



**CRITICAL EVALUATION OF KEY PERFORMANCE INDICATOR  
(KPI) - BASED PERFORMANCE MANAGEMENT SYSTEM (PMS):  
A CASE STUDY OF THE DEPARTMENT OF  
ADMINISTRATION OF JUSTICE IN BOTSWANA**

**By**

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## ABSTRACT

This research aims to contribute to the body of knowledge and advancement in the debates regarding 'Best Practice' PMS (HRM) vs. 'Best Fit'. The main objective of this research is to investigate PMS existing in the Department of Administration of Justice in Botswana. The research identifies gaps between 'Best Practice PMS (HRM) and PMS which currently exists in the department and suggests changes in order to reduce gaps between 'Best Practice' PMS (HRM) and PMS current practice. The research also explores the applicability of 'Best Practice' PMS (HRM) in the context of a developing country. According to the 'Best Practice' PMS (HRM), the core process entails observing the internal and external environment of an organisation, planning and designing a PMS, acting on the PMS and reviewing the PMS. The 'Best Practice' PMS (HRM) process, frameworks and PMS contextual factors were used to guide data collection and data analysis in this research. The department was selected because of its importance in Botswana regarding its responsibility for issues relating to the constitution, human rights, safety, reliability, stability, independence, impartiality, gaining confidence and respect inside and outside the country. This research aims to address some of the gaps identified in the literature reviewed. The literature revealed that most of the previous studies concentrated on the PMS and performance measurement systems in private organisations, particularly on PMS in the context of developed countries. This research adopted a single-case study approach in order to gain in-depth understanding regarding PMS existing in the case under investigation. Purposeful sampling technique was applied to select the department as case in the public sector in Botswana. Quantitative and qualitative data collection methods were used.

The key findings from this research suggest that, to a certain degree, the department followed the 'Best Practice' PMS (HRM) process. Results indicate that the PMS existing in the department was Key Performance Indicators (KPI)-Based PMS. The major gaps identified in this research include the lack of integration of HR strategy into PMS and organisational vision, strategic goals and objectives not linked with team and individuals. Furthermore, the department used a 'Top-Down' approach to PMS. Although there were some strengths to KPI-Based PMS existing in the department, there were some departures from 'Best Practice' PMS (HRM). The

research suggests that integration of a HRM strategy into PMS; linking department's vision, strategic goals with team and individuals; training and developing staff in PMS; a bottom-up approach to PMS and training and developing managers would enhance PMS in the department. Furthermore, improving communication, commitment, support and ownership by senior and middle managers in the department would strengthen the KPI-Based PMS. Since PMS is a new concept in Botswana, future research should further explore and investigate the usage and impact of PMS in the department and the public sector at large. Findings from this research have provided the context under which KPI-Based PMS could be applied. Though findings are specific to Department of Administration of Justice in Botswana, multiple case studies would further strengthen research regarding the applicability of a KPI-Based PMS in the context of a developing country.

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## **List of Abbreviations**

<b>BIAC</b>	<b>Botswana Institute of Accountancy and Commerce</b>
<b>BNPC</b>	<b>Botswana National Productivity Centre</b>
<b>BSC</b>	<b>Balance Scorecards</b>
<b>BPR</b>	<b>Business Process Re-engineering</b>
<b>BV</b>	<b>Best Value</b>
<b>BT</b>	<b>British Telecommunications</b>
<b>CRP</b>	<b>Competency Related Pay</b>
<b>CSF</b>	<b>Critical Success Factors</b>
<b>DAOJ</b>	<b>Department of Administration of Justice</b>
<b>DOJ</b>	<b>Department of Justice</b>
<b>DPSM</b>	<b>Directorate of Public Service Management</b>
<b>EFQM</b>	<b>European Foundation for Quality Management</b>
<b>FTSE</b>	<b>Financial Times Stock Exchange</b>
<b>EVA</b>	<b>Economic Value Added</b>
<b>GPRA</b>	<b>Government Performance Results Act</b>
<b>HCO</b>	<b>High Commitment Organisations</b>
<b>HR</b>	<b>Human Resource</b>
<b>HRM</b>	<b>Human Resource Management</b>
<b>HPWS</b>	<b>High Performance Work Systems</b>
<b>ICT</b>	<b>Information, Communication and Technology</b>
<b>liP</b>	<b>Investors in People</b>
<b>ILO</b>	<b>International Labour Organisation</b>
<b>IPM</b>	<b>Institute of Personnel Management</b>
<b>IHRM</b>	<b>International Human Resource Management</b>
<b>KPI</b>	<b>Key Performance Indicators</b>
<b>LO</b>	<b>Learning Organisation</b>
<b>OD</b>	<b>Organisational Development</b>
<b>OECD</b>	<b>Organisation for Economic Cooperation and Development</b>
<b>O and M</b>	<b>Organisation and Methods Review</b>
<b>MBO</b>	<b>Management By Objectives</b>
<b>NHS</b>	<b>National Health Services</b>
<b>PIC</b>	<b>Performance Improvement Coordinator</b>
<b>PM</b>	<b>Performance Management</b>
<b>PMS</b>	<b>Performance Management System</b>
<b>PRP</b>	<b>Performance Related Pay</b>
<b>QC</b>	<b>Quality Circles</b>
<b>QWL</b>	<b>Quality of Working Life</b>
<b>SADC</b>	<b>Southern African Development Coordination</b>
<b>SHRM</b>	<b>Strategic Human Resource Management</b>
<b>SMART</b>	<b>Specific, Measurable, Achievable, Realistic and Time Bounded</b>
<b>SWOT</b>	<b>Strengths, Weaknesses, Opportunities and Threats</b>
<b>TQM</b>	<b>Total Quality Management</b>
<b>UK</b>	<b>United Kingdom</b>
<b>USA</b>	<b>United States of America</b>
<b>WITS</b>	<b>Work Improvement Teams</b>

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## CHAPTER 1

### INTRODUCTION

#### 1.1 Introduction

Over the last two decades, public organisations have been under increasing pressure from customers, public and politicians for better service provision, sound financial management, performance and effectiveness. Due to mounting pressure to perform and be effective, governments in both developed and developing countries have adopted various strategies under the banners including privatisation, re-organisation, re-inventing government, modernisation, new public management, in order to improve performance, accountability and service delivery of public sector organisations (OECD, 1995; Christen and Laegreid, 2002; Haruna, 2003; Hugue and Yep, 2003; Radnor and McGuire, 2003). As revealed by the literature reviewed, public organisations are adopting performance management, measurement and performance improvement strategies initially designed for and applied in the private sector. Academics and practitioners have suggested to organisations to re-evaluate the stance of performance management as an integral part of HRM. Various 'Best Practice' PMS (HRM) processes, frameworks and approaches have been developed and suggested by academics and practitioners in order to help firms identify their performance management needs and design appropriate performance management systems (Sparrow and Hiltrop, 1994; Armstrong and Baron, 1998; Olve et al., 2000; Gibb, 2002). 'Best Practice' advocates for HRM policies, programmes and practices that could be universally applied and could lead to high performance (Armstrong and

Baron, 1998; Boxall and Purcell, 2003). On the other hand, proponents of 'Best Fit' argue that HRM policies and practices are affected by contextual factors (Tyson, 1995; Guest, 1987; Armstrong and Baron, 1998; Armstrong, 2001; Purcell, 1999; Boxall and Purcell, 2003). Organisations should design PMS and HRM strategy, policies and practices depending on their needs and context of the firm.

The 'Best Practice' PMS (HRM) suggest that a holistic and integrative approach to PMS. According to 'Best Practice' PMS (HRM), following the core process of observing, planning and designing, acting and reviewing a PMS would help organisations identify their performance management needs and formulate appropriate systems. Furthermore, the 'Best Practice' PMS (HRM) emphasises the link and alignment of organisational mission, vision, strategic objectives and goals with team and individual goals and aspirations. The ultimate aim of a PMS is to improve individual, team and organisational performance and effectiveness. There are contextual factors that affect PMS process (Armstrong and Baron, 1998; Boxall and Purcell, 2003 and others). The contextual factors include organisational structure and systems, work processes, climate, policy, technology, national and international laws and regulations and culture (Boxall and Purcell 2003). In addition, various frameworks and approaches have been suggested for organisations to base their PM systems, for example, key performance indicators, balance scorecards and best value (Kaplan and Norton, 1996b; Olve et al., 2000; Gibb, 2002; Radnor and McGuire, 2003).

As noted by various academics and practitioners, despite the availability of 'Best Practice' PMS (HRM), there are limitations to their applications. The limitations

include: piece-meal and quick fix approaches; rushed implementation; resistance to change; difficulty in deciding most appropriate best practice bundles; isolated HR processes and functions; lack of linkage between individual and organisational objectives; lack of training and development; limited participation and lack of top management support, ownership and commitment (Guest, 1990; IPM, 1992; Hartle, 1995; Armstrong and Baron, 1998; Purcell, 1999; Hendry et al., 2000; Haruna, 2003).

## **1.2 Background of the study**

The Department of Administration of Justice is one of the independent arms of government responsible for maintaining stability and social justice by providing justice fairly and independently. The Department of Administration of Justice is a unique department that was established according to the constitution of Botswana to impart justice swiftly and promptly. As stated in the organisation and review of 1995, the Department of Administration of Justice deals with highly sensitive matters. The department therefore, needs all financial and infrastructural support to be effective in its work (Botswana Government, 1995). The Department of Administration of Justice needs the right respect and independence from government, as it provides for people to pursue claim to justice, and doing so upholds justice and the rule of law. The Department of Administration of Justice is responsible for administering laws of Botswana guided by the constitution of the country. The function of the Department of Administration of Justice includes 'upholding provisions in the Constitution of Botswana of fundamental rights, freedom of individual, including dignity, respect for justice and confidence in the justice system' (Botswana Government, 1995, p.36). The department has high level of accountability, including impartiality, justice of the law

and judge according to the law (Botswana Government, 1995). Furthermore, the judicial system should be independent in interpreting and enforcing the laws of Botswana. The department was selected as a case study because of its importance in the economy in upholding provisions of the constitution, protecting the rights and freedoms of individuals. The department has the responsibility of interpreting and dispensing law and order impartially and independently, earning respect and confidence of citizens and the international community.

PMS was introduced in Botswana's public sector in 1999 in order to address problems relating to low productivity, low morale, and lack of accountability, poor performance and service delivery. PMS was adopted as a new strategy to improve performance and service delivery in public organisations. Performance improvement initiatives introduced in public service prior to PMS include job evaluation and work improvement teams (WITS). However, former performance improvement initiatives were not as effective as was expected. PMS was, therefore, introduced in 1999 as the latest strategy to improve performance and service delivery in the public sector.

The public sector plays a significant role in the economy of Botswana through employment and provision of development programmes and social services by various government ministries and independent departments. The Department of Administration of Justice had performance and service delivery problems, as did other government ministries and departments. The department had performance and HRM related problems including: backlog of cases due to staff shortages; high turnover of professional staff because of unattractive terms and conditions of service; lack of court facilities and office space; a weak appraisal system; and weak internal

communication (Botswana Government, 1995; Somolekae et al., 1999). In addition, the public and users of services provided by the department were complaining about the delay in justice delivery, for example the accused spending too long in prisons awaiting trial (Somolekae et al., 1999). PMS was therefore, introduced to alleviate the department of problems related to performance, lack of accountability, low staff motivation, and slowness in service delivery.

The focus of this research was on the Department of Administration of Justice as a case in the public service. The Department of Administration of Justice was selected as a case for in-depth study regarding PMS process, framework and contextual factors. Additionally, the department was selected because it appeared to be ahead in PMS implementation compared to other government departments. This research provided an opportunity to investigate the 'Best Practice' PMS (HRM) versus 'Best Fit' in the context of a developing country.

### **1.3 Definition of Performance Management**

There are various definitions of performance management and performance management systems, as the brief definitions that follow will demonstrate. This thesis aligns with the definition by Armstrong and Baron (1998) that views PMS as a strategic and integrated approach to delivering sustained success to organisations by improving the performance of people who work in them and by developing the capabilities of teams and individual contributors (Armstrong and Baron, 1998). Armstrong and Baron (1998) define performance management as holistic (all embracing) approach to managing performance and concerns all in the organisation.



Furthermore, Armstrong and Baron (1998) state that PMS is a strategic and integrated system to managing, monitoring, measuring and improving performance. Thus PMS is a holistic process that integrates HR strategy and aims to improve individual, teams and the organisation they work in.

Performance management is one of the most significant Human Resource Management (HRM) functions to improve employee and organisational performance and has an impact on productivity and service delivery. As defined by Storey (2001), HRM is an approach to employment management aiming at achieving competitive advantage through strategic employment of highly capable and workforce by utilising people management techniques. HRM or people management techniques include recruitment and selection, motivating, performance appraisal, training and development and employee relations. This research is interested in the KPI-Based PMS to managing, monitoring, reviewing and improving performance of people and the organisation they work in. The KPI-Based PMS involves development of objectives that are specific, measurable, achievable, realistic and time bound (SMART), top-down and bottom-up approach and value for money in public sector (Flapper et al., 1996; Gibb 2002). Key performance indicator and critical success factors are said to be common in organisations, (De Waal, 2003). Critical success factors are generated from organisation's mission statement and performance measures for each success factors are defined using key performance indicators (Sinclair and Zairi, 1995). Furthermore, performance indicators can be at strategic and operational level (Flapper et al., 1996).

Armstrong and Baron (1998) view performance management as a holistic (all embracing) approach to managing performance and concerns all in the organisation. Armstrong (2001) asserts that performance management is based on the principle of management by agreement or contract rather than management by command. Armstrong further maintains that performance management emphasises development and the initiation of self-managed learning plans as well as the integration of individual and organisational objectives. Armstrong (2001) asserts that:

‘The integrative process is not just about cascading objectives downwards. There should be an upward flow which provides for participation in goal setting and the opportunity for individuals to contribute to the formulation of their own objectives and to the objectives of their teams, functions and ultimately the organisation’ (p.487).

Hartle (1995) share the same view with Armstrong and Baron (1998) by defining performance management as a holistic, total management approach, which fits with organisation’s work cultures. Hartle further defines performance management as a process that creates ‘empowering climate for individuals and teams, has effective links with rewards and strives in a motivating work climate’ (p.61-60). Armstrong and Baron (1998) suggest that ‘performance management should address both aspects of performance regarding what people achieve and how they achieved it’ (p.392).

IRS (1992) view performance management ‘as a structured approach to improving the performance of individual employees, departments and the organisation as a whole, through the setting and monitoring of performance targets at every level’ (p.2). Hendry et al., (2000) point out that performance management should be a goal driven process and that the key process is communication and clarification of goals. Sparrow and Hiltrop (1994) view performance management as ‘an area of human resource management that has the potential to make the most significant contribution to

organisational effectiveness and growth' (p.551). Hartle (1995) points out that performance management was a once a year appraisal process in the 1960s and 1970s and a throughout the year appraisal process (MBO) in the 1980s. Hartle (1995) further suggests that in the 1990s, performance management was holistic and change oriented, where performance management was competency based, connected to business and culture. Houldsworth (2001) views performance management within organisations as 'an ongoing process throughout the year, and if it is done well, performance management is espoused as' motivational and developmental, capable of supporting and reinforcing a culture change' (p.7). Houldsworth (2001) maintains that performance management is closely associated with 'soft' HRM approach in which emphasis is on 'people management' and qualitative issues relating to flexibility, adaptability and communication. Fletcher (1993) asserts that 'there is no single universal definition of performance management; Fletcher views performance management as more of a 'philosophy'. Fletcher defines performance management as 'shared vision of purpose, and aims of the organisation, helps each worker understand and recognise his or her contribution' (p.28).

#### **1.4 Definition of Performance Management Systems (PMS)**

According to Armstrong and Baron (1998), PMS is defined as a strategic and integrated system to managing, monitoring, measuring and improving performance. Armstrong and Baron (1998) and Chmiel (2002) share the view that an effective PMS aligns individual performance with organisation's mission, vision, strategy and objectives. Hendry (1995) views PMS as an attempt to develop systematic objectives

for all employees. On the other hand, Bennett (1981) view PMS as a recent approach used closely with performance related pay (PRP).

According to Sparrow and Hiltrop (1994), the important feature about performance management is that it takes a 'whole business process approach', where an organisation's mission, vision, strategy, goals and objectives are integrated with team and individual objectives and aligned with HRM. Bratton and Gold (2003) state that 'during the 1990s the difficulties of assessment and appraisals as isolated activities resulted in a growing interest in PMS to ensure that HRM could be seen as vital to an organisation's concerns with performance improvement and competitive advantage' (p.261). Bratton and Gold (2003) further argue that 'PMS represents an attempt to show the strategic integration of HRM processes with assessment and appraisal central to a set of interrelated activities, which together can be linked to the goals and direction of an organisation' (p.261). Bratton and Gold (2003) point out that in a PMS, the attitudes of managers are crucial because they are the key actors in the implementation of the various HR processes.

The link between HRM and PMS can, thus, be established through the suggested holistic and integrative approach where individual, team and organisation's strategic aims and objectives are aligned with HRM policies. As indicated by Hendry (1995), performance management constitutes one of the HRM models in practice. According to Tyson (1995), HRM is concerned with recruitment and selection, placement, induction, training and development and compensation of employees. Tyson (1995) emphasises the importance of aligning HR policies to organisational strategy and goals.

PMS, as demonstrated in the definitions above, is viewed as a holistic, integrative and strategic approach to managing, monitoring measuring and improving performance. The KPI-Based PMS represents one of the various frameworks that a PMS can be based upon. This thesis is interested in the KPI-Based PMS, and the integrative role HRM strategy plays in the KPI Based PMS, as well as HRM policies, programmes and practices designed to effectively manage people and the organisation they work in.

### **1.5 ‘Best Practice’ PMS (HRM): Core Process**

According to the ‘Best Practice’ PMS (HRM) there are four core processes involved in the formulation and implementing a PMS (Armstrong and Baron, 1998; Sparrow and Hiltrop, 1994; Olve et al., 2000; Chmiel, 2002; Gibb, 2002). The four core processes entails continuous and cyclical phases of observing the internal and external environment; planning and designing a PMS based on what has been observed; acting on or implementing a PMS; and reviewing a PMS (Armstrong and Baron, 1998; Sparrow and Hiltrop, 1994; Chmiel, 2002; Gibb, 2002). According to the ‘Best Practice’ PMS (HRM), following the core process would enable an organisation to identify performance management needs and design an appropriate PMS that would meet its vision, strategic aims and objectives. The core process of ‘Best Practice’ PMS (HRM) is examined in detail in chapter two of the thesis.

## **1.6 'Best Practice' PMS (HRM) Frameworks**

A variety of 'Best Practice' PMS (HRM) frameworks have been suggested by academics and practitioners to enable organisations to base their PM system. These include PMS frameworks comprising single to multiple approaches and perspectives (Sparrow and Hiltrop, 1994; Armstrong and Baron, 1998; Kaplan and Norton, 1996b; Olve et al., 2000; Rohm, 2002; Gibb, 2002; Radnor and Lovell, 2003). For example, a PMS can be based on a framework such as Key Performance indicators in which core activities involves setting of specific, measurable, attainable, realistic and time bounded (SMART) objectives (Gibb, 2002). Moreover, organisations can introduce a key performance indicator based PMS using a top down or bottom up approach (Flapper et al., 1996; Gibb, 2002). As pointed out by De Waal (2003), an increasing number of organisations are basing their PMS on key performance indicators. Balance Scorecards is another framework that is centred on a holistic vision of a PMS linked to the strategic direction of the organisation (Radnor and Lovell, 2003). Radnor and Lovell (2003) further assert that BSC 'aims to clarify an organisation's vision and strategy and translate them into tangible objectives and measure' (p.3). As pointed out by various authors, for example Olve et al., 2000 and Radnor and Lovell, 2003, BSC summarises an organisation vision and measures its performance from four perspectives, classified as financial, customer, internal business processes and learning and growth perspectives. BSC is said to be the most researched and most popular PMS and performance measurement models adopted by organisations particularly in the private sector, for example De Waal 2003; Radnor and Lovell, 2003).

Best value is another framework that a PMS can be based upon. Best Value, as argued by Sheffield and Coleshill (2001), 'aims to encourage a reorientation of service delivery towards citizens and customers and produce a quality driven organisation' (p.263). Sheffield and Coleshill (2001) maintain that best value entails five dimensions of strategic objectives, cost/efficiency, service delivery outcomes, quality and fair access. Boyne (1999) and Kerley (2001) point out that the best value framework constitutes one of the performance measures used in the public sector. Furthermore, Boyne (1999) argues that best value is the centrepiece of current attempts to improve and modernise local government in the United Kingdom.

### **1.7 Best Practice PMS (HRM) and Contextual Factors**

According to the 'Best Practice' PMS (HRM) there are contextual factors that can affect a PMS. The contextual factors include organisational structure and systems, policy, climate, work process, technology, leadership, management style, culture, motivation, communication, training and rewards (Armstrong and Baron 1998). Katz and Khan (1964) advocate that 'organisations can be regarded as open systems that are continually dependent upon and influenced by their own environment' (p.18). The two authors argue that managing performance is thus, about managing the context. According to Armstrong and Baron (1998), the external, global and national environment is constantly changing, performance management should, thus, be a process to help shape this change, as well as responding to it. Armstrong and Baron (1998) point out that contingency theory advocates that 'whatever is done within the organisation must fit its circumstances, that is why no performance-management 'system can safely be transferred from one organisation to another. 'Best Fit' is

therefore more crucial than 'Best Practice' (p.18). Furthermore, Armstrong and Baron (1998) state that contingency theory suggests that the internal structure of a firm and its system are a direct function of its environment. The two authors indicate that changes taking place within the organisation, as an open system, are influenced by changes taking place in the internal and external environment. Organisations should therefore, change as the environment changes and that PM systems should facilitate shape this change and respond to it (Armstrong and Baron 1998).

How the organisations function is a contextual factor that directly affects the design and operation of performance management processes. Armstrong and Baron (1998) have identified three issues that affect performance management, comprising 'the extent to which the organisation is centralised or decentralised; whether the operations are local, national international; and the way in which the organisation is structured' (p.21) The two authors agree that a highly structured organisation with extended hierarchy will inhibit rather than enhance performance. Management style can also affect performance management, for example, a command and control management style is likely to produce task-oriented performance management, while a non-directive participative style is more likely to support a partnership approach to performance management, with an emphasis on involvement, empowerment and ownership (Armstrong and Baron, 1998). Armstrong and Baron (1998) point out that 'cultural considerations affect performance management because the latter works well when it fits the existing values of the organisation' (p.358). The two authors assert that 'ideally these should support high performance, quality, involvement, openness, freedom of communication, and mutual trust' (ibid.).



The above sections briefly reviewed the core process of 'Best Practice' PMS (HRM) entailing observing, planning and designing, acting on and reviewing a PMS. As argued by various authors and practitioners, following the core process of PMS would enable organisations identify performance management needs and design appropriate PM system. Furthermore, various 'Best Practice' PMS frameworks that organisations can base their PMS were briefly outlined. The BSC framework emerged to be the most popular framework used by organisations particularly in the private sector. It has also emerged that PMS can be affected by a variety of factors, including organisational structure and systems, culture, national and international policy and technology. A study of organisations in the UK regarding performance management by Armstrong and Baron (1998) suggested 'Best Practice' performance management to include a joint process, with effective leadership, offering coaching, counselling, guidance and training to employees and at the same time re-designing roles, providing better resources and valuing employees for their contribution. On the other hand, Armstrong and Baron (1998) point out that 'Best Fit' is more appropriate than best practice as evident from their survey of organisations in the UK which indicated good management practices to include enhanced performance, integrative process, which was supportive, flexible, with clarity of goals, feedback as well as change culture, better management and improved performance embedded in the process.

As noted by various authors regarding emulating 'Best Practice' PMS (HRM) policies and practices that have proven successful in developed countries, the adaptation of these initiatives have had varying degree of success. Though developing countries are moving towards the effort to reforms and modernise public sector organisations, these efforts are influenced by various factors, including bureaucratic and hierarchical

structures and systems, culture embedded in management style, work environment and job design. Research in the application and adaptation of 'Best practice' models is limited in developing countries, particularly in Africa. This research therefore aims to investigate 'Best Practice' PMS (HRM) in the Department of Administration, an independent government department in Botswana. The section that follows briefly examines the aims and objectives of this research; research design and methods applied in this study, as well as thesis chapter contents.

### **1.8 Aims of the Study**

The research aims to contribute to the body of knowledge and advancement in the debate regarding 'Best Practice' vis-à-vis 'Best fit' PMS. PMS is a new concept in Botswana. The findings of this research will contribute to the debate on the effectiveness and value of imported 'Best Practice' versus 'Best Fit' PMS in the context of a developing country. Additionally, the research intends to contribute to HRM theory regarding the crucial element of people management policies, programmes and practices that are supportive of a PMS.

### **1.9 Objectives of the Study**

The research has four objectives. The first objective of this study is to investigate the PMS existing in the Department of Administration of Justice. The second objective is to identify and explain gaps between 'Best Practice' PMS (HRM) and PMS existing in the Department of Administration of Justice. Thirdly, the research intends to suggest changes to reduce gaps between the 'Best Practice' PMS (HRM) and PMS

existing in the Department of Administration of Justice. The fourth objective is to explore the applicability of 'Best Practice' PMS (HRM) in the Department of Administration of Justice in Botswana, in the context of a developing country in Africa.

### **1.10 Gaps in Previous Research**

The review of literature concerning 'Best Practice' PMS (HRM) identified gaps in PMS research. Previous research has concentrated on PM systems and performance measurement systems in developed countries as opposed to developing countries.

- Furthermore, most of past research was based on the product aspect of industry as opposed to public services. There is a vast amount of research conducted on PMS and performance measurement in private organisations as opposed to the public sector. Another gap in the literature is that most of the previous research in public organisations is limited to PMS and performance measurement in, for example health care and education services in the UK, as opposed to public organisations responsible for the delivery of justice. Marr and Schiumar (2002) have pointed out that balance scorecards have dominated research in PM systems as opposed to other PMS frameworks. McCourt and Ramguttty (2003) have pointed out that one of the limitations of HR literature is that it mainly concentrated on the Anglophone industrialised countries and Western Europe. The two authors argue that though there is an increase in research regarding HRM in developing countries, for example in Africa, few studies concentrate on the viability of current 'Best Practice' models in those countries. This research aims to contribute towards this gap by investigating 'Best Practice' PMS (HRM) in the context of a developing country in Africa such as Botswana.

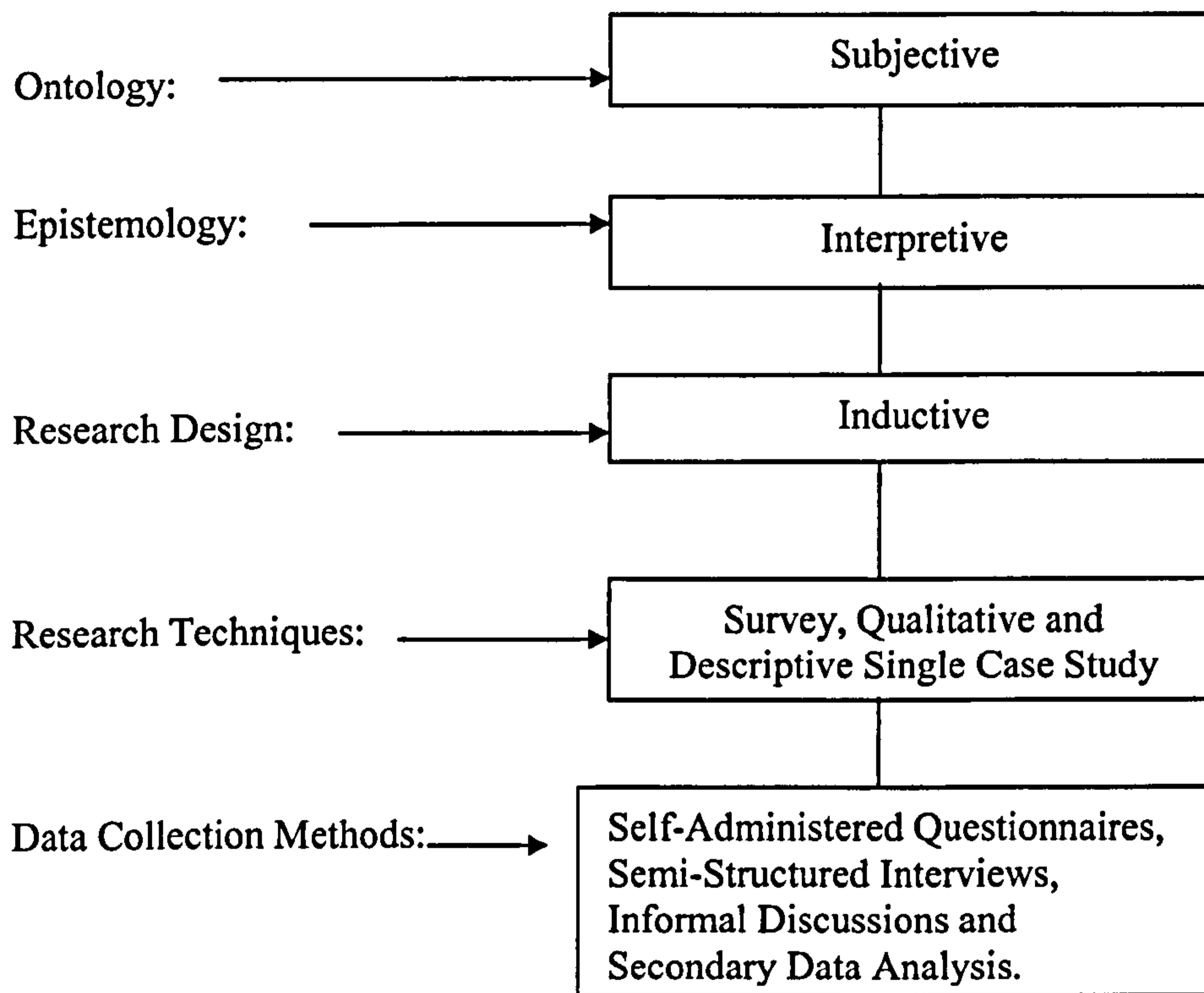
This research therefore, intends to contribute the gaps identified in the literature by investigating 'Best Practice' PMS (HRM) existing in the Department of Administration of Justice in Botswana. In addition, this research attempts to contribute to the gaps identified in the literature by exploring the applicability of 'Best Practice' PMS (HRM) in the context of a developing country. Placing PMS process and frameworks into context is an important way of understanding the debate whether 'Best Practice' or 'Best fit' approach was appropriate in the context of a developing country.

