progress of employees		Appraiser	
	Observe the strengths & weaknesses of employees in workplaces.		Appraiser	
	Record progress on		Appraiser	

	performance, highlighting outputs & areas of development			
	Provide immediate feedback on performance and agree upon developmental actions		Appraiser	
Review	Schedule review sessions with all staff		Appraiser	
	Arrange logistics and inform employees of the session		Appraiser	
	Compile portfolios of evidence		Appraiser	
	Advise employees on how to prepare for the session		Appraiser	
	Give constructive feedback focusing on outputs		Appraiser	
	Provide guidelines on improvement & obtain suggestions from employees on how he/she can improve performance		Appraiser	
	Note key elements of the discussion		Appraiser	
	Adapt the formal performance plans if required		Appraiser	
	Sign the form and have the employee signing it	PM form	Appraiser	
	Close the session and express your confidence in the employee		Appraiser	
Assessment	Prepare the schedule and inform staff		Appraiser	
	Review your portfolio of evidence (Review notes)	PoE	Appraiser	
	Arrange assessment session		Appraiser	
	Conduct the assessment	PM Form	Appraiser	

**APPENDIX D: PERFORMANCE APPRAISAL FORM: LESOTHO'S
PUBLIC SERVICE**

**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 specifications; (b) properly knows the officer being appraised through work supervision 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	
	FIRST APPOINTMENT/...../.....
	APPOINTMENT TO PRESENT POST/...../.....
	COURSES ATTENDED DURING PERIOD OF APPRAISAL	
	PERIOD WORKING WITH THE PRESENT APPRAISER
2.	NAME OF APPRAISER
	POSITION
	FIRST APPOINTMENT/...../.....
	APPOINTMENT TO PRESENT POST/...../.....

This Form is confidential and is held by the Supervisor during the review year. The appraiser should hold a copy. When completed the Form is held in the appraisee's confidential file and 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
3. The third and fourth to be held by the MPS and the Employee respectively.

ANNUAL WORKPLAN

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

Appraiser's Signature Appraisee's Signature

Period of Review: From To

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

Name: Personal No:

Designation: Grade:

Ministry: Department/Section

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

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 Workplan are noted. If additional space required add an extra page.

<p>Progress for the quarter</p> <p>from</p> <p>to</p>	<p>Workplan Adjustments if required</p> <p>Appraiser's Comment on Progress made to date</p> <p>SignatureDate</p>	<p>Appraisee's Comment</p> <p>SignDate</p>
<p>Progress for the quarter</p> <p>from</p> <p>to</p>	<p>Workplan Adjustments if required</p> <p>Appraiser's Comment on Progress made to date</p> <p>SignatureDate</p>	<p>Appraisee's Comment</p> <p>SignDate</p>
<p>Progress for the quarter</p> <p>from</p> <p>to</p>	<p>Workplan Adjustments if required</p> <p>Appraiser's Comment on Progress made to date</p> <p>SignatureDate</p>	<p>Appraisee's Comment</p> <p>SignDate</p>
<p>Progress for the quarter</p> <p>from</p> <p>to</p>	<p>Workplan Adjustments if required</p> <p>Appraiser's Comment on Progress made to date</p> <p>SignatureDate</p>	<p>Appraisee's Comment</p> <p>SignDate</p>