### **1.11 Research Design and Methods**

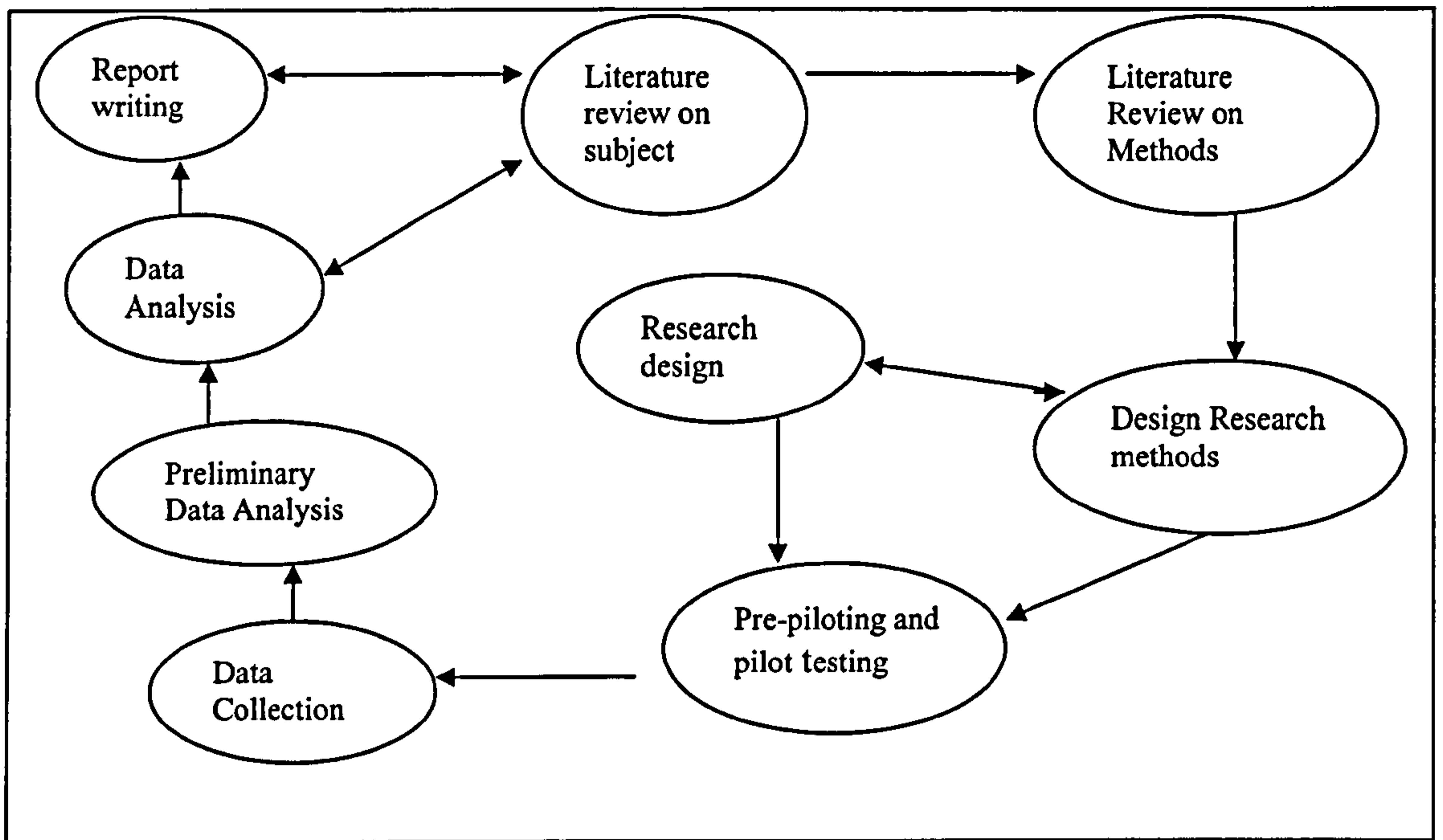
This research adopted a subjective interpretive, inductive and a descriptive single case study strategy, using a combination of quantitative and qualitative methods of data collection (see Figure 1.1). A single case study approach was adopted in order to gain in-depth understanding of the phenomena under investigation. Since PMS is a new concept in Botswana, the descriptive case study will provide in depth knowledge and further insight into the PMS process, framework actually existing in the department and the contextual factors affecting PMS in the Department of Administration of Justice. The research adopted a subjective interpretive strategy in order to understand peoples' interpretations and perceptions regarding the PMS existing in the case study. The 'Best Practice' PMS (HRM) core process, contextual factors and framework from the literature were used to guide data collection and analysis. Research questions were generated from the themes emerging from the 'Best Practice' PMS (HRM) process, framework and contextual factors. Empirical evidence collected from the department

was compared with the ‘Best Practice’ PMS (HRM) process and frameworks in order to identify gaps between the two and to suggest changes to reduce the gaps. Contextual factors that affect the relevance of ‘Best Practice’ PMS (HRM) in a developing country’s environment such as Botswana were investigated in this research. Figure 1.1 displays the research philosophy while Figure 1.2 shows the research vignettes for this study.

**Figure 1.1: Research Philosophy and Paradigm:**



**Figure: 1.2 Research Process/Vignettes**



The sampling method applied in the survey was purposeful sampling. Data was collected from internal and external customers of the Department of Administration of Justice. Empirical evidence regarding the core process of formulating, designing, implementing and reviewing a PMS was obtained from within the Department of Administration of Justice. The entire population of the Department of Administration of Justice was sampled in the survey. In addition, empirical evidence was collected from external customers of the department, including attorneys, prosecutors, prisons and rehabilitation officers and social welfare officers. Evidence from external customers was collected in order to ascertain the performance, service delivery and the effectiveness of the judiciary in Botswana. Data was collected from the Department of Administration of Justice comprising two High Courts and seventeen Magistrate Courts located through out Botswana. Self-administered questionnaires were distributed to all the employees in the two High Courts and magistrate courts in

the Department of Administration of Justice. There were three different questionnaires used in the survey. Two questionnaires were designed for employees in the department. The first questionnaire was for senior, middle and low management. The second questionnaire was for staff below supervisory level. The third questionnaire was for users of services provided by the department.

The questionnaires were hand delivered and collected the same day and after a few days. The questionnaires were hand delivered to the fifteen courts. Questionnaires for two Magistrate Courts were delivered through the post because of distance. Questionnaire for attorneys, prosecutors, prisons and rehabilitation officers and social welfare officers were faxed, hand delivered, posted and collected after a few days. The overall response rate for was 49 per cent for employees in the department, and 63 per cent for users of services provided by the department (see Methods chapter). A combination of questionnaire delivery and collection methods contributed to the high response rate. A responsive rate was reasonable, taking into consideration the questionnaire delivery and collection method used (Saunders et al., 2000).

Firstly, semi-structured interviews and informal discussions were used to follow up and clarify issues raised in the survey questionnaire. Secondly, it was found necessary to conduct interviews with internal and external customers of the Department of Administration of Justice in order to gain more insight and further understanding of respondents' views on PMS existing in the department and the performance of the judiciary in Botswana. Thirdly, qualitative data would help explain the context under which PMS and the judiciary exists. Multiple sources of evidence allowed for triangulation and strengthening of the case study and enabled the researcher to capture

PMS in considerable detail. Four semi-structured interviews and twenty-six informal discussions were held with employees of the Department of Administration of Justice (see chapter 4, Table 4.3). Two semi-structured interviews were held with users of services provided by the department. Interviews with employees of the department were held with respondents who had indicated in the questionnaire that they are available to be interviewed by the researcher. Seven semi-structured interviews were tape-recorded while five interviews were hand written and summarised immediately after the interview. All informal discussions were hand written.

Descriptive statistics (mode) was used to analyse quantitative data, which was nominal and ordinal (descriptive) in nature. Data was analysed through the SPSS for Windows Version 11.0. Quantitative data was subjected to reliability test using Cronbach's Alpha to test for reliability of scales. All scales used in the research questionnaire were checked for reliability regarding internal consistency of scale through Cronbach's Alpha. Cronbach's Alpha tests if scales are measuring the same underlying construct (Pallant, 2001). An alpha of 0.7 or above indicates that the scale is considered reliable. Quantitative data was also checked for outliers. All out of range cases were double checked for errors before data analysis was carried out (Pallant, 2001). External validity was improved through pre-piloting and pilot testing of questionnaires (see Methods Chapter 3).

Qualitative data analysis process entailed transcription, coding, categorising, and analysis. Content analysis technique was applied in qualitative data analysis (Miles and Huberman, 1994; Saunders et al., 2000). Within case analysis was carried out in order to explore and explain patterns emerging from data obtained from employees



and users of services provided by the Department of Administration. As mentioned in the Methods chapter, semi-structured interviews were conducted after administration of the questionnaire. Interviews with employees of the Department of Administration of Justice were necessary to clarify and gain further understanding on issues raised in the questionnaire. Informal discussions held during the distribution and collection of questionnaires was not originally planned. However, these informal discussions added invaluable information to this research. Ethical considerations were taken into account in this research for example only respondents who had indicated in the questionnaire they would like to be interviewed were contacted for interview. Respondents' were also ensured of confidentiality and anonymity.

The strengths of this research are three fold. Firstly, this research investigates not only one aspect of 'Best Practice' PMS (HRM), but three aspects of the process, frameworks and contextual factors affecting PMS. Secondly, this research concentrated on one case study, thus allowing in-depth understanding of PMS process, frameworks and contextual factors. Thirdly, this research is descriptive and used both quantitative and qualitative methods. This allowed for robustness of data and the researcher obtaining first hand experience from employees regarding 'Best Practice' PMS (HRM) process, frameworks and contextual factors affecting PMS. This research has therefore, added value to research and debates regarding 'Best Practice' PMS (HRM) in a different context, a justice department, a public organisations in a developing country in Botswana. The research used the 'Best Practice' PMS (HRM) process and framework deduced from the literature to guide the design of questionnaires, data collection and analysis. This research uncovered the crucial elements of formulation, designing, implementation and reviewing of a PMS,

as well as the KPI-Based PMS framework the justice department used to identify PM needs and design a PM system. The research has also identified the context under which PMS exists in the Department of Administration of Justice in Botswana.

## **1.12 Chapter Contents**

This thesis is organised into eight chapters. Chapter one is an introductory chapter. Chapter two critically reviews literature regarding 'Best Practice' PMS (HRM). The literature outlines the main subject of the thesis. The chapter commences by defining what constitutes performance management and performance management system. The second part reviews the importance of performance management and PMS and the link between PMS and HRM policies and practices. Performance measurement is also examined in the chapter. The chapter examines public sector reforms and management of human resource in public sector organisations in developed and developing countries. The 'Best Practice' PMS (HRM) core process of: observing; planning and designing; acting on a PMS; and monitoring, reviewing and evaluating a PMS are examined. The contextual factors that can impact on a PMS and 'Best Practice' PMS (HRM) frameworks are also examined. The chapter reviews research regarding 'Best Practice' PMS (HRM) in public organisations. The last section of the chapter identifies gaps in the literature regarding 'Best Practice' PMS (HRM) and summary of the chapter.

The third chapter outlines background regarding performance management in the public sector in Botswana and in the Department of Administration of Justice. This chapter examines performance management, PMS and HRM in Botswana and the

Department of Administration of Justice. The chapter commences by examining PMS and performance management in Botswana in the public organisations. The chapter then gives a brief overview of socio-economic developments that have occurred since Botswana gained independence in 1966. A brief overview of the development and evolution of public administration and HRM in Botswana is given. The chapter examines performance improvement initiatives introduced in the public organisations in the last thirty-five years. The evolution of the judicial system in Botswana, the structure, functions and employees in the Department of Administration of Justice is covered in the chapter. The chapter also examines performance management and PMS in the Department of Administration of Justice, including objectives for adopting PMS in the department.

Chapter four explains research design and data collection methods used in this research. The chapter outlines the aims and objectives of this research. The research strategy and the rationale for research strategy adopted for this study is discussed. The research design and the research methods used in this research are examined in this chapter. Data analysis techniques applied in this research, data quality issues and data improvement strategies are outlined. The chapter completes by discussing problems encountered during research, and ethical considerations.

Chapter five presents quantitative data analysis and results. The purpose of this chapter is to present results and analysis of quantitative data collected within and outside the Department of Administration of Justice. The chapter commences by giving a brief background on the Department of Administration of Justice. Quantitative data obtained through self-administered questionnaires is analysed and

results are presented in this chapter. Data analysis commences with profiles, reliability test results and descriptive analysis of evidence collected from managers, non-management staff and users of services provided by the department.

Chapter six presents qualitative data analysis and results. This chapter analyses and presents results from qualitative data obtained from employees through semi-structured interviews, informal discussions and secondary sources. The chapter also analyses qualitative data obtained from users of services provided by the department. This chapter aims to further explore and to gain more insight and further understanding of respondents' views on PMS existing in the department and the performance of the judiciary in Botswana. Qualitative data would help explain the context under which PMS exists. The chapter commences by giving a brief outline of interviews and questions asked during the interview and secondary data sources. The chapter comprises within-case analysis of qualitative data regarding the PMS process, activities, support, achievements and challenges for introducing PMS in the department. The chapter also presents views of users of services provided by the department regarding performance, independence and impartiality and service delivery by the department and the judiciary.

The seventh chapter is the interpretation and discussion of results from quantitative and qualitative data analysis. The chapter discusses and interprets results and outlines key findings regarding PMS process and framework in the Department of Administration of Justice, gaps identified between the 'Best Practice' PMS (HRM) and PMS existing in the department. The chapter addresses each one of the four research objectives, outlines PMS process and framework, gaps identified in this

research and contextual factors affecting PMS in the Department of Administration of Justice. The chapter completes by suggesting changes to reduce gaps between 'Best Practice' PMS (HRM) and PMS existing in the Department of Administration of Justice. The applicability of 'Best Practice' PMS (HRM) in the context of a developing country are also discussed.

Chapter eight is the conclusion chapter. The chapter revisits the four research objectives, commencing with a brief outline of the research problem. The chapter presents the key findings and limitations of this research. The chapter completes by outlining research contributions and general implications, future research focus and a summary.

## CHAPTER 2

### LITERATURE REVIEW

#### 2.1 Introduction

The purpose of this chapter is to critically review literature regarding Performance Management System (PMS). The literature outlines the main subject of the thesis. The chapter is divided into six sections. The first section commences by defining what constitutes performance management and PMS. The second part reviews the importance of and benefits of a PMS. The third section establishes the link between PMS and HRM. The fourth section examines PMS and HRM in practice as well as performance measurement. The fifth section reviews public sector reforms, HRM and PMS in public sector organisations in developed and developing countries. Section six maps the core process of 'Best Practice' PMS (HRM) and examines PMS success factors. The seventh section examines PMS and contextual factors as well as 'Best Practice' PMS (HRM) frameworks. Section eight examines research regarding 'Best Practice' PMS (HRM) in public sector organisations. Gaps identified in the literature regarding 'Best Practice' PMS (HRM) is presented in section nine. The last section is a summary of the chapter.

Performance management and PMS have gained popularity in the 1990s as part of various management strategies developed to improve individual, team and organisational performance. An increasing interest from academics and practitioners in performance management and PMS was prompted by the need to improve the

performance, efficiency and effectiveness of private and public organisations. There have also been increasing debates regarding the importance of viewing performance management and PMS as integral parts of HRM and not in isolation. Various suggestions have been made regarding 'Best Practice' PMS (HRM) processes, frameworks and contextual factors in order to guide organisations in the identification of their performance management needs and design appropriate PM systems. The sections that follow defines performance management and PMS, establishes the importance of and the link between PMS and HRM.

## **2.2 Definition of Performance Management**

Fletcher (1993) defines performance management as 'associated with an approach to creating a shared vision of the purpose and aims of the organisation, helping each employee understand and recognise their contributing to them' (p.8). Armstrong and Baron (1998) argue that performance management is concerned with 'outputs, outcomes, processes and inputs, planning, measurement and review, continuous development and improvement, communication, stakeholders and ethical concerns' (p.10). Furthermore, Armstrong and Baron (1998) view performance management as a holistic (all embracing) approach to managing performance and concerns all in the organisation (p.11). According to Armstrong and Baron (1998):

"Performance management is a strategic and integrated approach to delivering sustained success to organisations by improving the performance of the people who work in them and by developing the capabilities of teams and individual contributors"(p.7).

Armstrong (2001) asserts that performance management is based on the principle of management by agreement or contract rather than management by command. Armstrong further maintains that performance management emphasises development and the initiation of self-managed learning plans as well as the integration of

individual and corporate objectives. Hartle (1995) shares the same view with Armstrong and Baron (1998) by defining performance management as a 'holistic, total management approach, which fits with organisation's work cultures'. Hartle further defines performance management as a process that creates 'empowering climate for individuals and teams, has effective links with rewards and strives in a motivating work climate' (p.61-60). Hendry, Bardlly and Perkins (1997) view performance management as a 'systematic approach to improving individual and team performance in order to achieve organisational goals' (p.50). Walters (1995) points out that performance management is about 'directing and supporting employees to work effectively and efficiently in line with organisational needs' (p.50). Lockett (1992) states that:

'The essence of performance management is the development of individuals with competence and commitment, working towards achievement of shared meaningful objectives within an organisation which supports and encourages achievement of objectives' (p.50)

According to IRS (1992) 'performance management can be defined as a structured approach to improving the performance of individual employees, departments and organisation as a whole, through the setting and monitoring of performance targets at every level (p.2). According to Hendry et al., (2000), 'performance management should be a goal driven process ... the key process is communication and clarification of goals' (p.12). Sparrow and Hiltrop (1994) view performance management as 'an area of human resource management that has the potential to make the most significant contribution to organisational effectiveness and growth' (p.551). This implies that performance management is organisational goal driven. Hartle (1995) asserts that performance management was a once a year appraisal process in the 1960s and 1970s and a throughout the year appraisal process (MBO) in the 1980s. As noted by Woods (2003) and others, performance appraisal is a process within the



overall performance management process. Hartle (1995) further suggests that in the 1990s performance management was holistic and change oriented, where performance management was competency based, connected to business and culture. Houldsworth (2001) views performance management within organisations as ‘an ongoing process throughout the year, and if it is done well, performance management is espoused as motivational and developmental, capable of supporting and reinforcing a culture change’ (p.7). Houldsworth (2001) asserts that performance management is closely associated with ‘soft’ HRM approach in which emphasis is on ‘people management’ and qualitative issues relating to flexibility, adaptability and communication. According to Houldsworth (2001), the concerns of performance management are with ‘organisational climate, management style, personal development and employee involvement in the objective setting and review process’ (p.12).

According to IPM (1992), ‘performance management has been around since the days of scientific management’ (p.141). Hendry et al., (2000) argue that ‘performance management needs to be seen first and foremost as a management process’ (p.10). Hendry et al., further point out that performance management is failing if it overloads the ordinary manager, makes the manager’s job more difficult and distracts from tasks, which are more productive. Houldsworth (2001) asserts that performance management can be associated with ‘McGregor’s Theory Y perspective on individuals’ and ‘soft’ HRM perspective in which emphasis is on ‘people management’ (p.10). Houldsworth (2001) further argue that performance management centres on ‘development of employee and concerns are with organisational climate, management style and personal commitment’ (p.12). Houldsworth points out that performance management delivers business benefits by virtue of the fact that it

equates with good management practice, which results in greater motivation and commitment from employees.

Fowler (1990) views performance management 'as a natural process of management and not a system or technique' (p.11). Fletcher (1993) asserts that 'there is no single universal definition of performance management; Fletcher views performance management as more of a 'philosophy'. Fletcher (1993) states that performance management is owned and driven by line management, not owned by HR department and that performance management applies to all staff and needs a clear organisational culture. According to GPRA (1993), performance management is defined as a:

'Systematic approach to performance management improvement through an ongoing process of establishing strategic performance objectives, measuring performance, collecting, analysing, reviewing, and reporting data, and using data to drive performance improvement' (p.3).

GPRA (1993) asserts that performance based management follows the 'Plan-Do-Act' (continuous development) cycle developed by Shewhart of Bell Labs in the 1930s' (Ibid p.3). Molleman and Timmerman (2003) point out that various definitions of performance management entails a range of activities to enhance performance of target persons or groups, while Wilderman (1994) view performance management as 'a process oriented towards coordinating and enhancing work activities and outcomes within the organisational unit' (p.34). Furthermore, Mondy et al., (2002) state that performance management is 'a process that signifies organisational success by having managers and employees work together to set expectations, review results and reward performance' (p.555). According to Daniels and Rosen (1988) 'performance management is a systematic data oriented approach to managing people at work that relies on positive reinforcement as a major way to maximise performance' (p.2). Philpott and Sheppard (1992) state that 'the aim of performance management is to

improve strategic focus and organisational effectiveness through continuously securing improvement in performance of individuals and teams' (p.50).

It can be deduced from the above definitions of performance management that the main elements emphasised are that performance management is a continuous, holistic and integrative approach to management. The main components of performance management include holistic approach, integration of vision, aims and objectives of individual, teams and the organisation, as well as inputs, processes, outcomes, communication, effectiveness, developmental, motivation, culture, context, flexibility, learning and growth perspectives. Table 2.1 traces the origins of performance management from early days of performance monitoring to flexible and multiple approaches to performance management. Table 2.2 shows variations between Management By Objectives (MBO), performance appraisal and performance management. The next section defines performance management system, which is a process of managing individual, team and organisational performance.

**Table 2.1 Performance Appraisal and Performance Management: A short History**

Year	Performance Appraisal and Performance Management
• 221-226	• Evaluating performance of official family in China
• 1416-1556	• Rating of members of Jesus
• 1800s	• Scientific Management
• 1920s	• Rating of USA army officers during WWI. Introduced by W. D. Scott.
• 1940-1960s	• Performance appraisal: Different terminology and methods used to appraise: Merit rating, performance appraisal, employee appraisal, personnel review, service rating, performance evaluation, and fitness report.
• 1960s to 1970s	• Rating scales, MBO, Interpersonal comparisons, Checklist, Essay and Critical Incident.
• 1970s	• First use of performance management systems in the USA
• 1980s	• Performance management system spread to UK and other countries. Performance appraisal techniques: 360, 180 540 degree feedback, Performance Related Pay (PRP), Competency Related Pay (CRP), Team-Based Pay and HRM models for example, Business Process Re-Engineering (BPR), Quality Circles and Total Quality Management (TQM)
• 1990s	• Performance management systems and performance measurement systems. For example Key Performance Indicators, Balance Scorecards, Best Value, European Foundation for Quality Management, Strategic HRM, Best Practice HRM and International HRM.
• 2000s	• Evaluation of HRM models and approaches to performance management systems and performance measurement systems in private and public organisations.

Source: Beach, 1995; Boulter et al., 1997; Wynne 1997; Armstrong and Baron, 1998; Robbins, 2001.

**Table 2.2 Comparison of Management By Objectives (MBO), Performance Appraisal and Performance Management**

Management By Objectives (MBO)	Performance Appraisal	Performance Management
Packaged system	Usually tailor made	Tailor made
Applied to managers	Applied to all staff	Applied to all staff
Emphasis on individual objectives	Individual objectives may be included	Emphasis on integrating corporate, team and individual objectives
Emphasis on quantified performance measures	Some qualitative performance indicators may also be included	Competence requirements often included as well as quantified measures
Annual appraisal	Annual appraisal	Continuous review with one or more formal reviews
Top-down system, with ratings	Top-down system, with ratings	Joint process, ratings less common
May not be a direct link to pay	Often linked to pay	May not be a direct link to pay
Monolithic system	Monolithic system	Flexible process
Complex paper work	Complex paper work	Documentation often minimised
Owned by line managers and personnel department	Owned by personnel department	Owned by line management

Source: Armstrong and Baron, 1998, p.48 (adopted from Fowler 1990).

### **2.3 Definition of Performance Management Systems (PMS)**

According to Armstrong and Baron (1998), PMS is defined as a strategic and integrated system to managing, monitoring, measuring and improving performance. Armstrong and Baron (1998) and Chmiel (2002) share the view that an effective PMS aligns individual performance with organisation's mission, vision, strategy and objectives. Hendry (1995) views PMS as an attempt to develop systematic objectives for all employees. On the other hand, t (1981) view PMS as a recent approach used closely with performance related pay (PRP). Holden (1997) asserts that performance related pay (PRP) and performance appraisal are key components of a PMS. Molleman and Timmerman (2003) state that PMS commences with a 'top down' process in which objectives of individuals are derived from objectives of the organisation. The two authors' further point out that ideally, these objectives match individual goals to correspond with motivation. Other important elements in the PMS process are that goals should be in measurable terms to make reliable assessment attainable and that timely feedback is essential to allow adjustment of behaviour. Flapper et al., (1996) maintain that 'a consistent PMS is a system that covers all aspects of performance relevant for the existence of an organisation as a whole' (p.27). Simons (2000) suggest that performance management systems are 'the formal, information-based routines and procedures managers use to maintain or alter patterns of organisational activities' (p.688).

The above definitions of performance management and PMS emphasise the fact that PMS is a strategic and holistic process that integrate HR strategy and aims to improve performance of individuals, teams and the organisations they work in. The two

sections that follows examine the importance of performance management and PMS and establishes the link between PMS and HRM.

## **2.4 The Importance of Performance Management and Performance Management System**

According to Armstrong and Baron (1998), PMS can be introduced in order to improve productivity, for more focused and directed plans and policies, priority setting, accountability and measurement. Armstrong and Baron further point out that PMS can be introduced in order to build on current management systems. Hartle (1995) assert that in a UK survey of nearly 2000 organisations in 1992, the IPM found that the most common reasons for introducing performance management included improve effectiveness, motivate employees, improve training, change culture, and support TQM (see Table 2.3). Hartle (1995) maintains that ‘the most effective performance management is able to meet some organisational objectives and individual needs’ (p.20).

**Table 2.3 Common Reasons for Introducing PMS in UK companies.**

<b>Common Reasons for Introducing Performance Management</b>
<ul style="list-style-type: none"><li>• Improve effectiveness of organisation;</li><li>• Motivate employees;</li><li>• Improve training and development;</li><li>• Change culture;</li><li>• Link pay to productivity;</li><li>• Attract and retain specialists;</li><li>• Support TQM;</li><li>• Link pay to skills development; and</li><li>• Manage wage bill.</li></ul>

Source: IPM (1992).

There are many benefits to having a PMS. According to the IPM (1992), benefits of organisations that have applied a systems approach to performance management

include 'team and individual performance improvement, helping individuals to see their own contributions in the organisation as a whole, corporate direction, aims, goals and increased commitment' (p.98). Fletcher and Williams (1996) pointed out that PMS can benefit an organisation through 'the development of a mission statement and business plan, enhancement of communication, clarification of individual responsibilities and accountabilities and implementation of appropriate reward strategies' (p.8). Furthermore, Fletcher and Williams (1996) state that performance management can benefit an organisation through 'ownership by management, and increased emphasis on shared corporate goals and values' (Ibid). According to the GPRA (1993), benefits of a performance-based management program include: bringing all interested parties into the planning and evaluation of performance; providing a mechanism for linking performance and budget expenditures; representing a 'fair way' of doing business; providing an excellent framework for accountability; and sharing responsibility for performance improvement' (p.4).

However, writers such as Pfeffer (1998) acknowledge that the difficulty about PMS is that they are costly, take time and they make all unhappy. Fletcher (1993) asserts that many organisations see performance management as meaning performance related pay (PRP). Furthermore, Hendry (1995) argues that performance management resembles bought commitment, discourages flexibility and creativity. A study by IPM (1992) found that there were some weaknesses regarding performance management, including rushed implementation and insufficient training, and staff excluded in design of PMS. Furthermore, IPM (1992) found that performance management was characterised by lack of systematic monitoring and evaluation of impact and effectiveness of PMS, scepticism, resistance, threatening, high expectations, cynicism,

lack of confidence and de-motivation. IPM (1992) found that PMS has led to increased responsibility and adding to stress and PRP has caused greatest difficulty. According to Holden (1997), PMS was introduced in the 1980s to motivate and reward managers who contribute to strategic goals and objectives or punish those who fail to deliver anticipated performance levels. Holden argues that management development and PMS are closely interacted. Holden suggest that PMS must be seen to reward personal development and achievement. Guest and Conway (1998) view performance management, as been a subject of considerable criticism. The two authors argue that:

‘... The concept is diffuse: it is all things to all people, and increasingly provides little more than an umbrella under which to describe a number of well-tried and often outdated ideas. ‘... Any rigorous evaluation has failed to show that PM has any impact on performance, calling into question the whole rationale behind the approach’ (p.426).

There has been academic criticism of performance management process, and that it claims to be problematic, coercive and controlling (Armstrong and Baron, 1998). According to Hendry et al., (2000), a PMS may, indeed, support employee development, but this is often undermined by a number of problems, among the most important are:

- ‘The link between individual behaviour and business objectives;
- Defining and aligning objectives;
- The link between business performance and incentives;
- Motivation theory and manager’s own assumptions and believes;
- Performance management as a management process;
- The performance focus; and
- The impact on the employment relationship’ (p.7).

Hendry et al., (2000) assert that in most organisations, performance management is conducted in a superficial way, and its significance to the HR role is not properly



appreciated. The authors argue that 'the problem is partly of mindset and the way companies are organised, so that no one takes ownership of performance management in its fullest' (p11).

As noted by various authors above, though having a PMS in an organisation has countless benefits, organisations are still faced with challenges and problems related to formulation, designing and implementing a PMS. 'Some of the problems highlighted above include the fact that PMS is a complex process, hastily formulation, design and implementation and shortcutting the process for 'quick fixes' will compromise benefits and effects.

## **2.5 The Link between PMS and HRM**

The link between PMS and HRM is important in that as the above definitions have demonstrated, having a HR strategy and integrating HRM strategy into a PMS is an essential component of the PM process. The important link between PMS and HRM warrants definition of HRM that follows. According to Armstrong (2001), human resource is defined as a strategic and coherent approach to the management of an organisation's human assets. While Storey (1995) views:

'HRM as a distinctive approach to employment management which seeks to achieve competitive advantage through the strategic deployment of a highly committed and capable workforce using an array of cultural, structural and personnel techniques' (p.6).

Storey (2001) argues that 'it is the human capability and commitment which, in the final analysis distinguishes successful organisations from the rest' (p.6). Table 2.4 shows the HRM model suggested by Storey (2001). Hendry (1995) considers HRM as an approach that sees people as a valuable resource and focusing on developing and harnessing their contribution and skills to the organisation. Tyson (1997) defines

HRM as ‘an activity which seeks to bring a strategic focus to people management, in order to gain and sustain high levels of organisational performance’ (p.1) Beardwell and Holden (1997) view HRM as a new management discipline, which emphasises on employee relations as opposed to collective bargaining. The two authors view ‘HRM as a determinant of organisational strategy in which HRM helps organisation to realise strategies’ (p.9). Bratton and Gold (2003) view HRM as a strategic approach to managing employee relations. The two authors further assert that influencing people’s capabilities are important for accomplishing sustained competitive advantage. Competitive advantage can be achieved through a set of distinctive employment policies, programmes and practices. Bratton and Gold (2003) emphasise that the set of HR policies, programmes and practices need to be coherent and integrated with organisational strategy.

**Table 2.4 The HRM Model**

<p><i>1. Believes and assumptions</i></p> <ul style="list-style-type: none"> <li>• That it is the human resource which gives competitive edge.</li> <li>• That the aim should be not mere compliance with rules, but employee commitment.</li> <li>• That therefore employees should, for example, be very carefully selected and developed.</li> </ul> <p><i>2. Strategic qualities</i></p> <ul style="list-style-type: none"> <li>• Because of the above factors, HR decisions are of strategic importance.</li> <li>• Top management involvement is necessary.</li> <li>• HR policies should be integrated into the business strategy- stemming from it and even contributing to it.</li> </ul> <p><i>3. Critical role of managers</i></p> <ul style="list-style-type: none"> <li>• Because HR practice is critical to the core of the business, it is too important to be left to personnel specialists alone.</li> <li>• Line managers are (or need to be) closely involved as both deliverers and drivers of the HR policies.</li> <li>• Much greater attention is paid to the management of managers themselves.</li> </ul> <p><i>4. Key Levers</i></p> <ul style="list-style-type: none"> <li>• Managing culture is more important than managing procedures and systems.</li> <li>• Integrated action on selection, communication, training, reward and development.</li> <li>• Restructuring and job redesign to allow developed responsibility and empowerment.</li> </ul>
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Source: Storey 2001, p.7.

According to Bratton and Gold (2003), there are eight key functions, policies and programmes and practices of HRM designed in response to organisational goals and contingencies. The key functions of HRM are: planning; staffing; developing; motivating; maintaining; managing relationships; managing change; and evaluating. There are five HRM models, which have been identified in the literature regarding HRM. The five models or theoretical perspectives suggested are: the Fombrun, Tichy model and Devanna (1984); The Harvard model (1984); Guest model (1987, 1997); the Warwick model (1990); and the Storey model (1992) (Bratton and Gold, 2003). The Guest (1997) model, which this research is aligned with, is depicted in Figure 2.1. As pointed out by Bratton and Gold (2003), Guest (1987, 1997) came up with his model to show the set of integrated HRM practices that can lead to superior individual and organisational performance. Guest (1997) model emphasis the importance of integrating HR strategy and organisational strategies. Guest further laments that sets of HRM goals should be coherent and be fully supported by line managers at all levels of the organisation. Similarly, Bratton and Gold (2003) suggest line managers rather than HR specialist play a crucial role in HRM in that line managers should manage the workforce (human resource) effectively and equally for organisational success.

**Figure 2.1: The Guest Model of HRM (1997)**

<b>HRM Strategy</b>	<b>HRM Practices</b>	<b>HRM Outcomes</b>	<b>Behaviour Outcomes</b>	<b>Performance Outcomes</b>	<b>Financial Outcomes</b>
Differentiation (Innovation)	Selection	Commitment Quality Flexibility	Effort/ Motivation	High: Productivity Quality Innovation	Profits  Return on investment
Focus (Quality)	Training Appraisal Rewards		Cooperation	Low: Absence	
Cost (Cost-reduction)	Job design Involvement Status and security		Involvement Organisational citizenship	Labour turnover Conflict Consumer complaints	

Source: Bratton and Gold (2003) p.22.

There are various subsets of HRM including international HRM (IHRM); strategic HRM (SHRM); Investing in People (IiP); High Performance Work Systems (HPWS); Excellent Organisations; and Learning Organisation. For the purposes of this chapter, IHRM, SHRM, HPWS, excellent organisations and learning organisation components of HRM will be examined briefly in the section that follows.

### **2.5.1 International HRM**

According to Holden (1997), international HRM emerged as a result of globalisation and the demand to effectively manage organisations in diverse and multi-cultural environment and the need to harmonise human resource policies and practises. Robbins (2001) argues that international HRM was developed in order to facilitate management challenges relating to different culture, government policies and regulations, investment laws and diversity existing in global businesses. Brewster (2001) maintains that approaches and practices to HRM in different countries should incorporate the elements of universalism and contextual factors to enable researchers and practitioners have a clearer understanding of international HRM. International HRM is important in helping comprehend the context under which PMS is adapted in different countries, including developing countries.

### **2.5.2 Strategic HRM (SHRM)**

Beardwell and Holden (1997) state that SHRM advocates for the link of HRM and organisational strategy, where 'HRM is seen as determinant of organisation strategy and helps to realise strategies' (p.10). Bratton (2003) view SHRM as 'the process of linking the HR function with the strategic objectives of the organisation in order to

improve performance' (p.37). SHRM view people as a key source in an organisation (Armstrong, 1988; Pfeffer, 1998; Hendry, 1995). According to Bratton (2003), SHRM approach to management was influenced by work of management gurus such as Ouchi (1981) and Peters and Waterman (1982). Schular (1992) asserts strategic HRM 'means involving everybody in the organisation, from top to bottom, doing things that make business successful, ... its about integration and adaptation' (p.183). Armstrong (2001) states that SHRM is holistic in that it is concerned with the organisation as a whole and not in isolated programmes and techniques. Guest (1989b) suggest a strategic HRM approach that in coherent.

Armstrong (2001) asserts that SHRM focuses on gaining of competitive advantage through HRM. Furthermore, Armstrong (2001) points out that approaches to SHRM include 'Best practice' and Best fit' or bundling up of HRM strategies. According to Armstrong (2001), 'strategic fit' or integration is another important element of SHRM. SHRM can be approached from resource-based strategy, where HR is viewed as the main source of competitive advantage (Armstrong, 2001). As noted by Kamoche (1996), the resource-based approach emphasises the importance of 'stock of know-how' in the organisation. Boxall (1994) state that the most strategic concern of all HRM involves constituting and renewing the top team and building the overall capability of management in the firm. Boxall and Purcell (2003) suggest that according to the SHRM theory, there is no single way of linking HR to strategy (see Table 2.5). There are, however, two normative models of 'Best Practice' and 'Best fit' that guide organisations on how to link labour management to strategy (Boxall and Purcell 2003).

**Table 2.5 Human Resource (HR) Strategy**

<b>Human Resource (HR) Strategy</b>
<ul style="list-style-type: none"><li>• Consist of critical goals and means of managing labour.</li><li>• Inevitably affects the firms' performance.</li><li>• Is made by the whole management structure and not simply by HR specialist (where they exist).</li><li>• Is likely to be partly planned and partly 'emergent' in behaviour.</li><li>• Is typically 'variegated' – different goals and means for different workforce segments (most notably for managers and non-management labour).</li><li>• Like strategy generally, is easiest to define at business unit level.</li><li>• Is more complex in multidivisional firms because of interactions among corporate/divisional and business unit levels.</li><li>• Is more complex in firms that compete across national boundaries.</li></ul>

Source: Boxall and Purcell 2003, p.50.

### **2.5.3 High Performance Work Systems (HPWS)**

Organisations can invest in High Performance Work Systems (HPWS) of either High Commitment Management (HCM) (Salaman, 1992; Hendry, 1995; Pfeffer, 1998) or High Involvement Management (HIM) (Hendry, 1995). According to Hendry (1995), HPWS are employment systems with flexible job content, work hours, job design and team work. Germany and Japan are said to have commitment systems of employment (Hendry 1995). According to Ramsay et al., (2000), HPWS entail the use of highly innovative HRM practices, which encompass strategies such as employee involvement; team based work, enhanced training and development, and high wage reward system. Pfeffer (1998) argues that HCM work systems have produced positive results in terms of improved employee and organisational performance. However, Pfeffer asserts that organisations tend to practice something else. Pfeffer (1998) argues that organisations adopt 'quick fix' policies to increase profits and improve organisation performance. According to Pfeffer (1998), 'success of HPWS depends on competitive strategy of the firm' (p.57). A study by Becker et al., (1996) suggested

that 'firms with HPWS, other things being equal, consistently have economically and statistically significant higher levels of performance' (p.5).

#### **2.5.4 Excellent Organisations Model**

Studies by Peters and Waterman (1982) revealed that excellent organisations are people oriented. Tyson (1995) identified three routes to excellence to include, employee development, employee relations and organisational development. Waterman (1994) suggested a template of what makes top companies different. Waterman (1994) asserts that top companies were more organised to meet needs of people and customer needs. However, despite the availability of models such as the excellent organisations, which has attributes associated with high performance, organisations practice the opposite (Tyson, 1995; Pfeffer, 1998; Robbins, 2001). Pfeffer (1998) points out that 'no army of consultants, seminars, slogans can provide much help if there is lack of commitment by the organisation'.

#### **2.5.5 Learning Organisation**

According to Robbins (2001), management of organisations has evolved from TQM in the 1980s, to re-engineering in the 1990s and to learning organisation in 2000s. Hendry (1995) argues that organisations should learn that employees come first and should therefore be treated as valuable assets. Hendry further asserts that organisations should shift from control type of management to employee development and growth. In addition, Hendry advocates that the future role of HRM should shift to organisational governance through commitment systems and performance management approach. On the other hand, Robbins (2001) suggests that establishing

strategy, re-designing structure and reshaping culture can manage learning organisations. Garvin (1993) has suggested that a learning organisation is good at doing five things. The five things are 'systematic problem solving heavily based on philosophy of quality movement; experimentation; learning from the past; learning from others; and transferring knowledge quickly and efficiently throughout the organisation' (p.218-219). Barrow and Loughling (1993) maintain that learning organisations usually expect highly educated employees who have ability to learn, change to work environment, work in flatter organisations, possess problem solving skills and are creative. Collin (1997) supports the view that learning organisations expect individuals who have the ability to learn new skills and adjust to the work environment.

#### **2.5.6 Hard and Soft HRM**

According to Guest (1987) and Storey (1992), the distinction of 'soft' and 'hard' HRM is being whether the emphasis is placed on the 'human' or on the 'resource' (p.9). Houldworths (2001) asserts that soft HRM is associated with human relations movement and the utilisation of human talent. Houldworths further points out that '... employees working under soft HRM systems will thus positively commit and give added value through labour, with employees feeling trusted, trained and developed...' (p.10). On the other hand, Houldworths states that 'hard' HRM emphasis quantitative and strategic aspects of management ... it has emphasis on Theory X, leading to managerial control through close direction' (Ibid.). However, notwithstanding the distinction between soft and hard HRM, Truss et al., (1997) concluded from their research that 'pure forms of hard and soft HRM are difficult to discern' (p.11). Truss et al., (1997) further argue that some HRM models include



elements of both soft and hard HRM. For example, HRM model designed by Guest (1987 and 1997), (see figure 2.1) and Storey (1992) include dimensions of goals of integration, employee commitment, flexibility/adaptability and quality. Armstrong (2001) supports the view that ‘a hard approach to HRM emphasises the quantitative, calculative and business-strategic aspects of managing the headcount resources...’ (p.6). Armstrong shares the view that the soft model of HRM traces its roots to the human relations school where emphasis is on communication, motivation and leadership. Storey (2001) also shares the view that soft HRM traces its roots from human-relation’s school in which communication; training and development, motivation, culture, values and involvement are important elements of soft HRM.

Performance management is one of the most significant Human Resource Management (HRM) functions to improve employee and organisational performance and has an impact on productivity and service delivery. According to Sparrow and Hiltrop (1994), the important feature about performance management is that it takes a whole business process approach, where an organisation’s mission, vision, strategy, goals and objectives are integrated with team and individual objectives and aligned with HRM. According to Bratton and Gold (2003), interest in PMS increased during the 1990s due to the difficulties of isolating assessment and appraisals activities. An interest in PMS therefore, increased so that HRM could be seen as vital to an organisation’s concerns with performance improvement and competitive advantage’ (Bratton and Gold, 2003 p.261). The two authors further argue that ‘PMS represents an attempt to show the strategic integration of HRM processes with assessment and appraisal central to a set of interrelated activities, which together can be linked to the goals and direction of an organisation’ (p.261). As noted in Mendonca and Kanungo

(1996), the importance of HRM and the evolving role of human resource function in the strategic management of business are increasingly being recognised. Bratton and Gold (2003) assert that in a PMS, the attitudes of managers are crucial because they are the key actors in the implementation of various HR processes. The link between HRM and PMS can, thus, be established through the suggested integrative approach where individual, team and organisation's strategic aims and objectives are aligned with HRM policies and practices. As indicated by Hendry (1995), performance management constitutes one of the HRM models in practice. According to Tyson (1995), HRM is concerned with recruitment and selection, placement, induction, training and development and compensation of employees. Tyson (1995) emphasises the importance of aligning HR policies to organisational strategy and goals. As pointed out by Mendonca and Kanungo (1996), the developments in HRM techniques and practices to promote work motivation especially through performance management, work design, organisational development and change have enabled firms to create conditions which promote, support and reinforce employee performance.

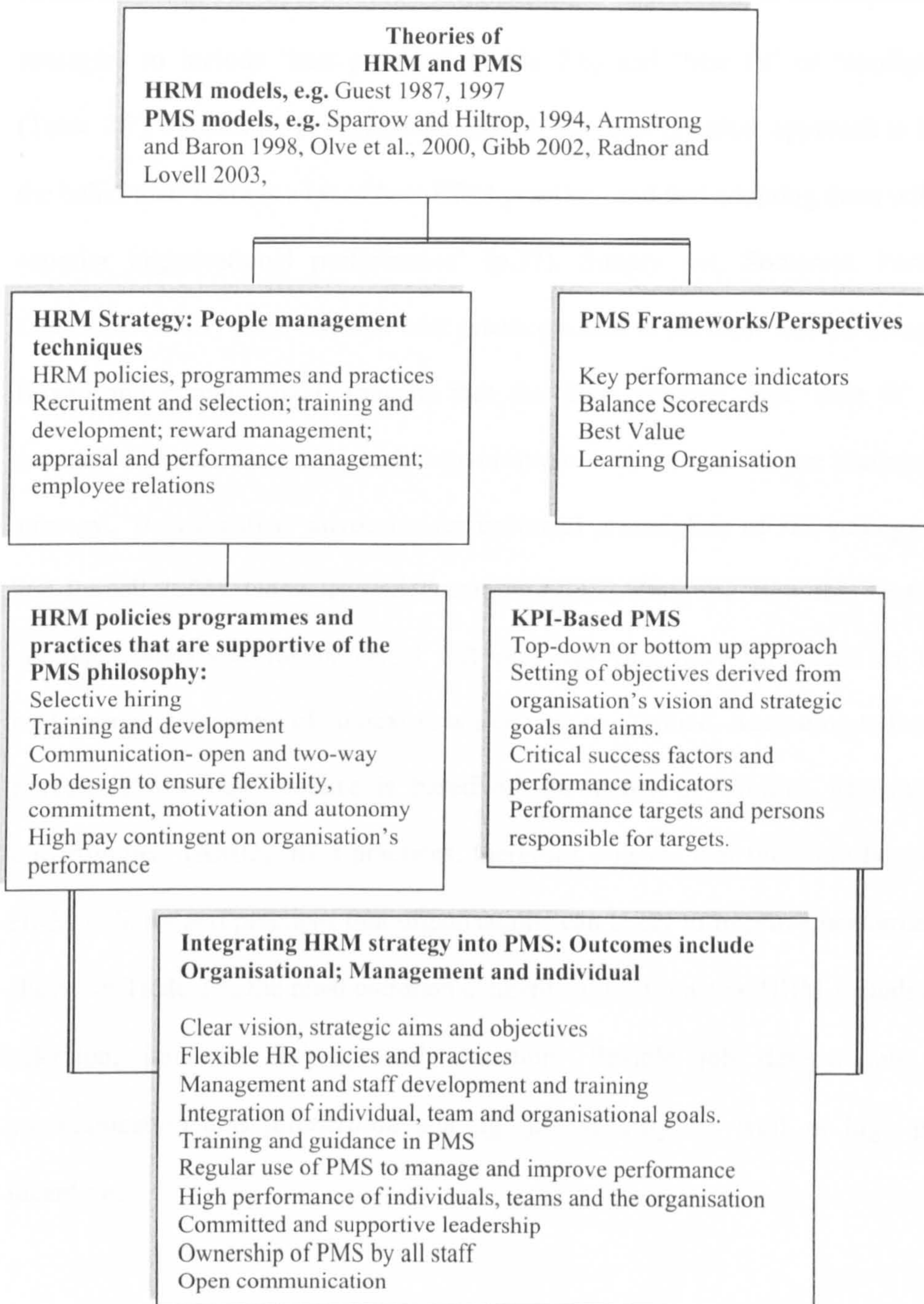
The thesis aligns with the PMS definition by Armstrong and Baron (1998) that views PMS as a strategic and integrated approach to delivering sustained success to organisations by improving the performance of people who work in them and by developing the capabilities of teams and individual contributors. Furthermore, Armstrong and Baron (1998) view PMS as a strategic and integrated system to managing, monitoring, measuring and improving performance. The thesis is interested in the Key Performance Indicator (KPI)-Based PMS framework to managing people and the organisation they work in. According to the 'Best Practice' PMS (HRM), a

PMS should be aligned with the organisation's HRM strategy in order to effectively manage, monitor, review and improve individual, team and organisational performance. The KPI-Based PMS framework will be discussed in detail later in this chapter. PMS is a holistic process that integrates HR strategy and aims to manage and improve the performance of individual, teams and the organisation they work in. HRM policies, programmes and practices are concerned with people management functions including recruitment and selection, induction, training and development, performance appraisal, reward management and employee relations. HRM strategy play an important role in PMS in relation to the best practice suggestion that for a PMS to be effective, HRM strategy should be aligned with organisational vision and strategic aims and supportive of a PMS. This research is interested in the conventional and modern HRM policies and practices in the context of a developing country such as Botswana. As it is acknowledged by various authors, for example Bratton and Gold (2003), the Guest (1987, 1997) model of HRM facilitates the examining of key goals associated with normative HRM models, for example commitment, flexibility and quality and that the Guest model can help understanding of the link between HRM and performance. This research is aligned with the Guest (1987, 1997) HRM model.

In this research, PMS is analysed at three hierarchical levels, at individual, management and organisational level. At the individual level, the research is interested in investigating the extent to which individuals perceive PMS to help them manage and improve their work. At the management level, the study intends to discover how managers view PMS and manage the PMS process, utilise PMS to manage and improve their management capabilities, improve their performance and performance of subordinates under their supervision. The research is interested in

exploring the applicability of ‘Best Practice’ PMS (HRM) process, framework, and contextual factors that affect PMS. The research explores how PMS is aligned with HRM policies, techniques and practices in the case study in order to improve performance of people and the department they work in. Figure 2.2 shows the link between HRM and PMS.

**Figure 2.2: The link between HRM and PMS**



The section that follows examines 'Best Practice' versus 'Best Fit' approaches to PMS. The two approaches were examined in order to build on the argument regarding universal versus the context specific application of PMS in organisations.

### **2.5.7 'Best Practice' vs. 'Best Fit' HR Strategies**

Richardson and Thompson (1999) identified three approaches to development of HR strategies to include 'best practice' (Table 2.6) and 'best fit' or 'configurations' (Table 2.7). According to Armstrong (2001), the 'best practice' approach is based on the belief that 'there is a set of best HRM practices and that adopting them will lead to superior organisational performance' (p.37). Simply put, Somerset, Partner and Chadwick (2003) point out that best practice refers to the best way of doing things. Boxall and Purcell (2003) indicate that the 'Best Practice' and 'Best fit' are two normative models that can guide organisations how to link labour management to strategy. 'Best Practice' advocates for universal prescription of HR strategy (Boxall and Purcell 2003). Gonzalez and Tocarante (2004) share the view that best practice approach advocates for universal HR practices that have an effect on business performance regardless of context in which they are applied. According to Boxall and Purcell (2003), best practice is based on the theory of 'Ability, Motivation and opportunities' (AMO). Best practices, therefore, suggest that there are best ways of HRM policies and practices that organisations can apply to improve performance. As shown in Table 2.6, the most common elements of best practice HRM include: careful selection; intensive training and induction; flexible job design; job variety; communication and information sharing; job security; as well as high pay and incentives.

**Table 2.6 HRM Best Practices**

Guest (1999a)	Patterson et al., (1997)	Pfeffer (1994)	US Department of Labour (1993)
<p>Selection and the careful use of selection tests to identify those with potential to make a contribution.</p> <p>Training, and in particular a recognition that training is an on-going activity.</p> <p>Job design to ensure flexibility, commitment and motivation, including steps to ensure that employees have the responsibility and autonomy to use their knowledge and skills to the full.</p> <p>Communication to ensure that two way process keeps everyone fully informed.</p> <p>Employee share-ownership programmes (ESOPS) to keep employees aware of the implications of their actions, including absence and labour turnover, for the financial performance of the firm.</p>	<p>Sophisticated selection and recruitment processes.</p> <p>Sophisticated induction programmes.</p> <p>Sophisticated training.</p> <p>Coherent appraisal systems.</p> <p>Flexibility of workforce skills.</p> <p>Job variety on shop floor.</p> <p>Use of formal teams.</p> <p>Frequent and comprehensive communication to workforce.</p> <p>Use of quality improvement teams.</p> <p>Harmonised terms and conditions of service.</p> <p>Basic pay higher than competition.</p> <p>Use of incentive schemes.</p>	<p>Employment security.</p> <p>Selective hiring.</p> <p>Self-managed teams.</p> <p>High compensation contingent on performance.</p> <p>Training to provide a skilled and motivated workforce.</p> <p>Reduction of status differentials.</p> <p>Sharing information.</p>	<p>Careful and selective system for recruitment, selection and training.</p> <p>Formal systems for sharing information with employees.</p> <p>Clear job design.</p> <p>High-level participation processes.</p> <p>Monitoring of attitudes.</p> <p>Performance appraisals.</p> <p>Properly functioning grievance procedures.</p> <p>Promotion and compensation schemes that provide for the recognition and reward for high-performing employees.</p>

Source: Armstrong, 2001, p.38.

**Table 2.7 Pfeffer’s Best Practice Models**

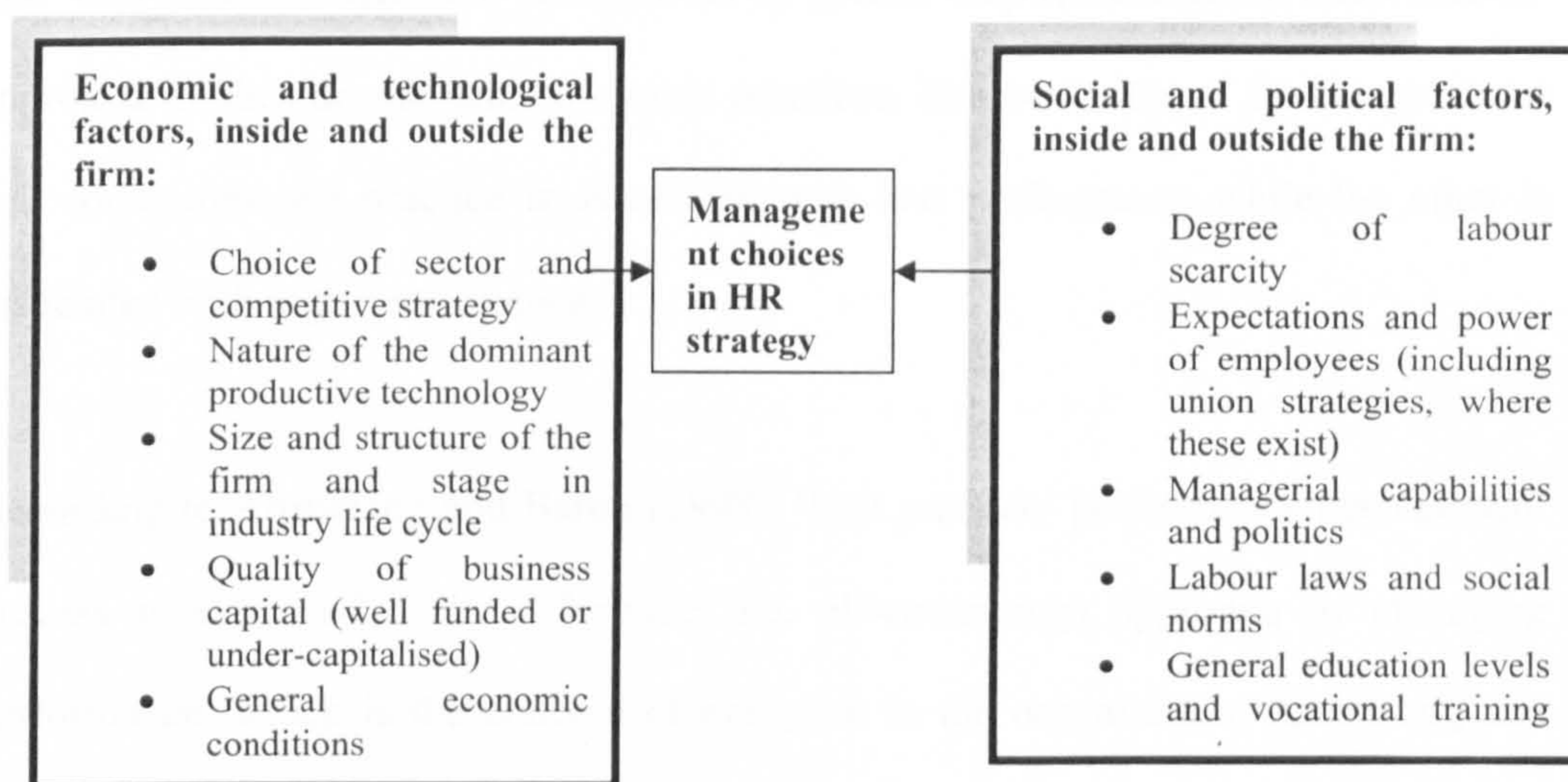
Pfeffer (1994) 16 best practice factors	Pfeffer (1998) 7 best practice factors
<p>Employment security</p> <p>Selectivity in recruiting</p> <p>High Wages</p> <p>Incentive Pay</p> <p>Employee ownership</p> <p>Information sharing</p> <p>Participation and empowerment</p> <p>Teams and job redesign</p>	<p>Employment security</p> <p>Selectivity hiring</p> <p>Self-managed teams or team working</p> <p>High pay contingent on company performance</p> <p>Extensive training</p> <p>Reduction of status differences</p> <p>Sharing information</p>

Source: Boxall and Purcell, 2003, p.62 and p.64.

Armstrong (2001) states that ‘best fit’ approach is based on the belief that that there can be no universal prescriptions for HRM policies and practices, it is all contingent upon the organisation’s context and culture and its business strategy’ (p.37). Boxall and Purcell (2003) support the view that best fit advocates for fitting HR strategy into environmental context (figure 2.3). As shown in Figure 2.3, major economic,

technological, social and political factors inside and outside the organisations have to be taken into account in HR strategy. The internal and external fit are emphasised by Boxall and Purcell (2003). Internal fit suggest that HR policies and practices support and complement each other, whereas external fit emphasise HR policies and strategies appropriate to organisational stage of development (Boxall and Purcell 2003). Gazalez and Tocarante (2003) maintain that HRM fit implies that the key to effective HRM lies in finding an appropriate combination of practices. The two authors further point out that ‘bundles implies the existence of distinctive patterns or configurations; however, the key is to determine which are more effective’ (p.58).

**Figure 2.3 Major Factors affecting management choices in HR Strategy**



Source: Boxall and Purcell, 2003, p.60.

Regarding ‘Best Practices’ HRM, Armstrong (2001) argues that ‘what works well in one organisation might not work well in another because it may not fit its strategy, culture, management style, and technology or work practices’ (p.37). Armstrong (2001) supports the view that ‘best fit’ might be more important than ‘best practice’. Nevertheless, Armstrong (2001) maintains that ‘good practices’, i.e. practices that work well in one environment should not be ignored. Armstrong (2001) further

suggest that 'it may be useful to pick and mix various 'best practice' ingredients, and develop an approach which applies to those that are appropriate in a way which is aligned to the identifiable business needs' (p.39). Somerset, Partner and Chadwick (2003) share the view that best practice is not the same for all organisations. Purcell (1999) warns that organisations should be less concerned with 'best fit' and 'best practice' and much more sensitive to processes of organisational change so that they can 'avoid being trapped in the logic of rational choice' (p.39). The 'bundling' approach has also been criticised for the problem of deciding the best way to relate different practices and the lack of evidence that one bundle is generally better than the other (Armstrong 2001). Gonzalez and Tocarante (2004) argue that despite the fact that 'best practice' approach is supported by greater empirical research than 'best-fit' approach; studies do not name the same practices. The two authors' further point out that sometimes one practice is associated with low performance while the other is associated with high performance.

According to Armstrong and Baron (1998), 'best practice' performance management process is supposed to be a holistic (i.e. all-embracing) approach to managing performance, which is the concern of everyone in the organisation. Armstrong and Baron (1998) noted that as demonstrated by research, 'performance management is not universal; it has varying degree of success and commitment from employees' (p.11). The two authors argue that there is nothing like 'Best Practice' PMS, there is no one best way, only 'Best Fit' or 'Good Practice' exists. Boxall and Purcell (2003) argue that the limitations of 'best fit' models were that too many HRM factors are bundled into the model rendering 'best fit' model complex. Furthermore, studies have shown that best practices vary from country to country because of contextual factors



such as national laws, management style, culture and history (Appelbaum and Batt, 1994; Taira, 1993; Wever, 1995; Towers, 1997; Mardonca and Kanungo, 1996; Haruna, 2003; Hugue and Yep, 2003; McCourt and Ramguttty-Wong, 2003). Hartle (1995) supports the view that 'there is no perfect 'one model fits all' process. Hartle (1995) asserts that each organisation needs to assess how performance should be managed and then design a process to fit the environment. Hartle (1995) argues that each organisation should continuously assess how well the process is serving the needs of its customers and of the organisation. Hartle (1995) further suggests that organisations should decide where to start and how to close the gaps between their current arrangements and the 'ideal' model'. One of the major criticism to 'best practice' models of HRM are that the list of best practice varies significantly and that consolidation of best practices, for example Pfeffer (1998) (see Table 2.6), makes other elements of 'best practice' less important (Boxall and Purcell, 2003). Furthermore, Boxall and Purcell (2003) argue that 'best practice' tend to be disjointed from organisational goals in its specific context, mainly due to 'divergent interests in organisational goals' (p.64).