PERSONAL QUALITIES AND BEHAVIOURAL SCALE

KNOWLEDGE OF WORK	4	3	2	1	RATING			REMARKS
					Appraisee	Appraiser	Joint Rating	
<p>KNOWLEDGE OF WORK The officer knows objectives, procedure and details of the job</p>	<p>4 Fully informed Knows the job very well</p>	<p>3 Knows the job well, has mastered some details of the job</p>	<p>2 Knows some parts of the job</p>	<p>1 Improving slowly</p>				
	<p>4 Highest possible</p>	<p>3 Very good</p>	<p>2 Satisfactory</p>	<p>1 Too many faults</p>				
<p>OUTPUT: ACCURACY Accurate and reliable is output</p>	<p>4 Consistently meeting deadlines, appointments, arrival and leaving workplace within agreed times</p>	<p>3 Meet deadlines, often keeps time for arrival and leaving the workplace</p>	<p>2 Occasionally meet deadlines, often does not keep time for arrival and leaving the workplace, often late and absent every week/month</p>	<p>1 Does not meet deadlines, often late or/absent from the workplace (late and absent every week/month)</p>				
	<p>4 Very high level of initiative</p>	<p>3 Much initiative</p>	<p>2 Adequate</p>	<p>1 Rarely shows any</p>				
<p>INITIATIVE Each initiative resulting in accomplishment is shown</p>	<p>4 Exceptionally good</p>	<p>3 Very Good</p>	<p>2 Reasonably good</p>	<p>1 Somewhat lacking</p>				
	<p>4 Exceptionally good at all times</p>	<p>3 Always clear and well set out</p>	<p>2 Generally clear and concise</p>	<p>1 Good enough to get by</p>				
<p>ORGANISATION OF PERSONAL AFFAIRS Organiser get along with superiors, supervisees, co-workers and the public</p>	<p>4 Exceptionally effective organiser</p>	<p>3 Considerable Organising skills</p>	<p>2 Satisfactory</p>	<p>1 Indifferent Organiser</p>				
	<p>4 Exceptionally effective organiser</p>	<p>3 Considerable Organising skills</p>	<p>2 Satisfactory</p>	<p>1 Indifferent Organiser</p>				

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

Appraisee's Remarks

Other Management Comment: Head of Department/Principal Secretary (if required)

Date Signature

Rating Performance

Outstanding

exceptional performance

Very Good

performance consistently at required level

Good

performance at required level

Satisfactory

performance usually meets required level

Unsatisfactory

performance less than expected level

Appraiser's
Signature

Appraisee's
Signature

Date

Date

**APPENDIX E: REQUEST FOR PERMISSION TO CONDUCT A PMS
RESEARCH**

Box 13033
Maseru

November 12

The Principal Secretary

Ministry of Public Service
Box 391
Maseru

Dear Sir/ Madam,

**RE: REQUEST FOR YOUR STAFF'S PARTICIPATION IN THE STUDY
PERFORMANCE MANAGEMENT.**

My name is Mokhitli P. Khoabane. I am a student (St No.: 2005088212) of the University of the Free State who is currently studying Master's in Public Administration. I am doing a dissertation whose topic is: Investigation to the Implementation of performance management system in the Lesotho's Public Service.

The aim of the study is to look at the implementation of a performance management system in particular the following:


- Benefits it has brought for Lesotho's civil service in terms of service delivery.
- Challenges it has brought to the entire civil service.

The purpose of this study is only meant for the academic purposes only and the participants will only remain known to the researcher.

The collection of data from your staff will only require thirty minutes of their time.

Anticipating your warmth and positive response.

Yours Sincerely,



Mokhitli P. Khoabane
Associate Researcher
Examinations Council of Lesotho
+266 22312880





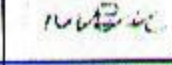
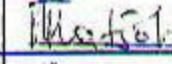
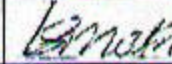
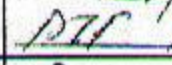
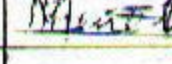
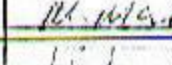



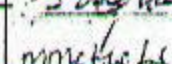
APPENDIX F: PARTICIPANTS CONSENT AND ATTENDANCE REGISTER

ATTENDANCE REGISTER: PERFORMANCE MANAGEMENT: PROS AND CHALLENGES FOR THE LESOTHO'S PUBLIC SERVICE

RESEARCHER: M. P. KHOABANE

SIGNATURE 

INSTRUCTION:
PLEASE WRITE THE MINISTRY YOU REPRESENT AND YOUR SIGNATURE ON THE
COLUMN.

	DATE	MINISTRY/ DEPARTMENT	SIGNATURE
1	19.11.2008	Ministry of Public Service	
2	"	"	
3	"	"	S. Moko
4	"	"	L. Pheko
5	21.11.08	HOME AFFAIRS JUSTICE	
6	"	"	
7	"	"	
8	"	"	
9	22.11.08	EDUCATION & TRAINING	
10	"	"	
11	"	"	
12	"	"	
13	"	PARLIAMENT	
14	26.11.08	HOME AFFAIRS	
15	"	"	
16	27.11.08	FINANCE	
17	"	"	