However, Boxall and Purcell (2003) suggest that 'best practice' should not be abandoned for 'best-fit' practices but the two models should be adopted and blended contingent upon the context. Boxall and Purcell (2003) propose 'configuration as an alternative model, in which organisational strategy is viewed as critical interdependent elements that support and complement each other' (p.58). Armstrong (2001) share the view that 'bundling' or configuration entails development and implementation of several HR practices together that are inter-related and thus complement and support each other' (p.39). As noted by Guest (1989b), strategic

integration entails the ability of organisations to ensure that there is coherence of various aspects of HRM. As pointed out by Lepak and Snell (1999), it is necessary that organisations take heed of different HR practices simultaneously and modify them. As stated by Merdonca and Kanungo (1996), the principles of good management practices are fine; however, the problem is the manner in which practices are carried out.

As deduced from the discussion above, PMS is an integral component of HRM. There are a variety of HRM policies, programmes and practices identified as 'Best Practice'. The major issue is whether universal application of 'Best Practice' HRM models, as argued by various authors and practitioners, would lead to superior performance. The 'Best Fit' advocates that there are contextual factors that affect HRM models. The major factor investigated by this research is the applicability of 'Best Practice' vs. 'Best fit' PMS (HRM) in the context of a developing country. The study aims to investigate 'Best Practice' PMS (HRM) in a public sector organisation. The section that follows briefly examines performance measurement.

## **2.6 Performance Measurement**

According to Scott (1998), the trend in performance measurement is a move away from single financial measures towards value-drivers in organisations. Olve et al., (2000) assert that performance measurement is an important component of a PMS in that organisations have to measure performance in order to know where they are coming from and where they are going. According to GPRA (1993), performance measurement is simply the comparison of actual levels of performance to pre-

established target levels of performance. Turney (1992) asserts that performance measurement can be defined as communicating how activity is meeting needs of internal and external customers. Neely (1998) defines performance measurement as a 'process of quantifying the efficiency and effectiveness of past actions thorough acquisition, collation, sorting, analysing and dissemination of approved data' (p.3). According to Gibb (2002), the essence of performance management is that what gets measured gets done. Flapper et al., (1996) point out that a good manager keeps track of performance of systems he/she is responsible for by means of performance measurement. As stated by Moullin (2003), without performance measurement, it is impossible to assess the extent to which an organisation delivers and achieves excellence. Kennerley (2002) maintains that measurement is a means of clarifying strategy, checking if strategy is implemented and as a means of challenging strategy.

Olve et al., (2000) argue that traditional measures mostly focus on outcomes while in balanced score cards outcome measures are combined with measures that describe resources spent or activities performed. As noted by Kennerley (2002), BSC performance measurement system provides a balanced view of business. Kennerley (2002) further points out that in the 1980s measurement was a necessary core, where 'the wrong things' were measured, 'everything easy to measure' was measured, though financial measures were more important and that measures were not related to strategy. According to Armstrong and Baron (1998) and Olve et al., (2000), performance measures and indicators should be selected on the basis of the organisation's key success factors. In addition, these authors suggest that organisations should select a few measures/indicators and concentrate on them. Flapper et al., (1996) maintain that performance indicators are important for everyone

in the organisation since they inform what has to be done. Houldsworth (2001) states that the increasing dominance of accounting measures and the drive for 'hard' measures has permeated people management with increasing belief that 'what gets measured gets done'.

Franco and Bourne (2002) maintain that the most important criteria for performance measures are that measures should be relevant, clear, balanced, precise and accurate. An interview of practitioners by Franco and Bourne (2002) in five different countries indicated that measures should help predict future outcomes and linked to the individual more than the team. Houldsworth (2001) argue that although performance management is often seen as interchangeable with performance measurement, 'this is not necessarily appropriate' (p.2). Houldsworth (2001) maintains that performance initiatives in organisations could be manifested as performance management and performance improvement based on the experience of HR consultant. As pointed out in PMA (2003), performance measurement is concerned with designing PM systems that would help organisations decide on what to measure, how to measure and what frameworks to use as well as implementing performance measurement systems. As stated by Radnor and Lovell (2003) it is important to balance measures using a variety of frameworks such as the BSC.

However, Houldsworth (2001) argues that 'gaining the promised benefits is not guaranteed simply by following their promoters prescriptions' (p.168). She further asserts that 'new approaches to performance measurement and improvement ... are abandoned before they could reasonably have been expected to bear fruit, in favour of the latest fad or panacea' (p.168). Houldsworth (2001) further argues that ' the

cumulative impact of adopting the 'flavour of the month' tends to be a growing cynicism among managers as well as staff about new approach as initiative fatigue sets in' (p.168-169). Neely (1998) asserts that 'even encouraging a 'balanced approach' to performance measurement can be unhelpful unless managers are aware of multiple purposes that it can serve: control, health check or challenge to strategic assumptions'. Neely (1998) further argues that:

'Choosing appropriate approaches to performance measurement, implementing them successfully, and evaluating their impacts internally and externally are three complex sets of processes which managers have to grapple with while being under increasing pressure to deliver 'optimum performance' now. The outcome is often cynicism and initiative fatigue' (p.170).

The section that follows examines HRM in practice.

## **2.7 HRM in Practice**

Purcell (1999) argues that despite benefits associated with HRM models, 'there is little agreement among researchers on quite what practices and policies do lead to better performance, and very little has been done to test internal fit' (p.2). Furthermore, Purcell (1999) suggests that idiosyncratic contingency shows that each firm has to make choices not just on organisational and operational strategies but on what type of HR system is best for its purposes. Purcell (1999) advises against copying best practices that appear to influence firm performance can never be enough. According to Purcell (1999) 'one of the puzzles associated with the best practice model is why it does not spread rapidly to every firm or even within enterprises' (p.10). Purcell concludes that the 'analysis of both process and content is important in establishing the link between strategic change and HR and the focus on change will move on from the utopian cul-de-sac of 'best practice' and the camera of best fit

contingency analysis' (p.11). Purcell (1999) also notes that it is important that researchers study what happened in the organisation prior to undertaking research. Truss et al., (1997) questions whether two forms of HRM can co-exist or whether pure forms of either are viable and conclude in their research that pure versions of HRM are difficult to distinguish.

According to Guest (1990), where organisations have experienced HRM, individual techniques were implemented piece-meal with little attempt to integrate with strategy. In many cases, HRM is said to continue to be characterised by misalignment of HR processes and functions operating in a vacuum (Hendry et al., 2000). Purcell (1999) advises that a fruitful line of research is analysis of how and when HR factors come into play in strategic change. Purcell asserts that 'the problem with contingency/best fit approach, linking HR systems to operational strategies, is the "huge difficulty in modelling all of the factors and estimating their interconnections, let alone coping with change' (p.8).

Guest (1987) maintains that no one approach can be commended as 'best practice ... what is best is contingent upon particular circumstances' (p.20). Armstrong (2001) assert that 'contingency theory is essentially about the need to achieve 'fit' between what the organisation is and wants to become... and what the organisation does...' (p.24-25). Armstrong (2001) further argues that 'the lessons from contingency theory and the information available on the considerable variations between HR practices in organisations indicate that there is no such thing as a universal model of HRM' (p.28). Tyson (1995) suggests a competency-based approach, which views employees as valuable assets, not costs to the organisation. Robbins (2001) recommends learning

organisation and organisational governance as alternative approach to HRM. Tyson (1995) sees the role of HR department declining, and responsibility of HR devolved to line managers, as well as an increased use of HR consultants by organisations. Bennet (1981) asserts that HRM trend has developed from directive to facilitator, supportive and group approach. Armstrong (2001) argues that 'HRM is an involving concept and is not a new approach' (p.29).

Tyson (1995) acknowledges that there is no best HRM model; effectiveness of model depends on contingency factors. Tyson (1995) suggest that many organisations follow turnaround strategy or market differentiation strategy in order to survive. Tyson (1995) sees HR policies as secondary to organisational strategy. He regards an alternative approach to HR being competency and symbolic values where value of workers is expressed through HR policies and practices. Boutler et al., (1997) suggests ingredients for HRM includes successfully building coherence, cultural shaping and performance management and people/job matching. Boulter et al., (1997) further argue that organisations are moving away from traditional control, mechanistic management systems to flexible, people oriented changing organisations, with different cultures and norms, and align HRM and organisational strategy, occupational commitment, skill-based pay, equity and fairness. According to Roberts (1997), new HRM policies entail disappearance of old systems and appearance of new systems embedded with, for example, mutual trust, integration and harmonisation.

Wright and Snell (1998) have suggested the 'notion of 'sustainable fit', where an appropriate combination of HR practices is linked to the achievement of a flexible organisation' (p.10). McCourt and Ramguttty (2003) also advocate for a 'strategic fit'

regarding application of SHRM in developing countries such as Mauritius. Hatch (1997) proposes three approaches to organisational change, which are 'modernist in which organisations change in response to environment, symbolic-interpretive where social structures are important and post-modernist where there is social construct and participation by the silent' (p.376). Houldsworth (2001) maintains that 'contingency theories or approaches seem particularly ripe for exploitation as we seek to explain performance management experiences and effects' (p.172). Houldsworth further argues that 'systems thinking provide a number of concepts and tools that can readily be used to design individual performance measures of indicators as well as whole performance management systems' (p.174).

Different firms have used different human resource management policies with varying degrees of success. For example, Purcell (1999) notes that 'one of the puzzles associated with the best practice model is why it does not spread rapidly to every firm or even within enterprises...' (p.9). Kochan and Dyer, (2001) argue that human resource function within many American corporations remains weak and relatively low in influence, relative to managerial functions such as finance, marketing and manufacturing. According to Brewster (2001) 'the issues of convergence and divergence in national patterns of HRM is, therefore, equivocal and perhaps needs careful nuance than has been the case hitherto' (p.268). The next section examines performance management in public sector organisations in developed and developing countries.

## **2.8 Performance Management in Public Organisations**

Performance management and performance improvement have not only been the concern of private sector organisations. Performance management in public



organisations has received increased attention since the 1980s and 1990s (Kerley 2001). As noted by Hood et al., (1998) 'a typical public bureaucracy faces scrutiny by a growing army of waste watchers, quality checkers, sleaze busters and other regulators' (p.1). According to Kerley (2001), the urge to evaluate, measure and monitor performance of public institutions and employees has been the interest of politicians, public sector managers and users of public services. Governments in different countries have also shown increasing interest in performance management and the need to develop appropriate performance management processes and measures (Kerley, 2001; Thorpe et al., 2001). Hugue and Yep (2003) point out that globalisation and the need to compete in a rapidly changing world have posed challenges to governments to reform, under the banner of 're-inventing government', 'new right movement' and 'new public management'.

According to Christensen and Laegreid (2002), 'reform agents are looking down under for inspiration' (p.1). The two authors assert that 'New Zealand in particular, with its emphasis on rolling back the state and its confrontational policy style, represents the new model for organising a modern public sector' (Ibid.). Reiney and Steinbauer (1999) note that research on performance of public organisations is in its infancy. Boyne (1999) asserts that this has led to reliance on private sector evidence because of the infancy of performance research in the public management field. According to Redman et al., (2000), much of the recent empirical work on performance appraisal in the UK and other countries has concentrated on the private sector.

As mentioned earlier, the demand for improved performance and better service delivery in the public sector has been prompted particularly by politicians, the public, public watch dog organisations and managers of public organisations. In an effort to improve performance, efficiency, accountability and effectiveness of public sector organisations, governments have adopted a variety of public sector reforms, including re-organisation, re-invention, privatisation and restructuring (Kerley, 2001; Thorpe et al., 2001; Boyne, 1999). Kerley (2001) indicated that measuring performance is clearly appealing to politicians, public managers, and the production and publication of performance data is also appealing to citizens, residents and customers. The call for better performance in the public sector has also been prompted by initiatives taken in the private sector to be competent in terms of service delivery and better quality products. In addition, as indicated by Boyne (1999), these reforms have been inspired by a variety of ideas, from neo-classical economics to popular management best sellers on organisational improvement. Christensen and Laegreid (2002) assert that global reform movement was ‘inspired by particular set of economic theories and normative values whose focus is to increase efficiency’ (p.1). The two authors further argue that ‘in some countries there might be a strong element of diffusion of New Public Management (NPM) ideas from outside’ (p.2). According to Christensen and Laegreid (2002):

‘The spread of New Public Management (NPM) is seen as a complex process, going through different stages and packaged in different ways in different countries, with each country following its own reform trajectory within a broader NPM framework’ (p.2).

There are many ‘cook-books’ that offer recipes for organisational success in the public sector, often based on anecdotes and impressions provided by managers (Boyne, 1999). In today’s government agencies, the emphasis is now on the public,

as customers who pay for services and, therefore, have the right to demand and expect outstanding performance by public sector employees (Traut et al., 2000). Fletcher (1993) acknowledges that 'performance management and appraisal schemes in the public sector were not that different from the private sector' (p.130). As stated by Radnor and McGuire (2004), the UK government has used private sector principles in order to improve the effectiveness and transparency of public services. However, Fletcher (1993) argues that it more complex to assess output and effectiveness of public sector, and more challenging to make appraisal work in the public sector than private sector. According to Bratton and Gold (2003), 'performance management has increasingly been seen as the way to ensure administrative accountability, the meeting of standards and the provision of value-added services' (p.250).

According to Kerley (2001) and Storey (1992), HR policies and practices in the public service are characterised by bureaucracy, hierarchy and politics. Collins (1997) assert 'HRM decisions in the private sector are driven by objectives of securing employees commitment to goals and maximise value of their labour, in the public sector HR decisions are subjected to political control and scrutiny' (p.655). Storey (1992) advocates that the difference between public and private sector is the political nature of values and objectives as well as bureaucracy in the public service.

Collin (1997) asserts that the public sector has reformed and evolved over the years, where it has undergone various reform measures, including reduction in the size of public service employees, privatisation and public spending restraint. Examples of reform in the UK include privatisation of British Telecommunications and British Airways, competitive tendering in National Health Service (NHS) and local government to reduce costs and emergence of new public management where public

sector was to operate like the private sector (Collin (1997). As pointed out by Boxall and Purcell (2003), the sound operational planning and reliable delivery of service are crucial to success of any business.

The above discussion indicates that reforms in public sector organisations are driven by a variety of factors including the need to modernise government, improve service delivery, better financial performance, accountability, transparency, devolution and de-regulation (Kerley, 2001; Haruna, 2003; Hugue and Yep, 2003; Radnor and McGuire, 2004). As pointed out by various authors, these reforms have been prompted by globalisation, the need to be competitive in service delivery and the demand from customers, public, citizens for better and value for money goods and services (public as tax payers). Efforts to modernise and re-invent government include performance management and measurement initiatives such as restructuring and re-organisation processes, procedures and resources, contracting out and privatisation. These reforms and performance improvement strategies were initially designed and suggested by academics and practitioners for the private sector, but later tricked down to application by public sector organisations. As mentioned by Haruna (2003) regarding reforms in Ghana civil service, the ultimate goals of reforms was to improve administrative performance, efficiency, and effectiveness. Hugue and Yep (2003) suggest that reforms across the globe converge towards common sentiments. For example, in OECD countries reforms are geared towards ‘improving performance of public sector, redefining government role in the economy by focusing on outputs and results, inputs and processes, increasing flexibility and enhancing flexibility and strengthening accountability’ (p.144).

## **2.9 HRM and Public Sector Reforms in Developing Countries and in Africa**

Performance management and performance improvement has also become the concern of governments and organisations in developing countries. As stated by Hugue and Yep (2003), governments of developing countries have responded to challenges of 'reinventing government' by adopting practices that have proven effective in the developed countries. Regarding government reforms in China and Hong Kong, a study by Hugue and Yep (2003) suggested that 'convergence' was possible in the two countries. However, as stated by Hugue and Yep (2003), there were major challenges of diversity because of two different systems, including political, ideological, economic, social and cultural differences. According to Hague and Yep (2003), the 'pull' and the 'push' between the two different systems will determine the direction and outcome of administrative reforms in China and Hong Kong.

Similarly, Merdonca and Kanungo (1996) point out those organisations in developing countries have invested considerable resources, time and effort to adopt state of the art HRM practices developed in the Europe and North America. In addition, private and public organisations in developing countries have adopted management practices that have proven effective with the hope of bringing benefits of enhanced effectiveness and modern science and technology (Merdonca and Kanungo, 1996). McCourt and Ramguttty (2003) note that public sector plays a significant role in the economy of developing countries in terms of product and public service provision to various sectors of the economy. Howitz et al., (2004) state that the literature in developing countries converges towards the appropriateness of western management principles and practices. Howitz et al., (2004) argue that many writers have questioned the

notion of multinational companies and local managers for adopting western practices with little consideration of the suitability and relevance of such practices. However, as noted by Merdonca and Kanungo (1996), factors relating to poor management practices, bureaucratic inefficiencies and low productivity eminent in organisations in developing countries create a lot of pressure for managers in developing countries to adopt speedy and ready to implement strategies. Merdonca and Kanungo (1996) advocate for a 'cultural fit' as the key to successful adaptation of performance management techniques and practices developed for US organisations in developed countries. According to Merdonca and Kanungo (1996), HRM practices should therefore, be modified or their mode of implementation adopted to fit the cultural values and believes of developing countries. As pointed out by Hugue and Yep (2003), it is impossible for any country to resist global trends and the need to reform. Developing countries, therefore, as pointed above, could not remain isolated and escape the urge to reform private and public organisations in order to be competitive by improving performance and service delivery and be sustainable in the 'turbulent' and ever changing environment.

In relation to human resource management in Africa, Kamoche (2002) asserts that there is need 'to identify the characteristics of HRM in Africa, the diversity and adequacy of approaches currently in use and how these might be affected by the key contextual factors' (p.995). Her research on HRM practice in organisations in Nigeria, Anakwe (2002) found that human resource practices were a blend of Western or foreign practices and local practices reflecting the significance of local context. Anakwe's findings support a 'cross-vergence perspective'. In relation to public administration reforms in Ghana, Haruna (2003) assert that Ghana adopted reforms

that instituted a mixed economy and decentralised public service in order to improve its mode of governance. Haruna (2003) further notes that Ghana's reforms of public service were based on Anglo-American ideas, which according to Haruna (2003), did not adapt fully or as well in a culture based on a different kind of localism. Haruna (2003) suggests 'a composite framework of reform that blends social and cultural experiences of people of Ghana with Anglo-American values'.

Concerning human resources management in Sub-Saharan Africa, Jackson (2002) suggested a model of 'cross-cultural dynamics'. Jackson (2002) maintains that management systems in Sub-Saharan Africa are changing from post-colonial systems to control-oriented, post-instrumental systems, which are results-oriented. Jackson (2002) stated that management in Sub-Sahara Africa are changing to African Renaissance systems, which are people-oriented. Jackson (2002) concludes that the 'Western view and practice of HRM does not represent a cross-cultural perspective'. Furthermore, Jackson suggests that human resource management in Africa could be better understood by applying the 'cross-cultural perspective', and researching on 'good management practices' in Africa based on different management systems.

Regarding management practices in Southern Africa, Horwitz et al., (2002) asserts that there is an increase in Southern African firms adopting Japanese and East Asian practices. A study of SHRM in Mauritius public service revealed that SHRM was not practiced and was not feasible in the future because the concept was not widely known, due to lack of strategic framework, highly centralised staff management and a lack of political will to make radical changes (McCourt and Ramguttty, 2003). Concerning SHRM in Mauritius, McCourt and Ramguttty (2003) propose a 'strategic

fit' between an organisation and its environment for application of SHRM in developing countries. McCourt and Ramgutty (2003) point out that 'improvement of staff management in Mauritius and possibly other developing countries would require 'creative and piecemeal adaptation of Anglophone 'good practice' that respects political, economic and social realities' (p.600). McCourt and Ramgutty (2003) argue that 'SHRM is a western, private sector solution to western private sector problem of how to maximise organisational performance in a competitive environment' (p.614).

According to Curtis (1999), PMS was introduced in South Africa as part of reforms introduced to transform the public sector after the country was liberated in 1994. PMS was introduced in local government in order to enhance performance, service delivery and effectiveness of municipal institutions. Curtis (1999) emphasises the need to modify some elements of performance management to be compatible with the particular circumstances in South Africa. As pointed out by Curtis, some of the major factors affecting performance management in South Africa's local government institutions include the turbulence of transition, rapid policy change and financial constraints. Curtis (1999) suggests a bottom-up approach, learning from own experience and neighbouring countries and low cost information system would enhance performance management in South Africa's local government. Howitz et al., (2004) pointed out that management styles reflected in South Africa are a blend of 'Western values based on individualism and meritocracy, and an authoritarian legacy of apartheid, (p.14). For 'hybrid' forms of HR practice to occur in South Africa, Howitz et al., (2004) suggest an 'incremental process supported by coherent HRD priorities and changes in organisational culture' (p.15).



In Botswana, some organisations, particularly in public service, have adopted Japanese/East Asian/South East Asian practices in addition to western management practices already in use. Relating to public sector reforms in Botswana, the government in the 1990s introduced various performance management and improvement initiatives such as Total Quality Management (TQM), Business-Process Re-engineering (BPR), Quality Circles (QC), Quality of Working Life (QWL) and Work Improvement Teams (WITS) in order to improve productivity and service delivery. WITS was one of the techniques that was popular in the public sector organisations and was introduced in order to create team spirit, teamwork, improve commitment to work and promote optimum performance (DPSM, 1999). However, WITS was not as effective as expected due to, among other factors, insufficient effort to persuade managers to embrace the concept (Kgosidintsi, 1997). BPR was also applied in the public sector where public organisations were re-structured and re-organised as a result of review of organisation and methods of government ministries and independent departments (Botswana Government, 1995, 1997b).

Research regarding the organisational cultural context of Botswana is very limited. There is scarcity of empirical research regarding organisational and managerial culture in Botswana. According to a study by Hope (2002), one of the public service institutions in Botswana displayed organisational culture that was characterised by minimum communication and non-participative management style, authority exercised in a paternal way and where deference to authority figures was high. Hope (2002) maintains that a study in 1996 by other authors had also revealed similar traits regarding organisational culture in Botswana. Organisational culture in Botswana can be associated with cultural dimensions of high power distance and centralised

decision-making, which were found to be common in some organisations in Zambia (Muuka et al., 2004). According to Muuka et al., (2004), Hofsted's (1980) cultural dimensions of high power distance, highly centralised decision making, respect for authority and status differences were found to be common in organisations in Zambia. High power distance in, for example, Zambia, was alleged to be due to employment culture characterised by nepotism and tribalism in the public sector (Muuka et al., 2004). In other countries such as South Africa, large power distance was said to be due to historical racial and ethnic differences (Howitz et al., 2004).

As it emerged from the discussion above, performance improvement initiatives and the urge to reform organisations is becoming an interest to organisations and governments in developing countries, including Africa. However, efforts to modernise, re-invent, re-organise organisations are met with challenges and problems unique to the environment of developing countries. The reform efforts and performance improvement initiatives are adopted into environments characterised by bureaucratic models of government structures and systems of management and work inherited from colonial powers. In some cases, government structures are engrossed with performance and management problems including insufficient financial base, inadequate facilities, technology and infrastructure, limited managerial and technical skills, as well as rigid HR policies and practices that de-motivate public servants. As stated by Merdonca and Kanungo (1996), management of organisations and HR is also affected by factors relating to culture, including high-power distance between managers and subordinates, uncertainty avoidance and external locus of control. These factors, as pointed by various authors, have contributed to developing countries

having had to look to western countries for ideas, including 'Best Practice' HRM models that have proven effective in developed countries.

However, these practices from the west have, as indicated in the literature, been adopted with varying degree of success. In some developing countries, reforms have been blended with local management practices (Anakwe, 2002); in other cases reforms were not fully adapted to suite local environment (Haruna, 2003); while in other developing countries 'diverting' forces pose as the major challenge to reforms public organisations (Hugue and Yep, 2004); and in other cases western practices have not been adopted successfully because of highly centralised staff management, lack of strategic frameworks, and lack of political will to make radical changes (McCourt and Ramguttty, 20003). As noted by various authors, 'contextual' factors are important as well as 'strategic fit' and blending is crucial in order to enhance the successful adaptation of western management practices in developing countries. This supports Curtis (1999) view of acknowledging specific circumstances in Africa.

As noted earlier, one of the objectives of this research is to investigate 'Best Practice' PMS (HRM) in the context of a developing country such as Botswana. Botswana has over the years, adopted various reforms and performance improvement initiatives in order to improve performance, effectiveness, efficiency, accountability and service delivery of public organisations. These past initiatives have had varying degree of success. PMS is the latest initiative introduced by government in 1999. The research, aims to investigate PMS in the context of Botswana, a developing country characterised by political stability and sound economic management. Botswana has over the years, experienced economic growth and development financed by the

mineral sector (diamonds). However, similar to other developing countries, Botswana inherited bureaucratic and hierarchical administrative structures and systems from the former British colonial government since gaining independence in 1966. Government administrative structures have grown and expanded over the years as the economy experienced rapid growth, in order to improve social services in the economy. As government administrative structures expanded, performance and service delivery problems became eminent. This led to introduction of various reforms in the past, for example, job evaluation and WITS. However, past reforms have had a limited impact in terms of improving service delivery in government ministries and independent departments and PMS is the latest strategy. This research aims to investigate 'Best Practice' PMS (HRM) process, framework and contextual factors in public sector, with a focus on the Department of Administration of Justice.

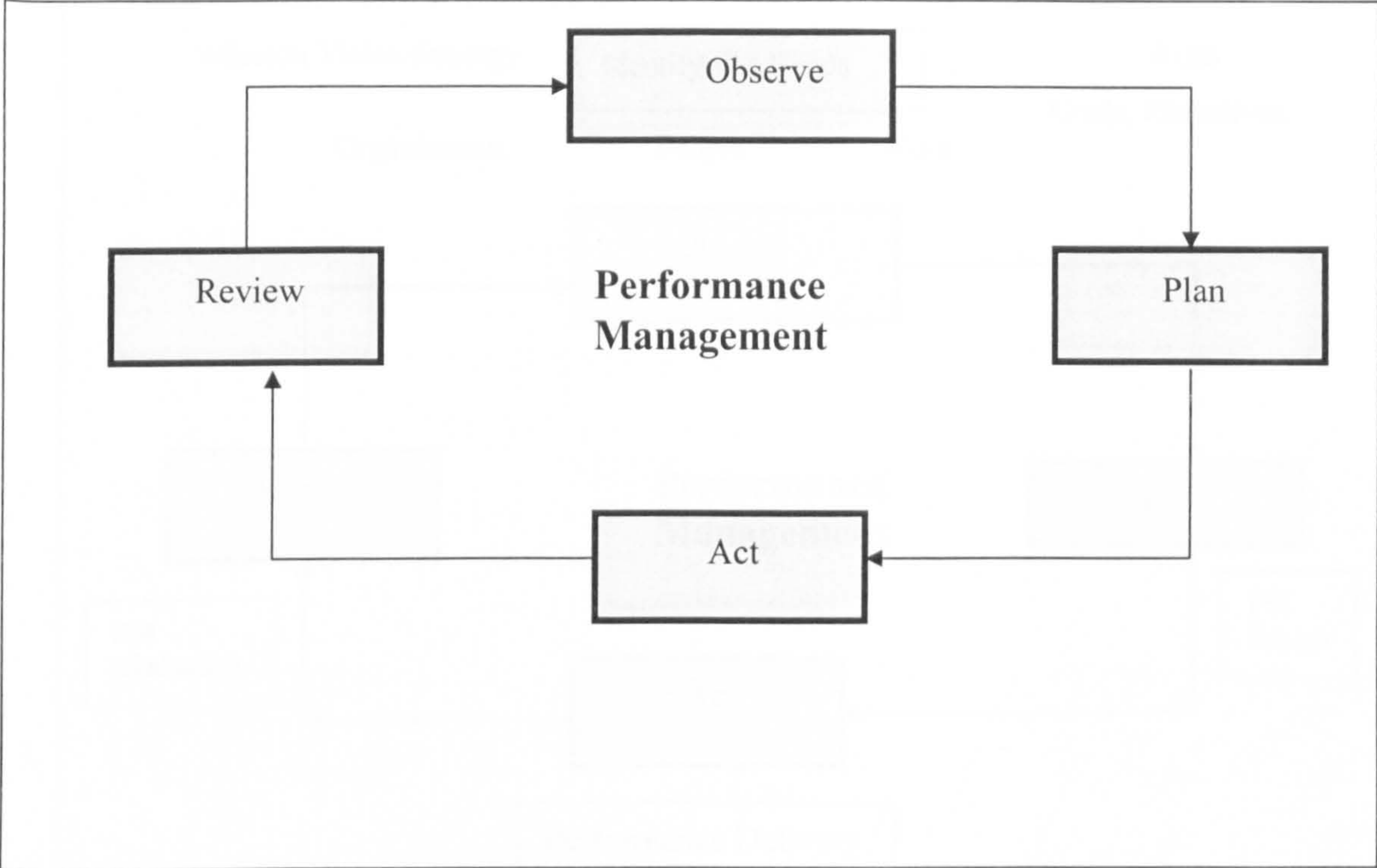
As noted by various authors regarding emulating best practice HRM and PMS policies and practices that have proven successful in developed countries, the adaptation of these initiatives have had varying degree of success. Though developing countries are moving towards the effort to reforms and modernise public sector organisations, these efforts are influenced by various factors, including bureaucratic and hierarchical structures and systems, culture embedded in management style, work environment and job design. Research in the application and adaptation of 'Best practice' models is limited in developing countries, particularly in Africa. This research therefore aims to investigate 'Best Practice ' PMS (HRM) in the Department of Administration, an independent government department in Botswana. The section that follows examines the core process and various frameworks relating to 'Best

Practice' PMS (HRM). Contextual factors influencing 'Best Practice' PMS (HRM) will be discussed as well.

### **2.10 'Best Practice' PMS (HRM): The Core Process:**

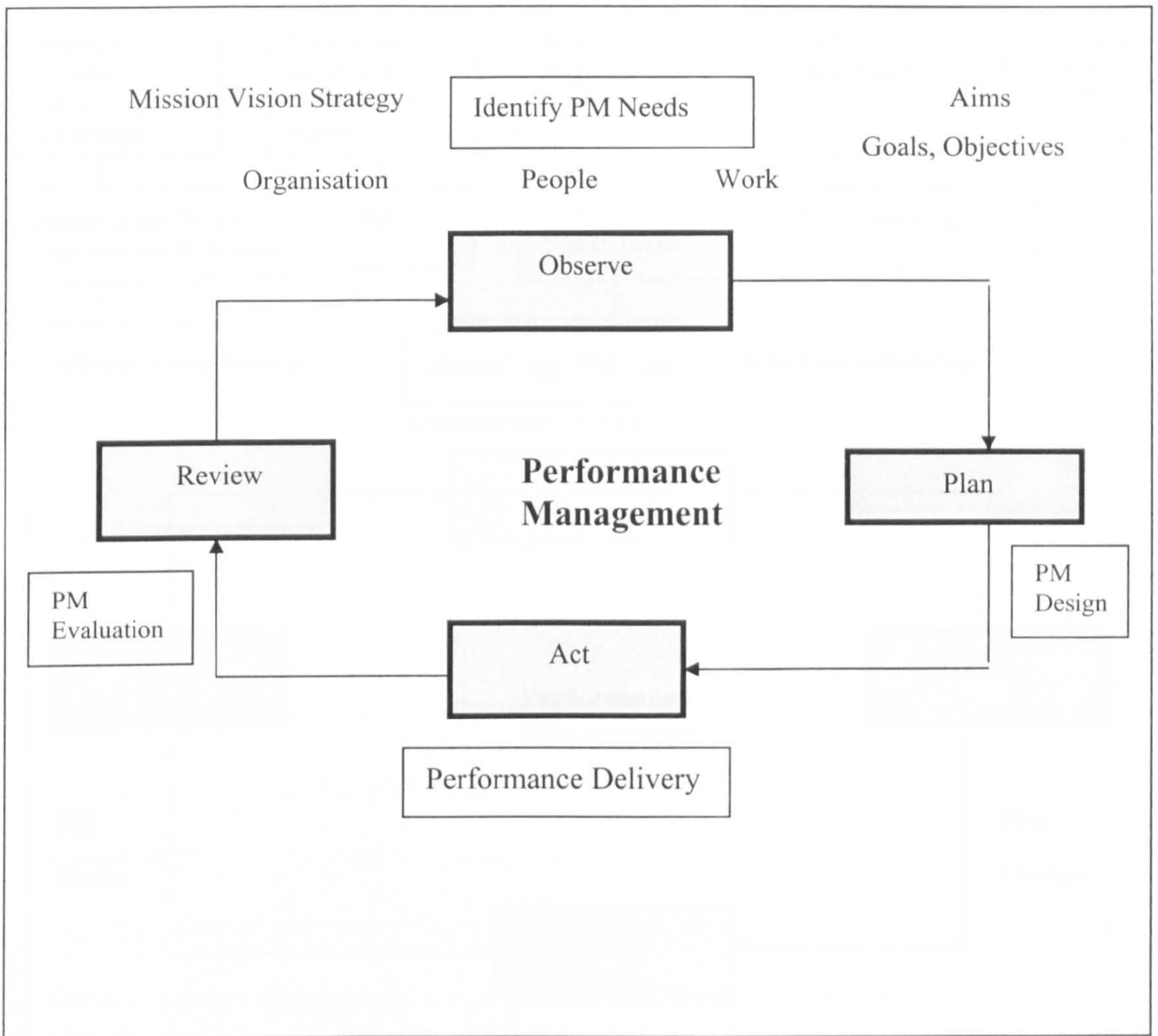
According to the 'Best Practice' PMS (HRM) there are four core processes involved in a PMS development. These cyclical processes facilitate organisations identify their performance management needs, formulate and implement appropriate PM systems (Sparrow and Hiltrop, 1994; Hartle, 1995; Armstrong and Baron, 1998; Olve et al., 2000; Chmiel, 2002; Gibb, 2002). The PMS core processes entails: observing the internal and external environment; planning and designing a PMS based on what was observed; acting on or implementing a PMS; and reviewing a PMS (Sparrow and Hiltrop, 1994; Hartle, 1995; Armstrong and Baron, 1998; Olve et al., 2000; Chmiel, 2002; Gibb, 2002). Figure 2.4 depicts the core process of a PMS. Figure 2.5 maps the performance management process. Figure 2.6 depicts performance management process, systems context and contextual factors.

**Figure 2.4 Performance Management: Core Process (4 stages)**



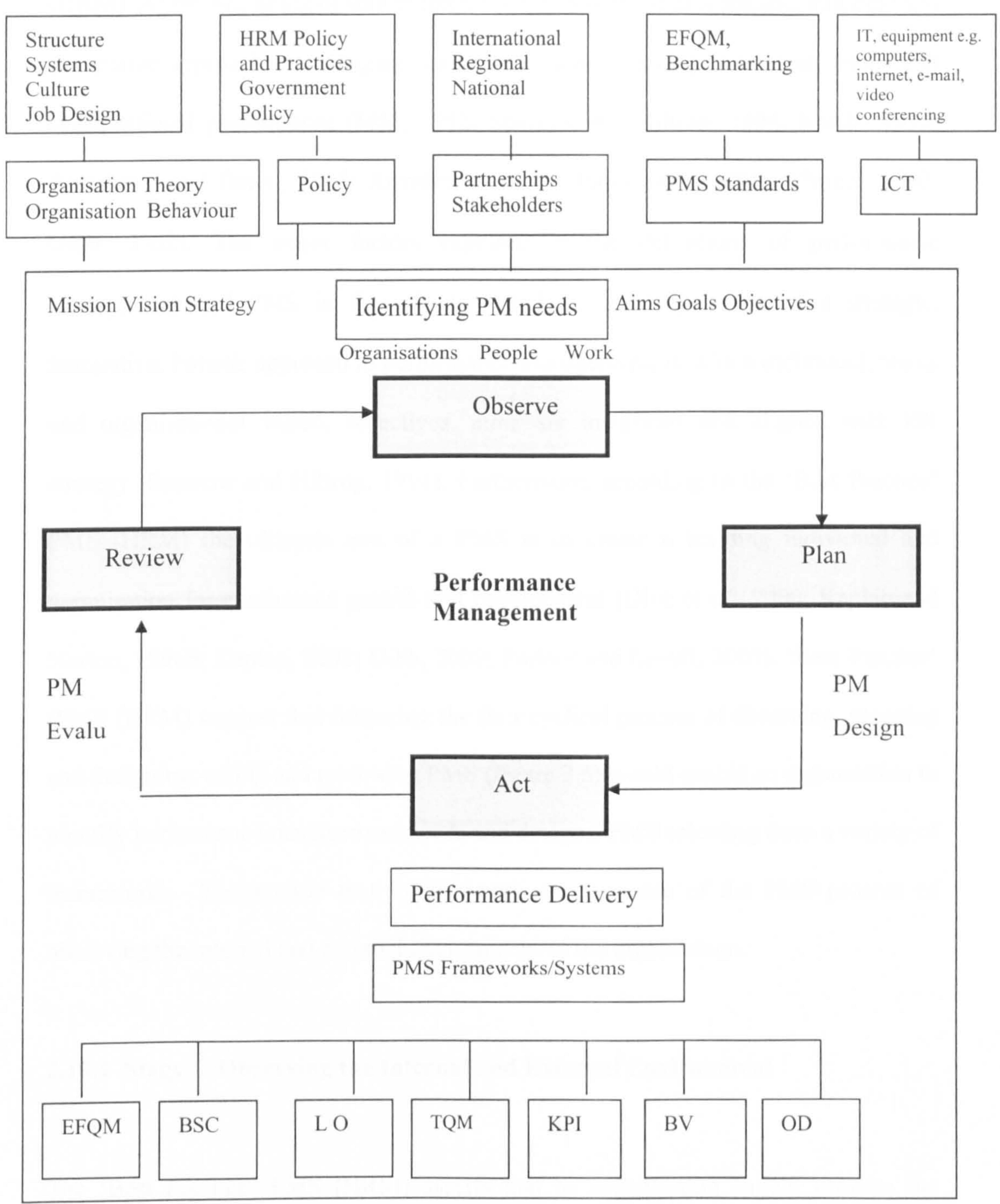
Source: Gibb, 2002.

**Figure 2.5 Mapping the Performance Management Process**



Source: Armstrong and Baron, 1998; Olve et al., 2000; Gibb, 2002.

**Figure 2.6 Performance Management Systems, Frameworks and Contextual Factors**



**Source:** Armstrong and Baron, 1998; Olve et al., 2000, Boyne, 1999; Gibb, 2002, Radnor and Lovell, 2003.

**Notes:** EFQM: European Foundation for Quality Management, BSC: Balance Scorecards, LO: Learning Organisation, TQM: Total Quality Management, KPI: Key Performance Indicators, BV: Best Value, OD: Organisational Development.



The sections that follow examine the four phases involved in the 'Best Practice' PMS (HRM). At the beginning of this chapter, PMS was defined as a holistic, strategic and integrative approach to managing, monitoring and reviewing individual, teams and organisational performance (IPM, 1992; Sparrow and Hiltrop, 1994; Hartle, 1995; Armstrong and Baron, 1998; Armstrong, 2001; Houldworths, 2001; Chmiel, 2002; Gibb, 2002). The major factors captured in the definitions of performance management and PMS in this chapter emphasis the importance of a strategic, integrative, holistic approach to performance management, in which individual, teams and organisational vision, objectives, aims are integrated and aligned with HR strategy (Sparrow and Hiltrop, 1994). Furthermore, according to the 'Best Practice' PMS (HRM) the ultimate aim of a PMS is to create a learning individual and organisation for continuous growth and development (Olve et al., 2000; Kaplan and Norton, 1996b; Kaplan, 2002; Gibb, 2002; Radnor and Lovell, 2003). 'Best Practice' (PMS (HRM) suggest that following the four cyclical process of observing, planning and designing, acting and reviewing PMS (figure 2.5) would enable an organisation to identify performance management needs and design a PMS selecting from a variety of frameworks. The section that follows outlines stage one of the PMS process of observing the internal and external environment of the organisation.

### **2.10.1 Stage 1: Observing the Internal and External Environment**

The 'Best Practice' PMS (HRM) asserts that an organisation should observe the internal and external environment in which it exists (Armstrong and Baron, 1998; Olve et al., 2000; Gibb, 2002). The internal and external environment is observed in

order to assess if the environment supports the organisation in achieving intended goals and objectives, as well as supportive of a PMS (Olve et al., 2000).

### **2.10.2 Characteristics of the organisation**

The characteristics of the organisation are examined in order to confirm, adjust or clarify the reasons for establishing the organisation (Olve et al., 2000). Aspects examined include the organisation's structure, size, industry sector, resources, budget, and composition of employees (Olve et al., 2000).

### **2.10.3 Organisation's Role and Responsibilities**

The roles, functions, accountabilities and responsibilities of the organisation are assessed for clarity and whether they reflect goals and aspirations of the organisation (Olve et al., 2000). In addition, organisation's roles and objectives are assessed in order to ensure that they are aligned with employee's goals and expectations (Olve et al., 2000). Areas where there might be duplication of roles and responsibilities are identified and rectified (Olve et al., 2000). Customers and stakeholder's expectations from the organisation are also re-examined to ensure that they are aligned to the organisations goals (Olve et al., 2000).

### **2.10.4 Mission and Vision statements**

The organisation's mission statement, vision and values are examined to ascertain if they reveal what the organisation stands for and aspire to achieve in the short and long term (Olve et al., 2000). The organisation's mission statement is assessed to see if it is challenging, meaningful and helpful in assisting the organisation achieving its

objectives and goals (Olve et al., 2000). The mission and vision statements are thereafter made explicit and communicated into goals and incentives as well as work targets and resources (Olve et al., 2000). As stated by Sinclair and Zairi (1995), steps in strategy development and goal deployment process entail developing a public mission statement based on recognition of the needs of all organisational stakeholders such as employees and external customers. This includes, as stated by Sinclair and Zairi (1995), 'mission and vision statements, quality policy and corporate values' (p.51).

#### **2.10.5 Objectives and Goals**

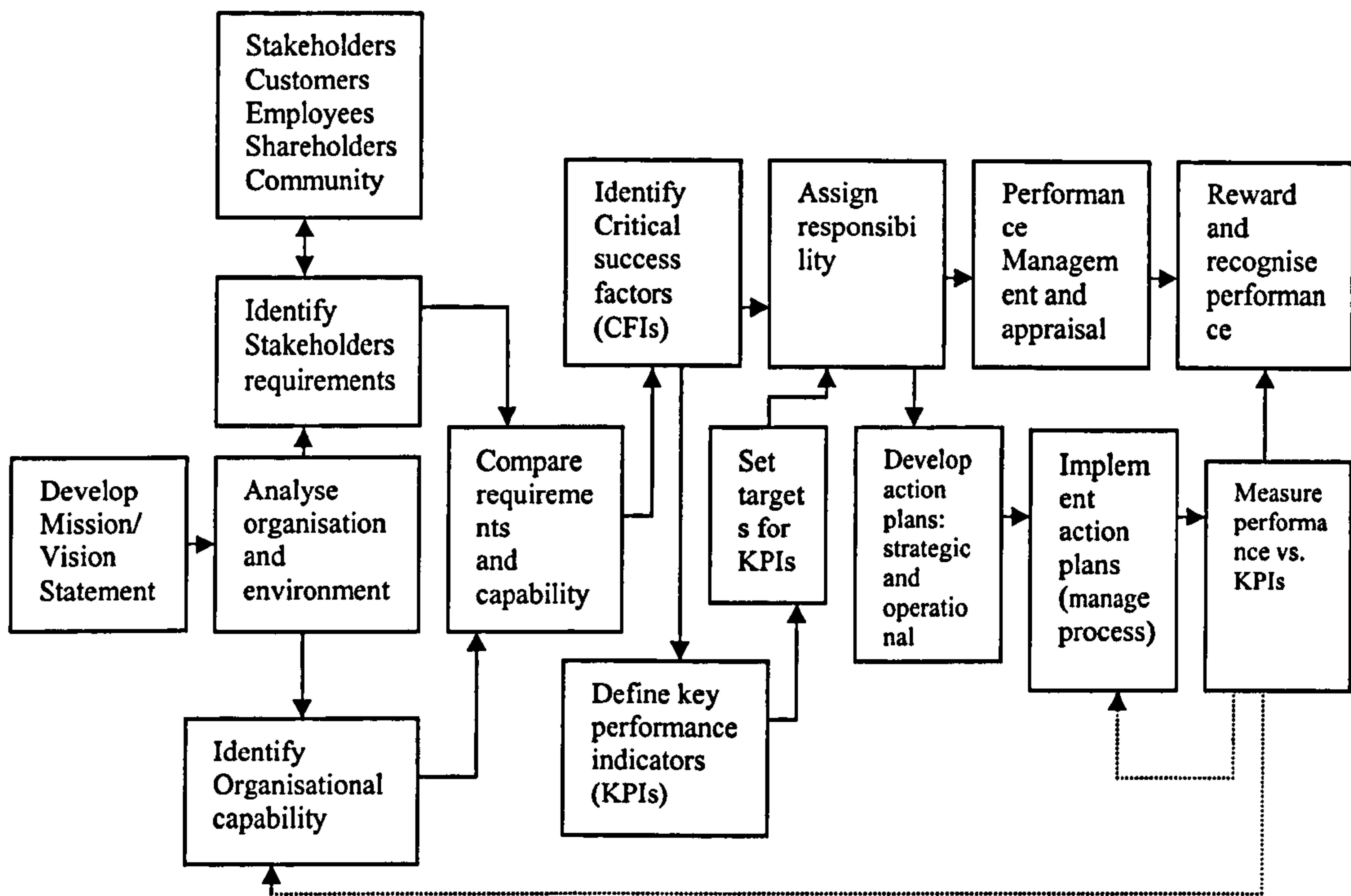
The organisation's objectives and goals are assessed together with departmental, team and individual objectives (Olve et al., 2000). The aim is to integrate organisation, departmental and individual goals and objectives and align them with the organisation's vision and strategic plan and HR strategy (Armstrong 2001). According to Armstrong (2001), objectives should be 'SMART', i.e. S= Specific/stretching, M= Measurable, A= Achievable, R=Relevant and T=Time framed (p.479). Woods (2003) points out that objectives should be derived from the corporate mission and strategies.

#### **2.10.6 Strategic Plan**

The strategic plan of the organisation is examined to map out and specify strategies into long term and short-term goals and objectives (Olve et al., 2000). In the case of an existing strategic plan, the plan is reconsidered to ascertain if it reveals the goals of the organisation (Olve et al., 2000). Critical success factors are also identified in the process, and the strategic plan is transformed in to tangible terms. Once the goals, and

objectives of the organisation have been clarified and specified, the strategic plan is translated into performance measures and indicators. As noted by Sinclair and Zairi (1995), identification of critical success factors, defining key performance indicators for each critical success factor, targets, assigning responsibility, especially with senior managers and developing plans are crucial elements in strategy development and goals deployment (see figure 2.7). Sinclair and Zairi (1995) point out that communicating performance and proposed actions throughout the organisation is an important step in strategy development and goal deployment. The two authors further advise that strategic plan development and goal development process includes measuring against key performance indicators, compare targets as well as identify areas for improvement and plans updated through the review process. Sinclair and Zairi (1995) state that strategic plans and goals for the organisation can be short term as well as long term. Radnor and Lovell (2003) suggest that strategic plan should be used to cover three year to ten-year time frame. Boxall and Purcell (2003) point out that various models of strategic making process include command, symbolic, rational, participative and generative styles. The two authors maintain that styles of strategic making differ according to the contexts. However, Boxall and Purcell (2003) suggest that it is best to combine and choose the most appropriate strategy making process depending on organisational needs and the environment.

**Figure 2.7 Performance Measurement Systems Model Level 1: Strategy Development and Goal Deployment**



Source: Sinclair and Zairi 1995, p.59.

### 2.10.7 Organisation's Systems and Process

The 'Best Practice' PMS (HRM) suggest that organisational systems and process should be assessed in order to identify strengths and weaknesses (Olve et al., 2000). Observing organisational systems and processes before planning and designing a PMS would enhance successful implementing and efficiency of the PM system. Organisational systems and process to observe involves organisational and HRM factors including structure, leadership, culture, activities, resources, competence, capabilities, as well as processes for managing, measuring and reviewing performance (Armstrong and Baron, 1998; Olve et al., 2000). It is also necessary to review systems of appraising and rewarding performance, as well as developing performance skills (Armstrong and Baron, 1998; Olve et al., 2000). As noted by Woods (2003), performance appraisal is process within the overall performance management process.

Woods further states that performance appraisal includes evaluation of individual, team and organisational performance. According to Armstrong (1994), the criteria for assessing performance should be balanced between achievements in relation to objectives, behaviour on the job as it relates to performance and a day-to-day effectiveness.

Assessing organisational systems and process for strengths and weaknesses completes by identifying and suggesting new systems and procedures for improvement (Armstrong and Baron, 1998). Furthermore, systems, procedures and processes for handling organisational performance and performance management data are examined (Olve et al., 2000). Organisations can use techniques such as Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis to assessing strengths and weaknesses of the organisation (Armstrong and Barong, 1998; Olve et al., 2000). Existing systems and process are assessed to ascertain, for example, what the organisation is good at in terms of activities, resources, service delivery, competence, structure, capabilities, and processes for managing, measuring and reviewing performance (Olve et al., 2000).

#### **2.10.8 Internal Culture**

Observing the internal culture entails examining the values, norms and believes of the organisation (Armstrong and Baron, 1998). The aim for observing the internal culture is to assess if the organisation's mission and vision reveals the organisation's believes and values in terms of goals and objectives, performance, service delivery and resources (Olve et al., 2000). Internal culture is also examined to ascertain for example, if it supports high performance, fairness, openness, encourages

innovativeness, involvement, commitment, mutual respect and trust as well as assess whether the culture embraces change (Olve et al., 2000).

#### **2.10.9 Management Style**

The type of leadership prevailing in the organisation is observed in order to ascertain whether it is bureaucratic, command-control type or if it is flexible, supportive, involving and responsive to change (Olve et al., 2000).

#### **2.10.10 Organisational Structure**

The structure of the organisation is scrutinised in order to establish whether it fosters or hinders the organisation towards achieving goals and to establish whether the current structure would be suitable for a PMS (Olve et al., 2000).

#### **2.10.11 Partnerships**

According to Armstrong and Baron (1998), organisations establish partnerships, relations and networks with other organisations, agencies, government, stakeholders and customers. Partnerships are an important component of management and a PMS (Armstrong and Baron, 1998; Olve at al., 2000; Gibb, 2002). These authors argue that it is important that organisations assess partnerships in order to evaluate how the organisation would benefit from them. Once organisations have examined partnerships and the value of partnerships, they are incorporated into PMS in order to strengthen the organisation in its quest to improve performance and effectiveness (Armstrong and Baron 1998).

### **2.10.12 Performance Standards**

When observing the external environment of the organisation, it is essential that performance standards and PMS standards are examined in order to assess whether the organisation's performance and PMS conforms to national, regional and international standards (Olve et al., 2000). Organisational performance and PMS standards can be benchmarked against international standards such as EFQM (Armstrong and Baron, 1998; Olve et al., 2000; Gibb, 2002). According to Armstrong (2001) 'performance standards can be defined as a statement of the conditions that exist when a job is being performed effectively'. Armstrong (2001) maintains that performance standards should preferably be quantifiable terms, for example, of level of service or speed of response.

### **2.10.13 Information, Communication and Technology (ICT)**

Examining the availability, access to and use of information by management and junior staff is an important component of PMS (Olve et al., 2000; Gibb, 2002). Assessing the communication systems, as well as technology available in the organisation is a crucial component of a PMS. This includes assessing, for example, the adequacy and availability of IT equipment such as computers, internet, e-mail, video conferencing and effectiveness of internal and external communication in the organisation (Gibb, 2002). The objective of assessing ICT would be to ascertain whether ICT would adequately support and facilitate individual, teams, organisational performance and the PM system.



#### **2.10.14 External Customers**

According to the 'Best Practice' PMS (HRM), identifying and assessing the profile of external customers is an important aspect of PMS process (Olve et al., 2000). Observing the external environment of an organisation entails assessing external customers expectations from the organisation in terms of service delivery and performance, examining what they value and appreciate about the organisation (Olve et al., 2000).

#### **2.10.15 Stakeholders**

According to 'Best Practice' PMS (HRM), observing the external environment includes identifying and assessing stakeholders composition and expectations from the organisation in terms of the organisation's role in the society and overall performance (Olve et al., 2000). Armstrong and Baron (1998) assert that examining stakeholders' influence in the organisation's operation and performance is another important component of PMS process.

#### **2.10.16 Effectiveness and Efficiency of the organisation**

Assessing the effectiveness and efficiency of an organisation entails examining how effective and efficient the organisation is in achieving intended goals and objectives (Olve et al., 2000). According to Robbins (2001) 'an organisation is productive if it achieves its goals and does so by transferring inputs to outputs at the lowest cost' (p.20).

### **2.10.17 Identifying an 'Ideal' PMS**

Another important component of observing the external environment is to identify a 'Best Practice' PMS, particularly a PMS that is used by similar organisations, and a PMS model which has proven to be effective and efficient (Armstrong and Baron, 1998; Olve et al., 2000). According to Olve et al., (2000) and Armstrong and Baron (1998) identifying 'Best Practice' PMS in the external environment includes benchmarking with ideal PMS and establishing its appropriateness.

### **2.10.18 Benchmarking**

Benchmarking involves measuring performance of the organisation, team or individual against the best practice/ or industry, function or particular activity (Olve et al., 2000). According to Armstrong and Baron (1998), benchmarking means 'analysing performance of comparable business industry and when the performance of the business is inferior, assessing why this is the case' (p.284). Armstrong and Baron (1998) suggest benchmarking effectiveness of the organisation 'against what can be realistically achieved elsewhere' (p.285). The two authors further argue that an organisation should benchmark for standards of performance and PMS. Benchmarking involves assessing how effective the organisation is compared to organisations in similar industry sector (Olve et al., 2000). Sinclair and Zairi (1995) state that external benchmarking might be better option if the organisation wants to improve performance relative to competitors. Internal benchmarking includes self-assessment of the organisation's performance (Sinclair and Zairi, 1995).

As noted above, once an organisation has observed the internal and external environment, for example, assessed goals, objectives, strengths and weaknesses, benchmarked with an ideal PMS and identified performance management needs, the next stage involves planning and designing a PM system according to what has been observed. The section that follows examines the second stage of PMS process, which is planning and designing a PM system.

### **2.11 Stage 2: Planning and Designing a PMS**

The 'Best Practice' PMS (HRM) suggests that organisations should plan for resources required to implement, operate and sustain a PMS. Table 2.8 below shows the main elements involved in the planning and designing of a PMS. Once the aims, benefits and costs of developing a PMS have been identified, assessed and agreed upon, the next stage entails developing a timetable and action plan for PMS based on what has been planned and agreed upon (see table 2.9).

**Table 2.8 Planning and Developing a PMS**

Planning a PMS	Developing and Designing a PMS
<ul style="list-style-type: none"> <li>• Assessment of costs and benefits of introducing and running/maintaining a performance management system</li> <li>• Identifying aims, objectives and benefits for introducing PMS.</li> <li>• Integrating mission, vision, strategic plans, objectives into PMS</li> <li>• Integrating departmental, team and individual plans, objectives and targets into PMS.</li> <li>• Integrating stakeholders, partnerships and customer expectations into PMS.</li> <li>• Identify key success factors that drive organisation to success and key performance areas,</li> <li>• Listing performance measures and indicators for each goal.</li> <li>• Set target for each measure.</li> <li>• Align success factors, performance measures, indicators, outcomes and effects.</li> <li>• Establish relationship between performance inputs (performance drivers, resources) and performance outcomes (performance measures and indicators, effects/ results).</li> </ul>	<ul style="list-style-type: none"> <li>• Identifying procedures about where and how PMS should be introduced.</li> <li>• Who should be covered by PMS? Should PMS be introduced for management staff only or should PMS cover staff at all levels? Should it be introduced to all departments/units at once, or to some departments/units initially?</li> <li>• Should PMS be centralised or should the process be such that HR department provide the principles and guidelines while allowing individual departments/units the autonomy and flexibility in carrying out PM process.</li> <li>• Should PMS involve HRM, external consultant, project teams, working group and staff representatives.</li> <li>• How employee performance be will appraised, measured and rewarded.</li> <li>• How the organisation will be evaluated, measured, monitored and benchmarked.</li> <li>• Planning for the type of PMS training, workshops, and training venue, develop a time schedule and costs.</li> <li>• Identifying and planning communication systems and processes</li> <li>• Identify IT to facilitate performance management process.</li> </ul>

Source: Armstrong and Baron, 1998; Olve et al., 2000.

**Table 2.9 A Checklist Before Acting on a PMS**

<ul style="list-style-type: none"> <li>• Developing an action plan for implementing PMS.</li> <li>• Developing a timetable for PMS implementation.</li> <li>• Making arrangements for communicating details of PMS plan and scheme to employees.</li> <li>• Making arrangement for employee training and workshops on PMS.</li> <li>• Pilot scheme arrangements.</li> <li>• Success criteria test.</li> <li>• Confirming methods for monitoring, reviewing and evaluating PMS implementation.</li> <li>• Confirm performance measures and indicators (measures should always reflect a particular strategy and critical success factors</li> <li>• Confirm methods to measure overall performance and performance standard of the organisation.</li> </ul>
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Source: Armstrong and Baron, 1998; Olve et al., 2000.

### **2.12 Stage 3: Acting on a PMS**

Armstrong and Baron (1998) suggest that the introduction of PMS in an organisation commences with documented briefing, followed by oral briefing. According to Armstrong and Baron (1998), employees are normally briefed regarding 'training they will receive in PMS, date for introducing PMS as well as procedures for evaluating PMS' (p.364). The two authors further suggest that 'the HR department could undertake PMS briefing, as well as an external consultant, line managers, PMS coordinators or project teams' (p.361). Armstrong (2001) states that 'the common method of introducing performance management is to set up a 'project team or 'working group' with management and staff representatives' (p.449). Armstrong (2001) further advocates that the main aim is to get the maximum amount of 'buy-in' to the new process as possible. Implementation of PMS is when PMS is made operational and the process is made to work (Armstrong and Baron, 1998).

The 'Best Practice' PMS (HRM) states that departments, units and sections implement PMS based on guidance from HRM department and PMS coordinators (Armstrong and Baron, 1998). Implementing a PMS entails documented and verbal briefing on PMS. PMS is introduced through documented briefing; followed by oral briefing by HR department, external consultant, line managers, PMS coordinators or project team. Acting on PMS includes briefing employees on PMS training they will receive, date for introduction PMS and procedures for evaluating PMS. The 'Best Practice PMS (HRM) maintains that PMS can be implementing by the HR department. However, there should be flexibility in the implementation process such that departments, units and sections implement PMS to suite their requirements (Armstrong and Baron, 1998). Furthermore, 'Best Practice' PMS (HRM) proposes

that flexibility of PMS implementation at departmental and operational level should be based on guiding principles from HRM department and assistance from PMS coordinators. In addition, the HR department should facilitate, guide and support departments, sections and units for PMS implementation. Acting on a PMS, is therefore, when PMS is operationalised and the process is made to work (Armstrong and Baron 1998). Table 2.10 shows the main elements of PMS and their contribution to HRM. The fourth and final stage that follows in the 'Best Practice' PMS cycle is the monitoring, review and evaluation of a PMS.

**Table 2.10 The Main Elements of a Performance Management System**

<b>Elements of System</b>	<b>Contribution to HRM</b>
Development of a mission statement	Defines the business the organisation is in and the direction in which it is going.
Business strategies and objectives	Provides explicit guidance on the future behaviour and performance required to achieve the mission.
Value statements	Says what is important to the organisation with regard to how it conducts its affairs.
Identification of critical success factors	Spells out the factors contributing to successful performance.
Performance indicators.	Links the critical success factors and the final results to be evaluated.
Conduct of performance reviews	Evaluates individual performance, qualities and competencies against relevant objectives.
Pay reviews.	Links rewards explicitly to performance in the form of merit pay, individual bonuses, group performance and other variable payments related to corporate or group performance.
Performance improvement.	Concerned with improving performance by means of training, career development, coaching and counselling.

Source: Philpott and Sheppard (1992).

### **2.13 Stage 4: Monitoring, Evaluating and Reviewing a PMS**

According to the 'Best Practice' PMS (HRM), there are various methods that organisations can use to monitor, review and evaluate a PMS. Gibb (2002) maintains

that 'review provides an opportunity to complete the performance management process' (p.106). Armstrong and Baron (1998) assert that it is essential to evaluate performance management to ensure that it delivers what it was expected to deliver. The major methods to evaluate PMS include cost-benefit analysis, questionnaires, critical incident review, behavioural analysis, attitude surveys and focus group discussions (Armstrong and Baron, 1998; Gibb, 2002). The purpose of evaluating and reviewing PMS is to assess the effectiveness and efficiency of the system, and identify areas for improving the existing PMS. The 'Best Practice' PMS (HRM) suggest that PMS monitoring, evaluation and review methods are usually examined and decided upon during the formulation, planning and designing of a PM system. PMS review and evaluation process entails identifying strengths and weaknesses of the existing PM system, identifying areas for improving the performance management process as well as recommending changes to improve the current PM system.

Armstrong (2001) argues that 'performance management aims to enhance what Mumford (1994) calls 'deliberate learning from experience', which means learning from problems, challenges and success inherent in people's day-to-day activities' (p.484). Armstrong (2001) further asserts that '... a review of how well the task was accomplished provides a learning opportunity'. Armstrong (2001) maintains that the best method of monitoring and evaluating performance management is to ask those involved; managers, individuals and teams on how it worked. Armstrong (2001) advises that 'the evaluation can be carried out by a member of a project team or by a personnel function or an independent consultant or an adviser can be asked to conduct a special review' (p501). Sinclair and Zairi (1995) state that organisational capability to target against all key performance indicators is compared at the end of the year.

Furthermore, Sinclair and Zairi (1995) point out that performance information can be used for a variety of reasons, including implementation of continuous improvement initiatives, identifying areas for improvement, update action plans and performance targets, as well as managing performance of individuals and teams. Table 2.11 indicates factors to examine when evaluating a PMS. Table 2.12 shows PM evaluation diagnostic checklist recommended by Armstrong and Baron (1998).

**Table 2.11 Factors to Examine when Evaluating a Performance Management System**

**Englemann and Roesch (1995): Factors to examine when evaluating a performance management system**

- How well it supports organisation's objectives.
- How it is linked to critical success factors.
- How well it defines and established individual objectives.
- How well it relates to job responsibilities and performance expectations?
- How effectively PMS encourages personal development.
- How easy (or difficult) is it to use.
- How objective, subjective, clear, ambiguous evaluating criteria are.
- Whether it addresses company's policies and procedures?
- Whether it is fairly and consistently administered?
- How well supervisors and employees are trained to use and live under the system.
- How is it linked to pay?

Source: Englemann and Roesch (1995).



**Table 2.12 PM Evaluation Diagnostic Checklist**

**PM Evaluation Diagnostic Checklist: Armstrong and Baron (1998)**

- Performance management processes fit the culture of the organisation, the context in which it operates and the characteristics of its people and work practices.
- There is commitment and support from top management.
- There is shared ownership with line managers and employees generally.
- Processes are aligned to the real work of the organisation and the way in which, generally, performance is managed.
- Performance management processes help to integrate organisational, team and individual objectives.
- It can be demonstrated that performance management adds value in terms of both short term and longer-term development.
- Performance management processes are integrated with strategic and business-planning processes.
- Performance management processes are integrated with other HR processes.
- Performance management processes can operate flexibly to meet local or special circumstances.
- Performance management processes are readily accepted by all concerned as natural components of good management and work practices.
- All stakeholders within the organisation are involved in the design, development and introduction of performance management.
- Performance management processes are transparent and operate fairly and equitably.
- Managers and team leaders take action to ensure that there is a shared understanding generally of the vision, strategy, goals and values of the organisation.
- Performance management processes recognise that there is a community of interests in the organisation and respect for individual needs.
- Performance management processes help align organisational and individual goals, but this is not a matter of a top down 'cascade' of objectives. Individuals and teams are given the opportunity to put forward their views on what they can achieve, and their views are listened to.
- The focus of performance management is demonstrably on the development of people. Financial rewards are a secondary consideration if, indeed, they are associated with performance management at all.
- There are competence frameworks in place developed specifically for the organisation with the full involvement of all concerned.
- The aims and operation of performance management and how it can benefit all concerned are communicated thoroughly and effectively.
- Training in performance management skills is given to managers, team leaders and employees generally.

Source: Armstrong and Baron (1998), p.378 -380.

Studies have suggested that the PMS cycle can take up to one year to complete (Sinclair and Zairi, 1995; Armstrong and Baron, 1998; Armstrong, 2001). A survey of organisations in the UK revealed that it could take up to five years for the PMS cycle to be completed (Armstrong and Baron 1998).

## **2.14 'Best Practice' PMS (HRM) Success Factors**

According to a study by IPM (1992), 'good practice organisations involve and consult line managers in the development and implementation of performance management systems' (p.77). IPM further suggests that good performance management entails 'line ownership and commitment, clarity of work goals, HRM department as facilitator and supporter, training of line managers and staff, use high-flyer managers to educate, motivate others about PMS' (p.73 and p.133). Furthermore, IPM states that 'pro-action is important in successful implementation of PMS' (p.138). Hendry et al., (2000) have proposed a performance management diagnostic tool, which is more systematic, and puts performance management in a context of corporate strategy, and tries to put some constraint on the tendency to jump at incentives and bonus schemes as a necessary part of performance management. Hendry et al., (2000) further suggests managers should ask questions including:

- 'What triggered rethinking the PMS?
- What kind of performance contract do we want with employees?
- What are the external and internal factors, which condition business, need, motivation and behaviour?
- Not seeing rewards as the sole or necessary lever;
- Detailed reward design;
- Assessing outcomes from PMS and setting in place the means to review and adjust it (what value do PMS add to the organisation' (p.11)

As mentioned earlier, 'Best Practice' PMS (HRM) suggests organisations that follow the core process of developing and implementing a PMS would have an effective and efficient PMS (Sparrow and Hiltrop, 1994; Armstrong and Baron, 1998). Following

the core/ideal process will enhance the organisation's success in building and implementing an effective PMS. In addition, it is argued that PMS is more likely to be effective when there is top management commitment, ownership by line managers and consultation with employees. Moreover, development of a learning organisation is another indication of a successful PMS (Olive et al., 2000). According to Olive et al., (2000) 'through goal achievement analysis the organisation draws conclusions on what the department is doing well, what it is not doing well, and what can be improved' (p.324). Olive et al., (2000) assert that the 'organisation and the individual learn how to manage organisation and individual performance' (Ibid.). The organisation learns 'how to link department and individual goals, developing strategic plan, vision, objectives, develop measures/indicators for goals, decentralised decision making process, and responsibility for achieving goals' (Ibid.).

Hartle (1995) maintains that developing a successful PMS stems from a combination of a demonstrable commitment from senior managers and from investment (of time and resources) into developing and training people to deliver good performance. Hartle (1995) further argues that 'designing a PMS is the easier part, introducing it and making it work is much more difficult'. Armstrong and Baron (1998) share the view that 'performance management is easy to conceive but difficult to deliver' (p.378). Kaplan (2002) advises that the role of management and management style are important factors for successful implementation of Balance Scorecard (BSC) based PMS. Kaplan further argues that management style of communication is very important as well as 'continuously conveying to the people what the organisation wants to achieve' (Ibid.). Hentry et al., (2000) assert that '... performance management system ... is about development and improvement,' (p.10). According to

Hartle (1995), effective performance management systems can increase motivation, management capability, open up communications, change attitudes and behaviours and create a more performance-oriented culture. However, Hartle cautions that a PMS cannot achieve everything. He warns that organisations should not be over-ambitious for the process, for example, setting too demanding agenda for a process' and suggest 'it would be effective to focus upon the three or four key areas you really want to change or improve'. Table 2.13 shows PMS success factors and table 2.14 factors that would sustain a performance-based management program.

**Table 2.13 PMS Success Factors**

	<b>Best Practice/PM and PMS Success Factors</b>
Hartle (1995)	Ownership by all staff; The process should not be driven by pay; Senior managers should set and communicate an overall strategy and key strategic goals; Active support from top management; Running a 'pilot'/staged approach; Training for all in the key phases of performance management; Regard it as a 'learning process' Effective sustained communication strategy
Armstrong and Baron (1998)	A clear vision of performance; Communication of goals; Concern for people; Making genuine effort to relate individual/group goals and aspirations to achievement of organisational goals. Integration of HRM, corporate/business and individual goals, Training and guidance of performance management early in the programme, Flexible HR policies, Management and staff development and training.

Source: Armstrong and Baron, 1998, p.83; Hartle, 1995.

**Table 2.14 Performance-Based Management Maintenance Factors**

<b>Performance-Based Management Maintenance Factors</b>
<ul style="list-style-type: none"> <li>• Leadership,</li> <li>• Commitment,</li> <li>• Involvement,</li> <li>• Communication,</li> <li>• Feedback</li> <li>• Resources</li> <li>• Customer Identification</li> <li>• Learning and Growth</li> <li>• Environmental Scanning</li> <li>• Sense of purpose, and</li> <li>• Organisational capacity'</li> </ul>

Source: GPRA, 1993, p.1-2.

De Waal (2002) argues that 'there is still a lot to be learned about factors that influence the everyday use of a PMS' (p.13). De Waal further asserts that a PMS is successful when managers use this system on a day-to-day basis' (Ibid.). De Waal maintains that generally, in a PMS-implementation project three stages can be distinguished. The 'starting' stage (S), 'development' stage (D) and 'use' stage. De Waal states that the 'start up' stage is when an organisation decides to implement a PMS; while the 'development stage' involves the development of elements such as critical success factors, key performance indicators, balance scorecards are developed; and the 'usage stage' is when a firm begins to use PMS. Results of a survey of three organisations in the Netherlands indicated that the usage stage was the most important to the success of PMS (De Waal, 2003). Lewy and Dumei (1998) state that the criteria for regular use of PMS include assessment of whether results of the organisation, according to managers, have improved through the use of PMS; an increase use of PMS by managers; a difference in managers attitude towards PMS, follow up plans for projects; as well as regular communication of KPI results.

## **2.15 'Best Practice' PMS (HRM) and Contextual Factors**

This section examines the contextual factors that can affect the process of formulation, planning, designing, implementing and reviewing a PMS. According to the 'Best Practice' PMS (HRM), the major contextual factors that can affect PMS include factors relating to organisational and HRM such as management style, structure, culture, work processes, policy and motivation (Armstrong and Baron 1998). The 'Best Practice' PMS (HRM) process and contextual factors are depicted in

Figure 2.6, Section 2.10. Organisational theory helps to explain different activities in organisations, for example, structure, climate, systems and work processes (Robbins 2001). On the other hand, organisational behaviour helps explain the behaviour of individuals, groups, teams as well as the organisation itself (Cherrington, 1989; Robbins, 2001). According to Robbins (2001), 'organisational behaviour is concerned with how people and groups behave in an organisation and how their behaviour impact on organisational performance' (p.6). As noted by Zairi and Jarrar (2000) 'the major reason for managers to use data from PMS is to influence behaviour of junior managers and employees' (p.688). In order to influence behaviour of junior managers and employees, managers therefore, need to understand and have a clear view of human nature and behaviour in organisations (De Waal 2003). Contextual factors that affect PMS are examined below.

### **2.15.1 Context of the Organisation**

Katz and Khan (1964) advocate that 'organisations can be regarded as open systems that are continually dependent upon and influenced by their own environment' (p.18) 'Managing performance is thus, about managing the context' (Ibid.). According to Armstrong and Baron (1998), the external, global and national environment is constantly changing, performance management should, thus, be a process to help shape this change, as well as responding to it. Armstrong and Baron (1998) point out that contingency theory advocates that 'whatever is done within the organisation must fit their circumstance that is why no performance-management system can safely be transferred from one organisation to another. 'Best fit is therefore more crucial than best practice' (p.18).

### **2.15.2 Functionality**

How the organisations function is a contextual factor that directly affects the design and operation of performance management processes. Armstrong and Baron (1998) have identified three issues that affect performance management, comprising ‘the extent to which the organisation is centralised or decentralised; whether the operations are local, national or international; and the way in which the organisation is structured’ (p.21) The two authors agree that ‘a highly structured organisation with extended hierarchy will inhibit rather than enhance performance’ (Ibid.). Regarding management style, Armstrong and Baron (1998) state that ‘management style describes the way managers behave and exercise their power and authority’ (p.20). According to Armstrong and baron (1998) ‘a command and control management style is likely to produce task-oriented performance management, while a non-directive participative style is more likely to support a partnership approach to performance management, with an emphasis on involvement, empowerment and ownership’ (p.20). As stated by Oakland (1993), the key task for functionally organisation is to identify the customer-supplier relationship between functions to enable other parts of the organisation regard themselves as part of the process.

### **2.15.3 Job design**

The aim of job design is to specify job context role expectations and relationship, and to satisfy individual needs and organisational requirements. Armstrong and Baron (1998) argue that for a job to motivate, it must be a complete piece of work, affords variety, decision-making responsibility and control, and provides direct feedback. Goal setting is an important component of performance management and provides

opportunity for individual accomplishment (Merdonca and Kanungo, 1996). Teamwork is viewed as an important element of performance management and managing performance of individuals (Armstrong and Baron, 1998). Armstrong and Baron (1998) further assert that flexibility in decision making, variety of tasks in order to motivate employees and ability of employees to control their work and taking up responsibility are essential factors in a PM system. According to the 'Best Practice' PMS (HRM), motivational levels of organisation's management and employee's in understanding and using the PMS as well as their openness to embracing the system as a vehicle for change are essential in a PMS. Managers and staff's motivation in using the PMS in order to assist specify and set targets and goals will have an influence on a PMS. 'Best Practice' PMS (HRM) asserts it is equally essential for staff to feel that they would benefit from a PMS in giving and receiving feedback, as well as linking their efforts to rewards expected from their performance.

According to Hartle (1995), 'a reward system should be aligned with HRM processes, including performance management. Hartle further asserts that a well designed and implemented reward system should reward the right kind of results and the right kind of behaviours. 'Best Practice' PMS (HRM) advises that employees will also be motivated if they perceive the PMS as consistent, fair and equitable in its application. According to Hartle (1995), managerial behaviour has an impact on work climate. Hartle (1995) further asserts that performance management can be used to create a motivational climate for all employees. He argues that employees will only 'go the extra mile' if the workplace environment encourages and rewards them to do so. Sinclair and Zairi (1995) state that superior organisational performance is rewarded and recognised once targets are compared against all key performance indicators.



#### **2.15.4 Culture**

According to Armstrong and Baron (1998), 'cultural considerations affect performance management because the latter works well when it fits the existing values of the organisation' (p.358). As pointed out by Armstrong and Baron, culture might be embedded in 'deeply held beliefs, reflecting what has worked in the past' (p.19). Furthermore, Armstrong and Baron state that culture will dominate the internal environment of the organisation, which will also be influenced by factors relating to structure, size, working practices, employee relations and the type of people employed. Values, norms and management style prevailing in the organisation are some of the factors that have an impact upon organisational and performance management (Armstrong and Baron, 1998). For example, structure will affect the way performance management is introduced in an organisation. The way that managers behave and exercise their power and authority will also affect performance management, for example 'non-directive participative style will produce a support partnership PM, with emphasis on involvement, empowerment and ownership' (Armstrong and Baron, 1998; p.20). The two authors assert that 'ideally these should support high performance, quality, involvement, openness, freedom of communication, and mutual trust' (Ibid).

Dimensions of organisational culture include power distance, uncertainty avoidance, masculinity/femininity and individualism/collectivism (Hofstede 1980). Molleman and Timmerman (2003) advocate that a coaching role will lessen power distance between workers and supervisors. Sparrow and Hiltrop (1994) supports the view that cultural differences influence attitude and approaches to performance management. Merdonca

and Kanungo (1996) assert that management programmes that are highly successful in industrialised, developed countries of the West can sometimes fail in developing countries when programmes were uncritically adopted without any regard for internal culture. Merdonca and Kanungo (1996) assert that 'internal cultural fit' is crucial when adopting western management practices in developing countries to ensure that programmes, techniques and process are consistent with and rooted in values and norms of culture. Merdonca and Kanungo (1996) point out that factors that inhibit performance management in developing countries include uncertainty avoidance; low internal locus of control, low individualism and high power distance:

#### **2.15.5 Policy**

According to the 'Best Practice' PMS (HRM), the policy environment in which the organisation operate can affect a PMS. Policy environment entails international, regional and national, laws, guidelines, procedures, rules and regulations that direct operations and management of employees in the organisation (Boxall and Purcell 2003). Measures and indicators for policy comprise assessing the formality, informality, rigidity and flexibility of and applicability of organisational policy.

#### **2.16 'Best Practice' PMS (HRM) Frameworks**

The following section examines different 'Best Practice PMS (HRM) frameworks that organisations can use to base their PMS. These frameworks comprise of multiple perspectives and approaches to managing and measuring performance (IPM, 1992; Sparrow and Hiltrop, 1994; Kaplan and Norton, 1996b; Armstrong and Baron, 1998;

Olve et al., 2000; Rohm, 2002; Gibb, 2002; Radnor and Lovell, 2003; De Waal, 2003; Sinclair and Zairi, 1995). The PMS frameworks include:

- Key Performance Indicators (KPI)/Critical Success Factors (CSF),
- Balance Score Cards (BSC),
- Total Quality Management (TQM),
- European Foundation for Quality Management (EFQM),
- Best Value (BV),
- Organisational Development (OD), and
- Learning Organisation (LO).

### **2.16.1 Key Performance Indicators (KPI)**

According to Gibb (2002), identifying KPI ‘involves setting specific, measurable, attainable, realistic, time bounded (SMART) objectives for core activities’ (p.37). Gibb further asserts that many organisations have adopted this type of performance management framework. Gibb maintains that this framework is associated with top-down strategic management in the private sector and value for money initiatives in the public sector’ (p.37). According to De Waal (2003), an increasing number of organisations have PMS that is based on critical success factors (CSF) and key performance indicators (KPI). Sinclair and Zairi (1995) point out that KPIs refer to actual measures used to quantitatively assess performance against critical success factors. The two authors argue that there should be at least one KPI for each CSF. CSFs are a number of areas which results will ensure successful competitive performance of the organisation (Rockart, 1979). As noted by Sinclair and Zairi (1995), CSFs are generated from the organisation’s mission statement and CSFs identify those factors critical to the success of the firm. Furthermore, performance measures for each CSF are defined using KPIs (Sinclair and Zairi (1995). The process

of CSF and KPI development as noted earlier, includes targets being set for each KPI based on organisational criteria and responsibility assigned to KPI targets 'with directors or very senior managers' (Sinclair and Zairi (1995). Flapper et al., (1996) point out that:

'A consistent PMS which pays attention to relations between performance indicators is a system that covers all performance aspects of a firm as a whole, and offers management insight into how well the organisation is performing its tasks and realising its objectives' (p.2).

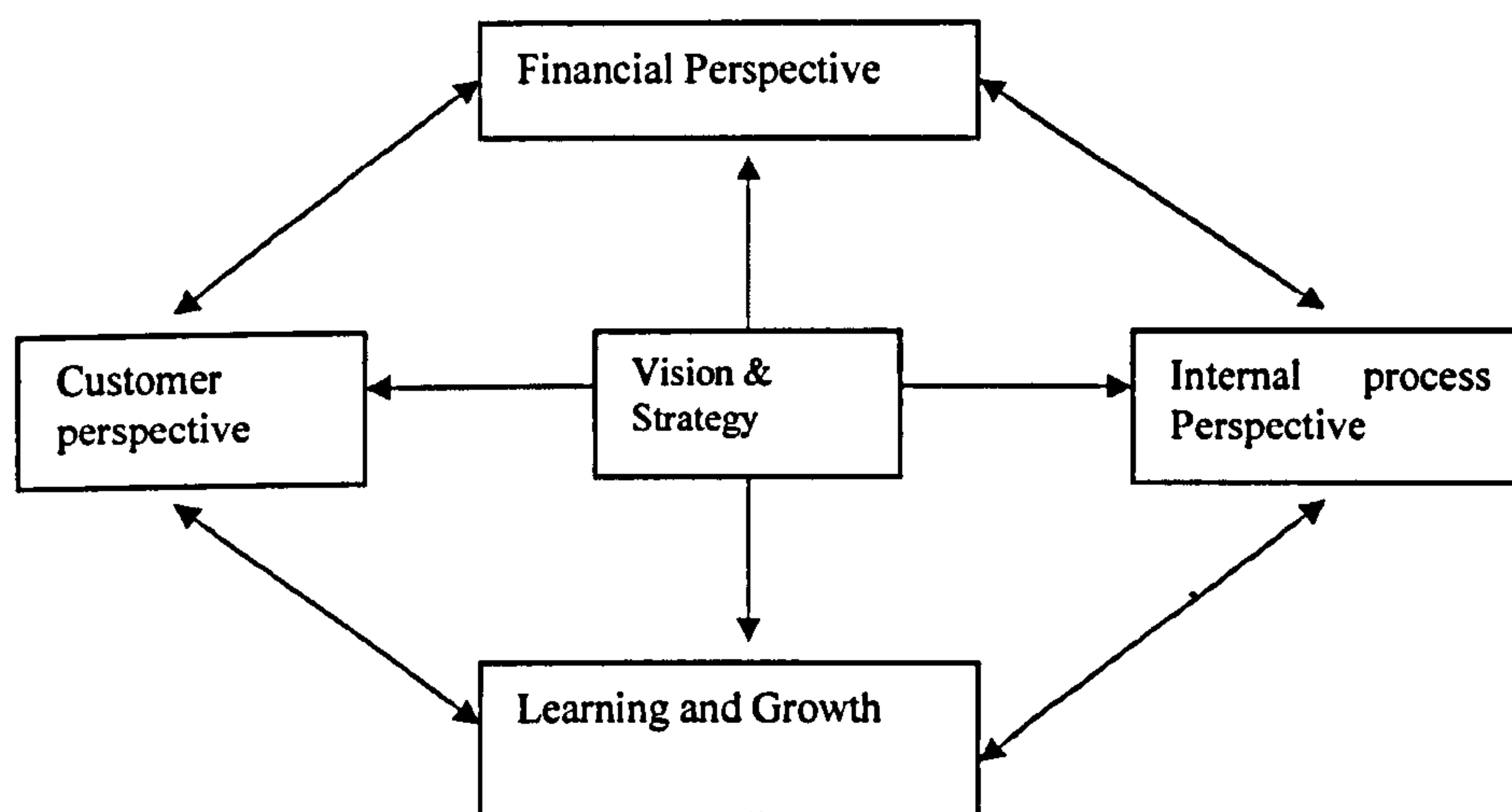
Flapper et al., (1996) indicate that development of performance indicators can be at strategic, operational and tactical levels. Performance indicators at strategic level are long term and organisational, while indicators at operational level are short term and guide and control daily activities. Flapper et al., (1996) further assert that performance indicators are often developed using the 'top-down' approach where indicators are deduced from higher hierarchical or organisational objectives. On the other hand, 'bottom up' development of performance indicators is 'where the starting point for defining indicators are the tasks which have to be executed within an organisation' (Flapper et al., 1996, p.29). Flapper et al., (1996) further maintain that targets setting for performance indicators is a negotiating process involving 'employers', 'employees', 'customers' and 'suppliers' and that targets can be changed if not achieved.

### **2.16.2 Balance Score Cards (BSC)**

According to Radnor and Lovell (2003), 'the BSC methodology is centred on a holistic vision of a PMS especially linked to the strategic direction of the organisation' (p.3). Radnor and Lovell further assert that BSC 'aims to clarify an organisation's vision and strategy and translate them into tangible objectives and

measure' (Ibid.). The BSC framework, as shown in Figure 2.8, 'summarises an organisation's vision and measures its performance from four perspectives, normally defined as financial, customer, internal business processes, and learning/growth perspectives' (Radnor and Lovell 2003, p.3). Gibb (2002) asserts that 'developing BSC involves identifying measures across a broad range of areas to monitor and review' (p.37).

**Figure 2.8 BSC Model**



Source: Kaplan and Norton (1996b).

According to Rohm, (2002):

'BSC is a PM system that can be used in any size organisation to align vision and mission together with customer requirements and day to day work, manage and evaluate business strategy, monitor operation efficiency improvements, build organisation capacity, and communicate progress to all employees' (p1).

Rohm (2002) further assert that 'BSC were originally developed as a framework 'to measure private industry non-financial performance and that BSC are equally applicable to public sector organisations' (p.1). However, Rohm (2002) argues that BSC can be applied to public sector organisations 'only after changes are made to account for the government mission and mandates, not for profitability, that are

unique to almost all public sector entities' (Ibid.). Rohm (2002) maintains that BSC frameworks for 'public organisations must be changed to capture the mission-driven nature of public organisations' (p.3). Furthermore, Rohm states that government reforms initiatives at all levels of government are placing emphasis on accountability and results to meet citizen expectations for public services and products. He notes that 'typical changes to a BSC for public organisation include changes in the categorisation of perspectives, for example, Innovation and Learning, or Employees, in place of Learning and Growth' (p.3). Rohm (2002) supports the view that employees and organisational capacity can be used to reflect the importance of human system and of capacity building through trained and knowledgeable employees and efficient use of information technology systems (also in Olve et al., 2000). According to Olve et al., (2000), HRM/Employee perspective is viewed as a reminder to organisations that human resource is important. Rohm (2002) maintains that 'a budget perspective is used in place of financial perspective to reflect the budgetary formulation and execution processes associate with public accountability of funds' (p.3). In addition, 'stakeholders are added to the scorecard to account for the impact of public programmes directly on citizens, regulators and other oversight bodies, businesses and the public at large' (Ibid.).

According to Houldsworth (2001), BSC is associated with 'hard' HRM perspective of performance improvement. Houldsworth (2001) further proposes that performance improvement is concerned with organisational benefits, which could be in financial terms or a collection of measures such as BSC. Hartle (1995) argues that many purely result-based approaches to performance management fail because they only capture the 'hard' elements of performance that can be targeted and measured. Hartle further

asserts performance management process must reflect a balance between measurable results and the demonstration of competencies, which result in job-related successes.

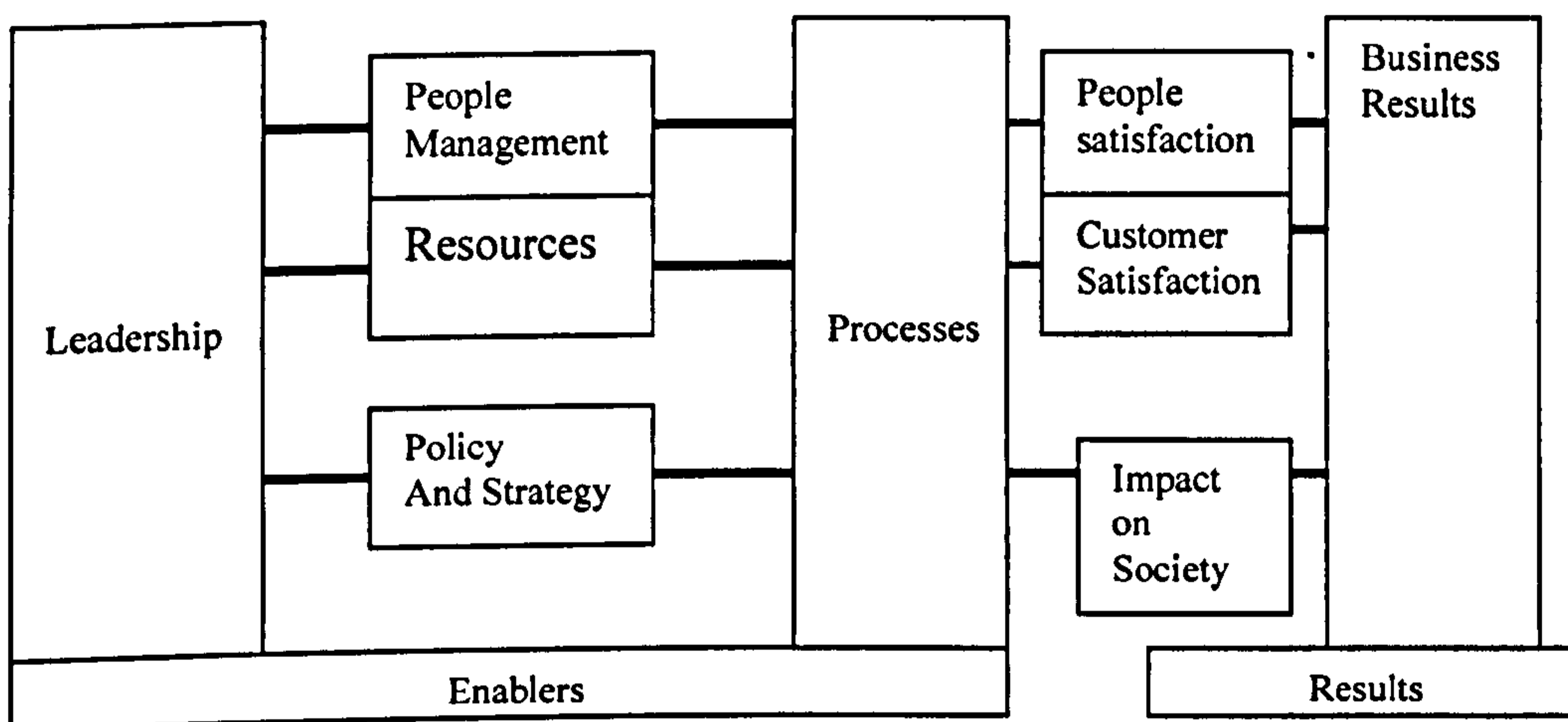
As stated by various authors above, the BSC based PMS is thus, based on multiple perspectives categorised into financial and non-financial measures. The BSC has four measurement perspectives comprising Financial, Customer, Internal Business Processes and Development and Learning and Growth (Olve et al., 2000; Kaplan and Norton, 1996b; Rohm, 2002; Radnor and Lovell, 2003). According to Olve et al., (2000), 'it is worth trying BSC in government, especially in agencies with minimal political decision making' (p.307). Rohm (2002) suggest that a BSC team can be established to facilitate the building and sustain the BSC based PMS, as well build buy-in and support for changes that follow. Rohm states that depending on the size of an organisation, it can take two to four months to build BSC or six weeks is possible. Rohm (2002) shares similar views with Radnor and Lovell (2003), by suggesting that the journey goes faster and smoother when outside expert training and facilitation assistance are used. According to Olve et al., (2000), 'the full process of developing and introducing scorecards can take two to three months' (p.167). British Telecommunications (BT) (UK) is said to have successfully applied BSC and business excellence models (Olve et al., (2000).

Rohm (2002) asserts that 'the real value of a scorecard system comes from the continuous self-enquiry and in depth analysis that is the heart of all successful strategic planning and PMS' (p.3). BSC appears to be the most researched and popular PMS and performance measurement model adopted by organisations, particularly in the private sector (Marr and Schiuma, 2002; Radnor and Lovell, 2003). De Waal (2003) also supports the view that BSC are frequently used PMS format.

Downing (2001) suggests that close to forty per cent of Fortune 1000 companies in US firms would have attempted to implement BSC by the end of 2000, while thirty nine per cent of UK Financial Times Stock Exchange (FTSE) 100 companies were actively using the scorecard (Tonge et al., 2000).

### 2.16.3 'Business Excellent' Model and European Foundation for Quality Management (EFQM)

**Figure 2.9 .The EFQM Model**



Source: Armstrong and Baron, 1998, p.278; Olve et al., 2000, p.154; Armstrong 2001, p.482.

According to Armstrong and Baron (1998), EFQM entails nine elements as shown in Figure 2.9 above. Armstrong and Baron (1998) further maintain that the essence of the EFQM model is that 'customer satisfaction, people (employee) satisfaction and impart on society are achieved through leadership' (p.278). EFQM was introduced in 1992 and is said to be the most widely used organisational framework in Europe (EFQM, 2003). The EFQM was developed to help organisations be successful and to develop an appropriate management model that would measure their stance in terms



of achieving sustained excellence based on a variety of approaches and criteria. Regarding Business Excellence model, British Telecommunications (UK) is alleged to be one of the founding members of EFQM and has successfully used the model (Olve et al., 2000). Gibb (2002) assert that becoming excellent or world class involves adopting, or establishing, the standards of the best in order to compete.

#### **2.16.4 Total Quality Management (TQM)**

As stated by Armstrong (2001), the main concern of TQM is the establishment and maintenance of high standard quality of products and services expected by customers. This is obtained by making employees aware of quality as an important component of organisational success (Armstrong, 2001). Gibb (2002) assert that Kaizen, TQM involves developing, planning and monitoring systems to achieve continuous improvement. TQM is associated with Japanese companies (Gibb, 2002; Bratton and Gold 2003). According to Bratton and Gold (2003), Japanese production models have three notable elements of flexibility, quality control and minimum waste. However, Bratton and Gold (2003) assert that Japanese models 'maps out the 'systematic interlocking' nature of self managed teams, technical, governance and cultural aspects- and the prerequisite 'bundle' of best HR practices needed to socialise the 'empowered' work regime' (p.131). Olve et al., (2000) assert that ideas associated with TQM have been integrated into newly formulated strategy. Armstrong and Baron (1998) suggest TQM approach can be integrated into performance management. In a survey of one hundred and fifteen organisations regarding best practice TQM based performance measurement systems, Sinclair and Zairi (1995) found that TQM organisations had: wider range of formal strategic management techniques;

performance measures; managed the process more widely; used wider range of performance measures at process level; used more non-financial performance measures; and had effective performance measurement than non-TQ organisations. As stated by Soltani et al., (2004) performance evaluation is a vital necessity in quality-driven context. Soltani et al. argue that organisations should integrate TQM into HR performance evaluation for effective performance management through quality driven HR performance evaluation systems.

#### **2.16.5 Best Value (BV)**

Sheffield and Coleshill (2001) state that 'the overall aim of Best Value is to encourage a reorientation of service delivery towards citizens and customers and produce a quality driven organisation' (p.263). Sheffield and Coleshill (2001) assert that Best Value now forms part of a statutory framework for performance management in local government in the UK and entails 'five dimensions of strategic objectives, cost/efficiency, service delivery outcomes, quality and fair access' (p.263). Boyne, (1999) suggest that research on private sector may provide important insights into the likely impact of the BV on performance improvement within the local government sector in the UK. Furthermore, Boyne (1999) point out that the Best Value framework is the centrepiece of current attempts to improve and modernise local government. Best Value Performance Indicators (BVPI) is one of the performance measures used in the public sector (Kerley, 2001; Boyne, 1999). According to Martin et al., (2001), one of the findings of the pilot study regarding best value in local authorities in the UK was that best value frameworks did not have the potential to drive service improvement. Furthermore, many authorities are said to have found the best value

principles to be time consuming and costly to implement. Martin et al., (2001) state that one of the major challenges for local authorities regarding implementation of best value was the need for significant changes in organisational processes and culture.

#### **2.16.6 Learning Organisation (LO)**

According to Gibb (2002), 'learning organisation involves keeping abreast or ahead of the competition by ensuring there is an effective collective learning process that enables change and innovation' (p.37). Garvin (1993) views a 'learning organisation as 'an organisation skilled in creating, acquiring, and transferring knowledge, and at modifying behaviour to reflect new knowledge and insights' (p.255). Peddler et al., 1986 assert that a learning organisation is characterised by: 'learning approach to strategy; participative policy-making; 'informating'; reward; flexibility and self-development opportunities (p.342). Fletcher (1999) maintains that it is important that organisations adopt the philosophy of a learning organisation and use past experience to improve and enhance future performance of the firm. Graving (1993) supports the view that learning from past experience and learning from others are crucial elements of learning organisations.

#### **2.16.7 Organisational Development (OD)**

Gibb (2002) pointed out that 'OD involves using behavioural sciences to diagnose and solve organisational problems' (p.37). Armstrong and Baron (1998) view OD as being 'concerned with the planning and implantation of programmes (interventions) designed to improve the effectiveness with which an organisation functions and

manages change' (p.24). Armstrong and Baron (1998) further assert that OD approaches have a strong humanistic foundation. The two authors caution that though OD has been dismissed as 'idealistic', some of the messages it contains have been absorbed into the philosophy of performance management and should not be ignored' (p.24).

## 2.17 Research in 'Best Practice' PMS (HRM)

Table 2.15 below shows the developments in performance management in the UK from 1991 to 1997. These developments were revealed by research carried out by Armstrong and Baron (1998) aimed at mapping out realities about performance management and performance management practices in the UK. This study was a follow up study to IPM research conducted in 1992.

**Table 2.15. Development in Performance Management Systems in the UK: 1992 - 1998.**

From	To
<ul style="list-style-type: none"> <li>• Systems</li> <li>• Appraisal</li> <li>• Outputs</li> <li>• PRP</li> <li>• Ratings common</li> <li>• Top-down</li> <li>• Directive</li> <li>• Monolithic</li> <li>• Owned by HR</li> </ul>	<ul style="list-style-type: none"> <li>• Process</li> <li>• Joint review</li> <li>• Outputs/inputs</li> <li>• Development</li> <li>• Less rating</li> <li>• 360-degree feedback</li> <li>• Supportive</li> <li>• Flexible</li> <li>• Owned by users</li> </ul>

Source: Armstrong and Baron (1998), p.385.

The study by Armstrong and Baron (1998) revealed that despite the above achievements, performance management was still not favoured by managers as they saw it as a waste of time, as coercive and controlling, bureaucratic and involved too much paper work. Armstrong and Baron (1998) recommend that the criteria for successful implementation and operation of performance management processes include, 'fairness, transparency, equity, participation by all, communication,

commitment and regular evaluation of the performance management process' (p. 360). Balance Scorecards (BSC) based PM systems are said to be becoming popular in private organisations. For example, regarding the use of (BSC) in UK organisations, Armstrong (2001) indicated that organisations such as Natwest and Halifax plc have modified BSC performance management framework by 'measuring against four dimensions of financial results, customer service, and internal processes and people management' (p.481). According to Radnor and Lovell (2003), BSC are less popular in public sector, especially in national health sector. Table 2.16 and 2.17 show findings from a study conducted by Radnor and Lovell (2003) in Bradford (UK) Health Action Zone regarding the key criteria for successful BSC implementation. Radnor and Lovell (2003) argue that 'even though BSC has become highly popular performance measurement tool, usage in the local public sector National Health Service (NHS) is still rare' (p.1). Radnor and Lovell (2003) further maintain that little work has been carried out regarding BSC application in the UK public sector NHS organisations. Factors that inhibit BSC adoption identified through focus group discussions with employees include issues relating to the existing PMS, which employees felt was seen to be delivering. The focus group indicated that they therefore, saw no need to adopt BSC. Other inhibiting factors were that of cynicism, where the group doubted the ability of BSC to deliver performance improvement, resource based concerned where the group felt that BSC would need extra resources, effort and time to implement. The group doubted government support for BSC and felt that organisations should stick more with PMS to make it work before adopting BSC. The focus group also expressed the view that BSC was an 'imposed solution from high' and the BSC appeared to be a sophisticated tool.

**Table 2.16 Focus Group Identification of Pre-Condition and Design Issues to be Addressed to Permit BSC Adoption in Bradford Health Zone NHS (UK).**

Establish pre-conditions for BSC implementation	Perceived support of central government for the BSC Opportunities offered by organisational change If performance management needs to improve anyway, BSC will not appear as an extra cost Encourage a performance development culture
BSC Design issues	Incorporate good elements of existing PMS into BSC to minimise data demands Design of BSC to reflect key (politically sensitive) must do targets Use template 'strawman' BSC to minimise additional workload Design for performance monitoring needs of NHS external bodies to be met Measures/targets selected to be relevant to people's everyday work Choice of name for BSC based system Bottom-up cascading of the BSC preferred.

Source: Radnor and Lovell, 2003.

**Table 2.17 Focus Group Identification of Implementation and Process Issues to Be Addressed to Permit BSC Adoption in Bradford Health Zone NHS (UK).**

BSC Process Issues Structural Issues	National used of BSC if at all possible Possible use of the BSC system in West Yorkshire using opt out pilot status Use full BSC implementation as a replacement for existing PMSs Apply the BSC at all levels within the organisation
Process Issues; Ownership and Support	Top level support from central government/HOD required Compulsion from central government to use BSC both desired and not desired Ownership/support from the whole host organisation - required Key importance of PM and IT to support the BSC system Sympathetic management style more important than design details for BSC
Implementation issues to resolve: Resource based	Need for extra resources for BSC implementation and usage Resources from 'redundant' PMSs and process – insufficient for BSC usage Need for training/education support The need for additional IT/statistical resources Requirement for locum backfill cover to encourage/facilitate staff involvement EPR (electronic patient records) as an aid to data collection A poorly resourced BSC will increase staff stress levels and impact performance
Implementation issues to resolve: Concept Based	Cultural change/support from government departments. BSC and different staff group cultures Clear identification of patient benefits A 'selling point' to meet any staff cynicism re.any new PMS Relationship with remaining PMSs needs to be clarified Infrastructure to keep BSC up to date Some targets/issues regarding 'true' health gain will take years to agree Issues relating to patient confidentiality will need to be addressed

Source: Radnor and Lovell, 2003.

In relation to the use of EFQM excellence model, O'Connor (2001) suggests that the Wigan Council (UK) had implemented the EFQM model as a framework to improve performance. According to O'Connor (2001), the Wigan Council adopted performance management to adhere to the 'modernisation Agenda' that included 'Best Value', where emphasis was to secure continuous improvement in terms of the economy, efficiency and effectiveness of services' (p.18). O'Connor (2001) maintains that notable changes in the Wigan council as a result of a performance management that emphasised: 'strategic performance reporting at much higher levels; improvement in planning process; changes in internal best value processes; and increased awareness of good practice in performance management' (p.19). However, O'Connor (2001) acknowledges that 'these internal changes are only of value if the services provided by the council for local people were improving as a result' (Ibid.). Furthermore, O'Connor (2001) argues that there were indications that the overall performance was improving. Though the improvement was not entirely due to EFQM performance project, the project was making a major contribution (O'Connor, 2001).

In relation to PMS in the UK, Brown (2003) asserts that the recently introduced PMS was the largest in the world. Brown pointed out that in the twenty-three primary schools he visited in UK that had PMS in place, emphasis was on both improved performance and encouraging greater accountability. Though, according to Brown, there were teething problems including: frustration; uncertainty; and confusion and that some leaders grasped the philosophy of PMS and embraced its spirit more willingly than others.

A study by De Waal (2003) of three organisations in the Netherlands, which had implemented a PMS revealed that there were eighteen important behavioural factors that contributed to successful implementation and use of CSFs, KPIs, and BSC (Figure 2.10 below). The eighteen behavioural factors were deduced from the forty factors derived from the literature reviewed by De Waal. The areas of attention, as shown in figure 2.10 include: managers understanding of PMS; managers attitudes towards PMS; PMS alignment, organisational culture on using PMS as well as PMS focus. In a study of twenty four organisations in five different countries (USA, UK, Australia, Germany and Netherlands), Franco and Bourne (2002) found that critical factors that impact upon the way organisations manage through measures include: organisational culture; management leadership; commitment; linkage between strategic performance measurement systems and rewards; communication; training and education; and continuous management, review and updating the system.



**Figure 2.10: Overview of Important Behavioural Factors**

<b>Classification Scheme Part</b>	<b>Areas of Attention</b>	<b>Behavioural factors</b>
<b>Performance Management System</b>	Manager's understanding- a good understanding by managers of the nature of performance management	D4 Managers understand the meaning of KPIs D7 Managers have insight into the relationship between business processes and CSFs/KPIs U7 Managers frame of reference contain similar KPIs U21 Managers agree on changes in the CSF/KPI set
<b>Controlled System</b>	Manager's attitude – a positive attitude of managers toward performance management, toward a performance management system and toward the project	S2 Managers agree on the starting time S4 Managers have earlier (positive) experiences with performance management U13 Managers realise the importance of CSFs/KPIs/BSC to their performance U14 Managers do not experience CSFs/KPIs/BSC as threatening
<b>Controlling System</b>	Performance management system alignment- a good match between managers responsibilities and the performance management system	D9 Managers' KPI sets are aligned with their responsibility areas D13 Managers can influence the KPIs assigned to them U9 Managers are involved in making analyses U15 Managers can use their CSFs/KPIs/BSC for managing their employees
<b>Internal Environment</b>	Organisational culture- an organisational culture focused on using the performance management system to improve	U23 Managers' results on CSFs/KPIs/BSC are openly communicated U22 Managers are stimulated to improve their performance U8 Managers trust the performance information U17 Managers clearly see the promoter using the performance management system
<b>External Environment</b>	Performance management system focus- a clear focus of the performance management system on internal management and control	D16 Managers find the performance management system relevant because it has a clear internal control purpose D17 Managers find the performance management system relevant because only those stakeholders' interest that are important to the organisation's success are incorporated

Source: De Waal, 2003.

Notes: PMS stages: S: the starting stage, D: the development stage, U: the use stage.

Regarding performance management in the USA, commitment to quality was institutionalised through the Government Performance and Result Act (GPRA) of 1993. According to the GPRA (1993), federal agencies are required by law to develop strategic plans indicating how they would deliver high-quality products and services. Furthermore, the GPRA states that strategic plans were the starting point for each federal agency to establish top-level goals and objectives; annual program goals; define how it intends to achieve those goals; and demonstrate how it will measure agency and program performance in achieving those goals (GPRA, 1993). All federal

agencies are required to use the GPRA to guide them implement the performance-based management. The GPRA guides federal agencies to develop strategic plans, annual performance plans and performance reports. The common three key steps to become results-oriented entail; defining clear missions and desired outcomes, measuring performance to gauge progress; and the use performance information as a basis for decision-making (GPRA 1993).

Regarding performance management in the USA Department of Justice (DOJ), the DOJ has, since adopting the performance-based management, developed 'mission, value statements, strategic goals and objectives, annual plans, annual goals and indicators of performance, and annual reports that describe the actual levels of performance achieved compared to the annual goal' (DOJ 2001, p.1). According to the DOJ (2001), the DOJ's 'strategic plan has identified eight overarching strategic goals the department pursues in carrying out its mission' (p.2). Furthermore, the report states that 'at the DOJ, performance planning and reporting is linked to the budget process' (Ibid). The 'success for DOJ is when justice is served fairly and impartially when crime is deterred due to the presence of highly effective enforcement capacity' (p.3). Measures for the DOJ are refined and replaced as a learning process (DOJ 2001). Research by Douglas and Hartley (2003) regarding the extent to which the budgetary processes infringes on the independence of the judiciary in USA federal courts concluded that the budgetary process does not infringe the independence of the judiciary except on a few states. The judicial budgetary process is linked to the performance planning and reporting policy of the government performance results act.

A study by Long and Franklin (2004) regarding the implementation of GPRA by federal agencies in the USA suggested that implementation of the GPRA act was not standardized. The study also revealed that implementation of the act was influenced by unique challenges due to 'one size fits all' approach to implementation of government reform initiatives to ensure consistency. However, as noted by Long and Franklin (2004), the one size fits all approach does not give due regard for structures, institutions and actors. According to the survey by Long and Franklin (2004), some of the common challenges faced by the fourteen agencies surveyed include 'lack of systems alignment; lack of resources; uncertainty related changing in presidential administration; cultural challenges such as resistance to change; and lack of valid and reliable data' (p.314). While a top down approach was recommended for government reforms, the criteria for GPRA emphasised a bottom-up decentralised and integrative implementation approach (Long and Franklin 2004). The GPRA policy also requires consultation with internal and external stakeholders during the development of documents such as the strategic plan, annual performance plan and annual report. These documents are linked to budget requests so that they are aligned with resource allocation decisions (Long and Franklin 2004). However, the study revealed that out of the fourteen agencies surveyed, only five federal agencies met the GPRA criteria. Long and Franklin (2004) state the literature favoured a mixed approach entailing top-down and bottom up approach and as opposed to 'one size fits all' approach similar to 'one best way' to implementation of GPRA and documentation use. They argue that rigid nature of top-down approach for GPRA implementation does not allow for adaptation and learning.

The above demonstrate the fact that research in performance management, PMS including KPI, EFQM, BSC, Best value, performance-based management; PMS is

concentrated in developed countries. Though there is some research being carried in developing countries, for example Jaeger and Kanungo, 1990; Kamoche, 2002; Haruna, 2003; McCourt and Ramguttty (2003); Hague and Yep (2004); Kamoche et al., 2004), the research is not as vast as studies conducted in developed countries such as USA, UK, Europe, New Zealand and Australia. The section that follows examines gaps in research and in the literature.

## **2.18 Gaps in the Literature Reviewed**

The review of literature concerning 'Best Practice' PMS (HRM) identified gaps in PMS research. Previous research has concentrated on PM systems and performance measurement systems in developed countries as opposed to developing countries. Furthermore, most of past research was based on the organisations in the private sector particularly product aspect of industry as opposed to public services. There is a vast amount of research conducted on PMS process, frameworks and performance measurement in the private organisations as opposed to the public sector.

According to Purcell (1999), gaps in research include; lack of link between HRM and company strategy, the need to define much more precisely the components of High Commitment Management (HCM) and their interconnection, and to explain why so very few firms seem to adopt HCM despite its manifest benefits. The current conception of types of competitive strategies used by researchers is poor and it remains impossible to model every contingent variable (Purcell, 1999, p.1). Research needs to address for example, what circumstances do the HCM style and a control style to apply, and how firms choose between them. 'While there may be a statistical association between HR bundle and performance, until it is known how this impacts

on performance and in what circumstances, the policy implications will remain limited or unconvincing to the sceptical executive' (Ibid. p.4). In addition, the type of employees included in HRM best practice/bundles needs be addressed, research should find out whether workers included in the study are full time, temps, contingent, agency, contract employees or include only core employees (Purcell, 1999 p.5).

Purcell (1999) criticised research in HRM, especially in the USA, as characterised by large-scale data and the problem of measurement. Purcell asserts that research paradigm in USA is quantitative analysis generating large scale data sets via the post office and can not be reliable. He argues that research instruments comprise of single respondents answering quick questions, selection of items that can be easily described and measured, thus reliance on one respondent to represent the whole organisation. In addition, Purcell (1999) agrees that there is reliance on a design of questions that encourages the respondents to tick a box and not to go to the file to find the answer. Furthermore, Purcell states that researchers tend to ignore hard to measure items such as trust, involvement and participation. Purcell suggest solutions including case study follow-ups, multiple respondents, longitudinal studies, he gives examples of studies done by Guest & Hoques' (1994), Huselid (1995), Peterson et al., 1998 and Thompson (1998b). Purcell also states that 'researchers should explore the circumstances under which the phenomenon is being studied' (p.5) He maintains there are problems of 'one-off, snap shot surveys and thereafter generalise results/make results universal' (Ibid.). According to Houldsworth (2001), future research areas include innovative combination of methodologies, in-depths multi-organisation research into relationships between processes performance measurement and the impact of such measurement and associated performance management activities

As pointed out by De Waal (2003), PMS research has concentrated more on technicalities of implementation rather than behaviour. De Waal (2003) recommends future research to focus on the 'usage' of PMS in order to discover additional reasons why organisations do not use newly implemented PM systems. De Waal (2003) recommendation emanates from research findings that PMS usage stage was the most important to the success of PM system. In addition, De Waal advises further research on other factors, including additional behavioural, environmental and organisational factors that influence successful PMS usage. As noted by Franco and Bourne (2002), further research is needed in order to understand fully the role compensation plays in influencing behaviour. While De Waal (2003) recommends future research to investigate the role reward plays in maintenance systems to ensure that organisation continue to use PMS.

Beasley and Thorpe (2002) suggest that 'performance management is a relatively convergent area' (p.18). The two authors further argue that 'the rapid growth of performance management practice and consultancy provides a common interest, and understanding of the phenomena under investigation' (Ibid). Beasley and Thorpe (2002) assert that performance management is 'urban' discipline' in that it is characterised by a relatively narrow field of study. However, they further argue that performance management is a relatively 'crowded' field of academic endeavour and its 'popularity and topicality' means it has generated a lot of interest' (p.18). The notion of 'convergent' and 'divergence' regarding research in HRM, performance management public sector reforms (Beasley and Thorpe, 2002; Brewster, 2001; Hugue and Yep, 2003) can be related the 'cross-vergence' approach to studying HRM

in Africa suggested by various authors (Kamoche, 2002; Anekwe, 2002; Jackson, 2002 and Howzwit et al., 2002). Beasley and Thorpe (2002) suggest that 'one of developing trends will be an increased divergence in its research agenda' (i.e. performance management) (p18). However, the two authors argue that convergence of research agenda in performance management is valuable, as this would augment the quality of intellectual debates due to common interest, understanding and common sense of purpose.

Another gap in the literature is that most of the previous research in public organisations is limited to PMS and performance measurement in, for example health care and education services in the UK, as opposed to public organisations responsible for the delivery of justice. Marr and Schiumar (2002) have pointed out that balance scorecards have dominated research in PM systems as opposed to other PMS frameworks. McCourt and Ramguttty (2003) have pointed out that one of the limitations of HR literature is that it mainly concentrated on the Anglophone industrialised countries and Western Europe. The two authors argue that though there is an increase in research regarding HRM in developing countries, for example in Africa, few studies concentrate on the viability of current 'Best Practice' models in those countries.

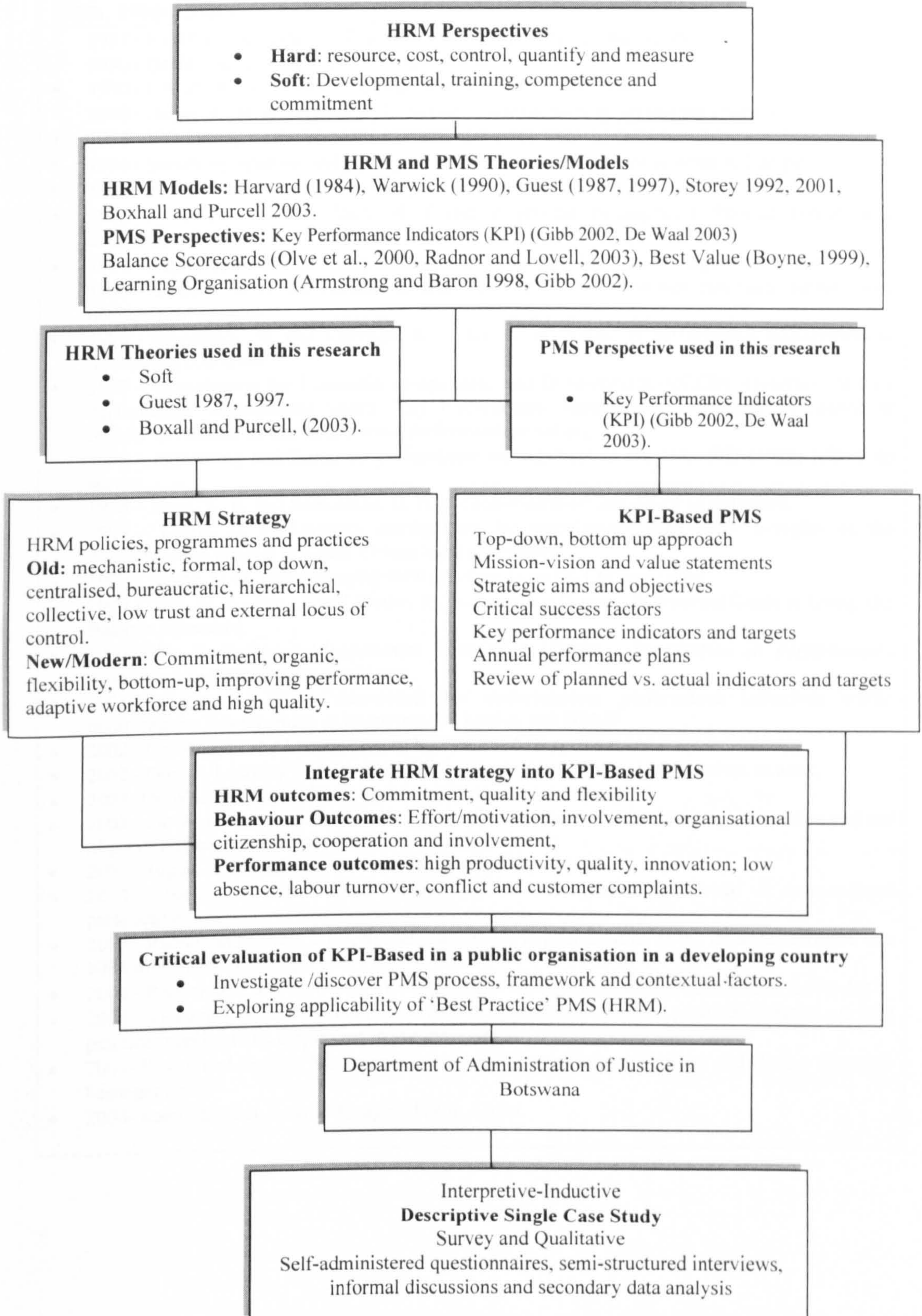
This research aims to contribute towards this gap by investigating 'Best Practice' PMS (HRM) in the context of a developing country in Africa such as Botswana. This research therefore, intends to contribute to the gaps identified in the literature by investigating 'Best Practice' PMS (HRM) existing in the Department of Administration of Justice in Botswana. In addition, this research will contribute to

gaps identified in the literature by exploring the applicability of 'Best Practice' PMS (HRM) in the context of a developing country. Placing PMS process and frameworks into context is an important way of understanding the debate whether 'Best Practice' or 'Best fit' approach was appropriate in the context of a developing country. A single case, which is descriptive, using a combination of both quantitative and qualitative data collection methods were used for in-depth investigation and understanding of PMS. As argued by Boxall and Purcell (2003) a descriptive study will enable the researcher to understand what organisations actually do. This research will add value into studying the 'universalism' of 'Best Practice' PMS (HRM) process and frameworks in the context of a different environment in Botswana. Since PMS is a new concept in Botswana, the descriptive case study will provide in depth knowledge and further insight into the PMS process, framework actually used by the department and the contextual factors affecting PMS in the Department of Administration of Justice.

Empirical evidence regarding PMS existing in the department through quantitative and qualitative means will be compared with the 'Best Practice' PMS (HRM) process and framework in order to identify gaps between the two and to suggest changes to close the gaps. The research questions were generated from the themes that emerged from the literature regarding 'Best Practice' PMS (HRM) process, framework and contextual factors. The 'Best Practice' PMS (HRM) frameworks were used to guide identify PMS framework existing in the Department of Administration of Justice in Botswana. Figure 2.11 shows a conceptual map of themes derived from the literature reviewed and used in this research. Table 2.18 highlights some of the major studies and research regarding performance management and PMS.



**Figure 2.11: Conceptual Map Derived from the Literature Regarding HRM and PMS**



**Table 2.18 Selected Research in Performance Management and PMS**

1980s, 1990s, 2000s
<ul style="list-style-type: none"> <li>• 1987 - First book published by Plachy devoted to performance management. .</li> <li>• 1990 - Definition of performance management by Fowler, A.</li> <li>• 1990 - Fowler, A. Performance Management the MBO of the '90s?</li> <li>• 1990 - Jaeger, A. M. and Kanungo, R. N. (eds.) Management in developing countries</li> <li>• 1992 - IPD Survey on performance management in the UK.</li> <li>• 1994 - Survey by Sparrow and Hiltrop on performance management systems in Europe.</li> <li>• 1995 - Hartle How to re-engineer your performance management process.</li> <li>• 1995 - Sinclair, D. and Zairi, M. Effective process management through performance measurement.</li> <li>• 1996 - Kaplan and Norton, 'Using Balance scorecards as a Strategic Management System'</li> <li>• 1996 - Flapper, S. D. P., Fortuin, L. and Stoop, P. P. M. "Towards consistent performance management system.</li> <li>• 1996 - Mendonca, M. and Kanungo, R. N. Impact of culture on performance management in developing countries.</li> <li>• 1997 - Organisation for Economic co-operation and Development (OECD), Overview of Key Performance Management Issues. Key Performance Management Questions, <i>In Search of Results</i>. Available on line <a href="http://www.performanceportal.org">http:// www.performanceportal.org</a></li> <li>• 1998 - Armstrong and Baron on performance management in the UK- IPD (1992) follow up survey.</li> <li>• 1998 - Hope, K. R. and Somolekae, G, Public administration and policy in Botswana.</li> <li>• 1999 - Curtis, D. Performance management for participatory democracy: thoughts on the transformation process in South African local government.</li> <li>• 1999 - Boyne, G. A. (ed) Managing local services: from CCT to best value.</li> <li>• 2000 - Olve, N. G., Roy, J. and Wetter, M, Performance Drivers: A Practical Guide to Using The Balance Scorecard.</li> <li>• 2000-2003- Performance Measurement Association (PMA) '<i>Perspectives on Performance</i>'. Available <a href="http://performanceportal.org">http://performanceportal.org</a></li> <li>• 2001-Houldsworth, E. A framework for understanding performance initiatives within organisations: Management or improvement- hard or soft HRM?</li> <li>• 2002 - Christensen and Laegried (eds), New Public Management.</li> <li>• 2002 - Gibb S, Learning and development: Processes, practices and perspectives at work,</li> <li>• 2002- De Waal, A. A. Pay More attention to behavioural factors!</li> <li>• 2003 - De Waal, A. A. Behavioural factors important for the successful implementation and use of performance management systems.</li> <li>• 2003- Hugue, A. S. and Yep, R. Globalisation and Reunification.</li> <li>• 2002 - Jackson, T. "Reframing human resource management in Africa: A cross-cultural perspective.</li> <li>• 2003 - Radnor and Lovell, 2003, Success factors for implementation of the Balance scorecard in a NHS multi-agency setting.</li> <li>• 2004 - Radnor, Z. J and McGurie, M. Performance management in the public sector: fact or fad?</li> <li>• 2004 - Gonzalez, S. and Tacorante, D. A new approach to the best practices debates: are best practices applied to all employees in the same way?</li> <li>• 2003- Boxall and Purcell, Management, work and Organisations: Strategy and Human Resource Management.</li> <li>• 2004- Kamoche et al., (eds.) Managing HR in Africa.</li> </ul>

## **2.19 Summary**

The chapter critically reviewed literature regarding the definition, development, importance of performance management and PMS. The chapter examined the core process of observing, planning and designing, acting and reviewing a PMS as well as various frameworks of 'Best Practice' PMS (HRM) that private and public organisations can select in order to facilitate the identification of their performance management needs, formulate, design and implement successful and effective PM systems. PMS in the public sector were examined and the arguments were that the major concern in public sector organisations includes emphasis on quality service delivery, efficiency, effectiveness, sound financial management through appropriate taxation and accountability. The major arguments that emerged from the critical review of the literature were that PMS is an integral component of HRM. The 'Best Practice' PMS (HRM) suggest that a holistic and integrative approach to PMS and following the core process of observing, planning and designing, acting and reviewing a PMS would lead to effective identification of performance management needs, formulate, design and implement a successful PM systems. Furthermore, the 'Best Practice' PMS (HRM) emphasises the link and alignment of organisational vision, HRM strategy, objectives and goals with team and individual goals and aspirations. The ultimate aim of a PMS is to improve individual, team and organisational performance and effectiveness. Moreover, 'Best Practice' PMS (HRM) suggest that there are contextual factors that affect PMS process and these factors include organisational structure and systems, processes, climate, management style, culture and policy. Best Practice PMS (HRM) advocates for 'universalism' of application while 'Best fit' argues that 'context matters'.

The review of literature concerning 'Best Practice' PMS (HRM) identified some gaps in PMS research. The major gaps identified include the fact that vast amount of research is concentrated in developed countries as opposed to developing countries. Previous research was mainly conducted in the private sector and PMS (HRM) approaches, process and frameworks suggested were designed for application in private sector organisations. Moreover, past research has concentrated on performance measurement, particularly the use of BSC frameworks in the private sector. Even PMS research in the public sector is mainly based on the education and health services in developed countries, as opposed to public organisations responsible for delivery of justice. This research, therefore, aims to contribute to gaps in the literature by investigating the 'Best Practice' PMS (HRM) in a public sector organisation in Botswana, with a focus on the Department of Justice. Regarding Best Practice' research in developing countries such as Africa, there is limited in-depth multi-organisational research into processes, frameworks, usage, impact of PMS, as well as behavioural and contextual factors that influence successful designing, implementation and usage of PM systems. Research is therefore needed in relation to 'Best Practice' vs. 'best-fit' in order to identify 'good management' policies and practices that are specific to context of developing countries. The subject of the next chapter is the background on Botswana and the Department of Administration of Justice. The chapter provides the foundation regarding HRM, performance management and PMS in the public sector in Botswana and in the Department of Administration of Justice in particular.

## CHAPTER 3

### PERFORMANCE MANAGEMENT IN BOTSWANA

#### 3.1 Introduction

This chapter examines performance management, PMS and HRM in public sector organisations in Botswana and in the Department of Administration of Justice. The first part of the chapter commences by examining PMS in public sector organisations. Section two provides a brief overview of socio-economic developments that have occurred since Botswana gained independence in 1966. Section three briefly outlines the evolution of public administration and performance improvement initiatives introduced in the public sector in Botswana. The fourth section is a background on administration of justice in Botswana and the Department of Administration of Justice. The section commences with a brief discussion of the evolution of the judicial system in Botswana, the structure, functions, and composition of employees in the Department of Administration of Justice. The section examines performance management and PMS in the Department of Administration of Justice, the case under investigation. Objectives for adopting PMS in the department are discussed in section four. The last section contains a summary of this chapter.

#### 3.2 Performance Management System (PMS) in Botswana

PMS was introduced in Botswana's public sector in 1999 in order to address problems of low productivity, low morale, accountability, poor performance and service

delivery. PMS was adopted as a new strategy to improve performance and service delivery in the public sector (DPSM, 2002). PMS is a new concept in Botswana as it was introduced in Botswana in 1999. PMS is the latest strategy adopted by government in order to increase productivity, through improved individual and organisational performance. Furthermore, the government is expecting that through PMS, the development and use of key performance indicators and key results areas to measure individual, team and department performance. Developing performance measures would alleviate problems related to lack of measurement and benchmarking for productivity in the public service (Hope, 1998). Low levels of technological adaptability was another factor affecting quality and productivity in Botswana, leading to great use of manual and time consuming tasks in the public service and 'there needs to be greater emphasis on quality as a customer orientation strategy' (Hope, 1998 p.135). It is expected that PMS will improve institutional, team and individual performance and 'bring noticeable improvement in service provision to customers' (DPSM, 2002).

The government has had various performance improvement initiatives prior to PMS. These initiatives have had varying degree of success, as will be demonstrated later in the chapter. PMS was adopted in Botswana as a result of a recommendation from a USA based consulting firm Academy for Educational Development (AED) and the World Bank (DPSM, 1996). The AED and the World Bank were requested by government to review performance management in public sector organisations and recommend strategies to improve performance, service delivery and effectiveness of public organisations. The World Bank and AED therefore, suggested PMS as a strategy to improvement performance and performance management in the public

sector in Botswana (DPSM 1996). Table 3.1 shows PMS planned activities in all government ministries and departments. Table A9 (Appendix J) shows PMS status as of November 2000 in all government ministries and independent departments. According to DPSM (2001), by November 2000, all ministries and departments should have completed their strategic plans; thirty six departments undergone strategic management training until 2001; ministry/department mission-vision communicated to all staff; and thirty six departments supported on in the development of operational plans and measurement progress. Furthermore, DPSM (2001) states that the first monitoring and review process should have been carried out for ministries and departments that commenced implementing PMS. According to an update by DPSM (2001), by November 2000, all ministries except two, had either finalised or completed their strategic plans. The delays at the two ministries were caused by stakeholder consultation process (DPSM, 2001). There are a total of seventeen government ministries and independent departments (see Table 3.2 and appendix A). According to DPSM (2001) 'what remained to be achieved were ministries and departments to communicate the strategic plans and to strengthen team development, common values and focus in the leadership team' (p.17). Figure A1 (Appendix J) depicts PMS process in government ministries and departments. Table A9 (Appendix J) shows planned and actual activities regarding PMS implementation in government.

### **Figure 3.1 Planned PMS Activities for all Government Ministries and Departments**

<b>Planned PMS Activities for all Government Ministries and Departments: By November 2000</b>
<ul style="list-style-type: none"><li>• Ministry clarity of burning platform</li><li>• Team Development</li><li>• Vision, Mission, Values formulated</li><li>• Vision, Mission and Values communicated</li><li>• PMS understood as a strategy for change</li><li>• Change management Team established</li><li>• Clarity and approval role- Permanent Secretary and Coordinator</li><li>• Ministry plan integrated</li><li>• Ministry plan reviewed- meetings</li><li>• Communication plan</li><li>• SWOT analysis</li><li>• Key Result Areas defined</li><li>• Strategic goals defined</li><li>• Strategies developed</li><li>• Strategic objectives defined</li><li>• Key Performance Indicators defined</li><li>• Annual performance plans</li><li>• Measurement skills</li><li>• Departmental roll out plan</li></ul>

Source: DPSM, 2001, p.16 and p.17.

Figure 3.1 above gave a brief overview of PMS planned activities to November 2000 regarding implementation in all government ministries and departments. This research intends to investigate PMS existing in the Department of Administration of Justice in Botswana. The research aims to contribute knowledge and debates regarding 'Best Practice' vs. 'Best fit' PMS (HRM) in the context of a developing country such as Botswana.

### **3.3 Background on Botswana**

Botswana is located in Southern Africa and shares borders with South Africa, Zimbabwe, Zambia and Namibia. Botswana has a population of approximately 1.7 million (2001 population census) and covers an estimated total area of about 581, 730 square kilometres, about the size of France. Botswana's population growth rate is



estimated at 2.4 percent per annum, which is lower than the 3.4 percent growth rate experienced between 1981 and 1991 (Botswana Government, 2002a). Botswana has special characteristics in Africa; the country has one of the longest surviving democracies and has experienced rapid economic growth in the last twenty years (Molomo, 2000).

Upon gaining independence in 1966, Botswana was listed among the poorest countries in the world (Harvey and Lewis, 1990; Salkin et al., 1997). However, after independence and with the discovery of diamonds in the 1970s, the country was transformed from being one of the poorest countries to one of the fastest developing nations in the world. Between 1966 and 1995, Botswana's per capita gross domestic product grew from about P1, 682 to P7, 863 (US\$2,850) in 1993/94 constant prices. During the same period, employment averaged annual increase of about 9 percent (Botswana Government, 1997a).

The discovery of diamonds in the 1970s significantly transformed the economy of Botswana. Revenue from the mining sector was invested in developing government structures and social infrastructure. Government established various ministries and departments to implement policies and programmes, built health and education centres and developed transport networks. In addition, mineral revenue was invested in the establishment of public corporations to provide services and facilities not provide by the private sector, including housing, electricity, telecommunications and financial services. As the economy of Botswana continued to grow in the 1970s and 1980s, other sectors in the private and public sector grew as well. Economic activity increased in the country, resulting in development of various sectors. Major economic

activities include mining, government (central and local government), financial, manufacturing, telecommunications and electricity, construction, retail and trade, business and services and tourism.

Since the 1970s, the mining sector has played a significant role in the economy. Botswana is the second largest producer of diamonds (by value) after Russia. Debswana operates the diamond mines. De Beers and the government of Botswana own Debswana in equal shares. In the 1990s, the mining sector contributed about 35 percent to GDP (diamond mining constitute 91 percent of the mining sector), 41 percent to government revenue and about 5 percent to formal sector employment (Bank of Botswana, 1999).

Government plays an important role in the economy in that the government is the largest employer and investor. The government's share of formal sector employment was about 36 six percent in 1999, employing about 105, 200 out of total of 255, 600 employees (Bank of Botswana 1999, S14). As of March 2001, formal sector employment was estimated at 270, 331. The government is also the largest investor in the economy through investment in various development projects and programmes.

The financial sector has grown in the last ten years, particularly with the relaxation of licensing policies by government to facilitate growth of the financial sector (Bank of Botswana, 1999). With the liberalisation of licensing policy, additional banks were established, bringing competition within commercial banking, leading to improvement in service delivery and an increase in range of services available to customers. For example, installation of automated teller machines, automated

payment systems in order to speed up the payment process and to reduce risk of transporting large sums of money. Regarding financial institutions owned by the government, restructuring was undertaken in order to improve financial performance and service delivery, though there was loss of jobs during the restructuring process. Loss of jobs also occurred in commercial banks, as competition and application of technology into the banking system necessitated reorganisation. In the telecommunication industry, use of cellular phones has increased due to deregulation, leading to investment in information technology, enabling customer's access, for example, to integrated digital network, and Internet services.

In order to diversify the economy and create employment, the government introduced various policies and incentives to engineer growth in the manufacturing sector. Different policies and assistance programmes were introduced to facilitate industrial development. Investors were given financial grants through the financial assistance policy to employ and train workers in return. As a result of financial assistance schemes initiated by government, the manufacturing sector grew by an average of about 8 percent per annum in the 1980s (Bank of Botswana, 1999). However, in the 1990s, growth of the manufacturing sector declined to about 4 percent per annum due to various factors, including the general slow down of the economy, and structural adjustment programme in Zimbabwe where manufacturing (textiles and clothing) export were mainly destined.

With the increase of economic activity in the country, the construction sector also experienced growth. The construction boom experienced in the 1980s was mainly due to implementation of government projects, including construction of roads and

buildings. In addition, an increase in demand for commercial, industrial and residential buildings boosted construction activity in the country. Employment in the construction sector has fluctuated over the years. In 1990 the construction sector's share in total employment was about 32 per cent. However, with the general slow down of the economy and completion of major government construction and development projects, employment in construction declined sharply in the early 1990s, and recovering slightly in 1996/97, with a growth rate of about 2.7 percent in 1997 (Bank of Botswana, 1999).

Botswana has a large cattle farming industry, which constitute the third principal exports after diamonds and copper-nickel. Botswana exports beef to the European Union under the Lome' IV Convention through the Botswana Meat Commission. However, the beef industry is susceptible to drought and diseases such as foot and mouth and cattle lung disease. The use of traditional farming methods also impact on output. The agricultural sector played a major role in the economy but its significance has declined due to persistent drought affecting the sector and lack of fertile land, two thirds of Botswana is a desert. The contribution of agriculture declined from 45.2 percent of total GDP in 1968 to 3.1 percent in 1998. Employment in the agricultural sector has declined from about 39 percent in 1966 to approximately 16 percent in 1990s (Bank of Botswana, 1999). Although the majority of households in rural areas depend on agricultural sector for survival, wages paid are relatively low. Hence people have very little incentive to seek employment in the agricultural sector.

Botswana has wildlife resources and delta that have attracted worldwide attention and interest. The tourism sector is viewed as an opportunity to diversify the economy. A

tourism policy was developed in 1998 in order to promote sustainable and environmentally sound tourism industry, and to create employment opportunities for the community, especially those living in rural areas. A financial scheme has been developed in order to assist investors interested in tourism. The tourism sector has grown in the last decade, with number of tourists visiting Botswana increasing by 217 percent between 1986 and 1998.

Botswana has established ties with regional and international organisations including, Southern African Customs Union (SACU) in 1969 and Southern African Development Community in 1980. Agreement under SACU allows free movement of goods within the union (SACU members are South Africa, Namibia, Lesotho and Swaziland). Tariffs apply to foreign goods entering the Southern African market. However, SACU is currently under review to address member concerns about revenue sharing, unfair trade practices, as well as to align SACU with WTO obligations. Botswana is also a member of the African Union established in 2002. Botswana has consented to the New Partnership for Africa's Development, which emphasises principles of African ownership, leadership and accountability. Botswana is also member to international organisations such as the World Trade Organisation, United Nations, World Bank, International Monetary Fund and African Caribbean Pacific group of countries.

Regarding Southern Africa, the region is fairly politically stable, particularly after majority rule in South Africa and Namibia and peace negotiations in Angola and Mozambique. Economic recovery in the region is attributed to some reform policies such as privatisation and development of the tourism sector and general infrastructure

as an effort to attract foreign investment. For example, in 2000, Southern Africa experienced aggregate growth rate of about 3.4 percent, with Botswana and Mozambique experiencing the highest growth rate of 8 percent. Zimbabwe recorded negative growth rate in 2000 (Botswana Government, 2002a). However, recent political developments and land reform policies adopted by the ruling government in Zimbabwe have affected stability and attractiveness of the region for tourism and investment. The Southern Africa is also affected by famine currently affecting Angola, Lesotho, Malawi, Zambia and Zimbabwe.

The above analysis indicates that Botswana has enjoyed unique circumstances in Africa; maintaining political stability and sustained steady economic growth over the last thirty-three years. These special features were mainly attributed to discovery of diamonds, coupled with prudent macro-economic policies. Growth of the economy and mineral revenue has contributed to large foreign exchange reserves that were US\$6.5 billion in January 2001. Botswana has therefore managed the economy in such a way that the country has not experienced any recurring budgetary deficits and unsustainable indebtedness like other African countries. The rate of inflation has been stable in the last few years. The annual inflation rate was recorded at about 6.6 percent in 2001 compared to 8.5 percent in 2000. The highest rate of inflation was recorded in 1992 at 16.1 percent (Bank of Botswana, 1999).

The fact that the mineral sector continues to play a significant role in the economy creates dangers associated with dependency on one major commodity. Fluctuations in global diamond market and prices, and general slowdown in economic growth worldwide affect the mining industry. Botswana has been affected by these factors in

the past and therefore likely to affect the mining industry in the future. For example fluctuations in diamond international market and changes in prices affected government revenue in the 1980s and in 1998, resulting in stockpiling and decline in government revenue. Furthermore, there is also the possibility that diamond reserves will eventually be depleted. However, the government has taken measures to broaden revenue including introduction of value added tax (VAT) in July 2002, at the rate of ten percent. In addition, structural and legislative reforms are underway to foster sustainable economic growth and development. Government's efforts to diversity the economy are continuing. For instance, the government is attracting investors to venture into tourism and promoting Botswana as the financial services centre in Southern Africa. Botswana has received the highest investment ratings in Africa by Moody's rating agency and awarded 'A' grade in March 2001, by Standard and Poor in April 2001 (Botswana Government, 2002a). This rating should increase Botswana's attractiveness for foreign investment.

Yet Botswana is still faced with major problems including unemployment, poverty and impact of HIV/AIDS on the economy. In 2000 the rate of unemployment was estimated at 15.8 percent, compared to 21.5 percent in 1996. There is also the problem of underemployment, particularly of graduates who hold degrees in social sciences field. Poverty and disparity in income is another problem affecting Botswana. According to the 1993/94 household, income and expenditure survey, 38 percent of households were estimated to be living in poverty. In an effort to address poverty in female-headed households, government has introduced programmes to increase women's participation in development through the policy on women in development

that was introduced in 1995. Additional poverty alleviation measures include an old age pension scheme, destitute allowance and drought relief.

The spread of HIV/AIDS is another major challenge facing Botswana. HIV/AIDS is affecting the most productive segments of the population and is depleting the country of limited human and financial resources. Government is addressing the HIV/AIDS problem by developing the necessary infrastructure, including upgrading health facilities, improving access to medication to prevent spread of AIDS and prolong life, providing the necessary care, support, as well as increasing public awareness on HIV/AIDS through media. Efforts to combat the HIV/AIDS pandemic are undertaken in collaboration with organisations such as the Bill and Melinda Gates Foundation.

### **3.4 Development of Public Administration**

Before Botswana became independent, the colonial administration did not have an interest in developing administrative structures and social infrastructure in the then Bechuanaland protectorate, except an interest in maintaining law and order in the country (Harvey and Lewis, 1990; Hope and Somolekae, 1998). However, once there was change of government from colonial administration to indigenous leaders, the ruling government's priority was to develop administrative structures and social infrastructure in the country, which were non-existent at independence (see Appendix A). From 1966 to 1970, government established various ministries and departments, and invested in development projects and programmes to provide social services, which were lacking in the country.



After independence in 1966, Botswana inherited administrative systems and practices from the colonial administration, with a legacy of bureaucracy and hierarchy in Botswana's civil service. In Botswana, bureaucracy and hierarchy thus represent the best model of administration (Sharma, 1998). The public sector bureaucracy conforms to Weber's ideal type of bureaucracy, which is based on the principles of rationality (Buchanan and Huczynski, 1997). However, there are disadvantages associated with bureaucracy, including delays in decision-making, red tape, rigidity, subjectivity, rules and regulation not always followed and unfairness in application (Beach 1995; Sharma, 1998).

The public service management has evolved over time. There has been deregulation, decentralisation and devolution in the public service. Computerisation has also taken place, for example government has since 1998, invested in computerisation of personnel management and information technology system. Computerisation would improve maintaining accurate documentation, storage, and retrieval of employee data such as age, last promotion, work experience and recommendation from last performance appraisal. Computerisation facilitates prompt decision-making relating to promotion, discipline and transfers of staff, as well as assist managers in carrying out human resource management activities. Service delivery would improve in the public service through accurate information storage and access, improved coordination between departments. The section that follows briefly examines HRM policies and practices in government ministries and independent departments.

### **3.5 Human Resource Management in Botswana's Public Organisations**

The Directorate of Public Service Management (DPSM) is responsible for administering and managing HR in government. Various employment laws, regulations and policies exist in order to guide the DPSM in employment practices and managing HR. The laws and regulations include the Public Service Act, Public Service Regulations, Public Service Salaries, Conditions and Terms of Service and Job Descriptions. The DPSM administers public servants based on employment policies and regulations designed for public sector employees. The DPSM is responsible for the recruitment, selection, appointment, training and development, appraisal and reward as well as discipline of public sector employees. Management of public sector employees was highly centralised as it was the sole responsibility of the DPSM. For example, performance appraisal was carried out by immediate supervisors in ministries and departments and channelled to the DPSM for action on recommendations from supervisors for example, for promotion or pay increment. However, as the administration of public servants has evolved over time, some HRM responsibilities were decentralised to ministries and independent departments. Decentralisation was one of the initiatives taken by government in order to speed up decision-making and to improve performance management in the public sector. Decentralisation will be discussed later in the section.

There are additional employment laws, and policies including the Employment Act (1982), National Industrial Relations Code of Practice (1994), and National Policy on Incomes Employment, Prices and Profits (1980). These laws and regulations guide employment policies and practices in private sector organisations. These laws and

regulations were developed in order to ensure fair employment practices and to promote good industrial relations and human relations at the work place (Botswana Government, 1994). These employment laws and regulations are reviewed regularly for relevance and ensure they conform to international employment practices, for example ILO. The later additions to employment laws and policies include the National Policy on HIV/AIDS and Employment of 2001, which was aimed at prevention and minimising spread of HIV/AIDS at the work place and the Sexual Harassment Policy.

The Employment Act guides employers on the process of recruitment and selection of local and foreign staff into the organisation. The employment act advocates equal opportunities for qualifying applicants, irrespective of gender, tribe, and religion or political beliefs. The Act stipulates that when a vacancy exists, priority should be given to citizens of Botswana and serving officers whenever possible. In the event that there are no qualifying citizen applicants, non-citizens can be selected. The Non-Citizen Employment Act provides guidelines on employment of non-citizens. The National Policy on Incomes, Employment, Prices and Profits Compensation guide salary structure in the government and private sector. The national policy on Incomes was based on the objective of sustainable economic growth and economic diversification, international competitiveness, equitable income distribution and wage restraint aims contained in National Development Plan (NDP). The NDP is produced every five years and Botswana is on its ninth plan, covering 2003-2008 (Botswana Government, 2002b).

The role of HR departments and units is changing in public and private organisations in Botswana. For example, in public organisations, the role of the DPSM has been decentralised to enable government ministries and independent departments to carry some of the HR functions such as recruitment, appointment, promotion, train, transfer and discipline of some public officers. In the private sector, some organisations sought external assistance with some HR functions. For example, some organisations have requested consulting firms to provide recruitment services, including interviews and recommending best candidates for management positions. Other organisations have engaged external HRM consulting firms to review their existing pay structures, as well as provide employee and management development programmes. Various authors, including Tyson (1995) suggested that the role of HR departments would decline in the future, with devolution of HR responsibilities to line managers and increase use of consultants by organisations.

### **3.6 Performance Management in Botswana's Public Sector**

In the last ten years, performance management in the public sector has received increased attention from the government and consumers of public goods and services. As the economy of Botswana experienced rapid growth in the 1980s and 1990s, the size of government also increased. The existing government structures and systems were expanded to administer and manage government development projects and programmes. Employment in the public sector also increased, leading to government becoming the largest employer in the economy. As mentioned earlier, the government sector plays an important role in the economy of Botswana. The government is the largest investor in the economy through investment in various development projects

and programmes. The government's share of employment was approximately 36 per cent in 1999 (Bank of Botswana, 1999). In March 2002, total formal sector employment was approximately 274 413 people (Botswana Government, 2003). In 2002, employment in the public sector organisations was approximately 72 352 (Botswana Government, 2002b). The increase in the size of the public sector brought about problems associated with bureaucracy, including delays in decision-making, centralised authority, stringent rules and regulations. In addition, problems of performance, productivity and service delivery surfaced. As a result, the government introduced various measures and strategies in order to alleviate the situation. Table 3.1 below shows the size of public organisation for 1996/97.

**Table 3.1 Public Sector Organisations in Botswana: Employment: 1996/97**

Ministry	Population (N)	%
Ministry of Education	18693	44.021
Ministry of State President	6782	15.971
Ministry of Health	3363	7.886
Ministry of Lands and Housing	2767	6.323
Ministry of Finance and Development Planning	2685	6.323
Ministry of Agriculture	2556	5.993
Ministry of Works, Transport and Communication	2555	6.017
Ministry of Trade and Industry	1194	2.799
Ministry of Local Government and Lands	784	1.838
Ministry of Mineral Resources and Water Affairs	642	1.512
Department of Administration of Justice*	318	0.447
Attorney General	138	0.325
Department of Foreign Affairs	116	0.273
Auditor General	112	0.264
Parliament	54	0.127
Elections Office	15	0.035
Ombudsman **	-	-
<b>TOTAL N</b>	<b>42774</b>	

Source: Botswana Government, 1997b, DAOJ 2002. All public sector employees shown in the table are full time/permanent. \*Data for DAOJ was updated according to the DAOJ 2002 Staff Establishment Register. \*\* Data for Ombudsman Office was not available.

### 3.7 Performance Improvement Initiatives

The government has introduced various measures and strategies to improve productivity, service quality and efficiency of public service. Performance

improvement initiatives introduced in the public service prior to PMS include Organisation and Methods review, decentralisation, privatisation, job evaluation, Work Improvement Teams (WITS) and review of the appraisal system.

### **3.7.1 Organisation and Methods Review**

Organisation and methods review was carried in government ministries and departments in 1984 and 1995 in order to improve overall performance and effectiveness of the public service; assess adequacy of organisational goals; review efficiency of systems and procedures; develop organisational charts and procedure manuals (Botswana Government: 1997b). There were some achievements in terms of realising some of the intended aims. Although the review helped ministries clarify their goals and objectives, there were staff increases in ministries and departments (DPSM, 1999).

### **3.7.2 Job Evaluation**

Job evaluation was major reform of the public sector carried out in 1988. Job evaluation was conducted in order to compare jobs to determine their relative levels of responsibility and to ensure equal pay for work of equal value (Botswana Government, 1997b). Although job evaluation helped sustain government pay structure, problems emerged, including job evaluation wrongly perceived as a salary increase; some public officers were surprised that their jobs were downgraded; there was confusion over assessment of jobs and assessment of staff performance. In addition, lack of extensive and wide publicity contributed to ineffectiveness of job evaluation exercise. Though staff associations and unions were briefed about job

evaluation before hand, the principle was not clearly explained to staff (Botswana Government, 1997b).

### **3.7.3 Work Improvement Teams (WITS)**

Work improvement teams were introduced in 1993 to create team spirit, teamwork and increase commitment to work. The aim of WITS was among others, to 'foster team spirit and a mindset that continuously seeks optimum performance' (DPSM, 1999, p.45). Government introduced WITS in the public service, a concept borrowed from Singapore (originates from Japan). The positive aspect of WITS is that it involves employees at all levels, and teaches them how to be effective at work through positive relation, continuous learning and commitment to work. When government introduced WITS in the public service, team leaders, facilitators and team members were sent for training in Singapore where the concept of WITS has been successfully implemented. Officers were also trained at the Botswana National productivity Centre (BNPC) and in local institutions such as the Botswana Institute of Administration and Commerce (BIAC). BNPC was established in 1993 in order to improve productivity and service delivery. The major function of BNPC is to facilitate productivity awareness and improvement in private and public sector by sensitising and educating the nation about the benefit and importance of high productivity levels in the workplace. BNPC develops and organises productivity improvement programmes, conduct research and promote good industrial relations. BNPC is thus meant to improve productivity through 'growth, improvement in quality, lower costs, quicker service delivery, higher output and better service' (Hope

1998, p.129). BNPC also organises training programmes on management techniques such as TQM, quality of working life (QWL) and quality circles (QCs).

Evaluation reports on WITS indicate that the strategy has not been as effective as expected. In his report, Kgosidintsi (1997) observed that 'when WITS was launched, sufficient effort was not made to persuade to management to embrace WITS so that they can spearhead by example' (p.1) Government has integrated WITS into PMS to improve effectiveness of WITS (DPSM, 2002). Other factors affecting effectiveness of WITS and other productivity improvement initiatives include high vacancy rates, which result from shortage of certain skills such as engineers and medical doctors in the labour market. There are also major deficiencies in the recruitment process due to lack of training in recruitment techniques. The public sector is also losing employees to the private sector because of unattractive pay and conditions of service, hence government employees leaving public service to join private sector organisations.

#### **3.7.4 Decentralisation**

Policies to decentralise and privatise some of the government functions and services have also been adopted. The strategy to decentralise some personnel functions from the DPSM to government ministries and departments was taken on board public service in 1998. The objective of decentralisation was 'to improve efficiency and effectiveness in civil service' by giving ministries the responsibility to recruit, appoint, promote, discipline, train, transfer and develop public officers (DPSM, 1999). Decentralisation is also aimed at training administration personnel in human resources management. Some functions of the DPSM were decentralised to ministries



and departments in an effort to improve decision-making in matters relating to recruitment, promotion, discipline and deployment of staff.

### **3.7.5 Privatisation**

Privatisation is one of the strategies adopted by government to improve productivity, service delivery and promote competition in the economy. Privatisation refers to the transfer of control and responsibility for government functions and services to the private sector (Hope, 1998). According to DPSM (2001), privatisation in Botswana was about strengthening the role of the private sector in the economy and increasing private participation in industrial and commercial activities. The government adopted a formal privatisation strategy in 1990. The objective was to privatise some of the goods and services supplied by government and public corporations, to right size and make the structure of the civil service sustainable (Botswana Government, 1997b). Amongst other benefits, privatisation was meant to reduce the costs of delivery of public goods and services, exposes problems in delivery mechanism, reduce red tape, bureaucratic formalism and response times. Privatisation would 'improve access to goods and services, and eliminates opportunities for rent seeking' (Hope, 1998; p.138).

Little progress has been achieved since the privatisation policy was formally implemented in 1990. However, efforts to privatise some of government's functions are continuing, for example, construction; central transport organisation and maintenance of buildings and cleaning services and refuse collection in local government (Botswana Government, 1997b). The government is in the process of

decentralising some DPMS responsibilities to ministries and departments in order to improve HRM in the public sector. Some public corporations such as Air Botswana have been placed on the priority list for privatisation for sometime now. However, the government has taken the position that only financially sound public corporations will be privatised. Efforts to improve performance of public corporations and introduce competition are continuing. For example, cellular phone firms are competing with the Botswana Telecommunication for supply of telecommunications services and equipment. The Botswana Telecommunication Authority has been established to liberalise regulatory framework and encourage competition in the telecommunications industry.

### **3.7.6 Review of Performance Appraisal and Reward system**

The DPSM furnishes ministries and departments with job descriptions, performance expectations as well as appraisal instruments. Immediate supervisors at ministerial and departmental level are expected to conduct annual appraisals and make recommendations to the DPSM for follow up or actions. However, there are delays in acting on appraisals due to the large number of appraisals administered by the DPSM. The appraisal instrument is currently under review to address some of its weaknesses such as delay in follow up and decision on recommendations. There are delays in acting on appraisals. The government is in the process of reviewing the performance appraisal instrument used for assessing performance of public officers. The appraisal instrument was rendered inadequate in assessing different jobs in government ministries and departments. According to Botswana Government (1998a), the inadequacies of the appraisal instrument include:

**'The use of the same instrument to appraise officers in different cadres and professions; failure to have progress reports of officers throughout the year; lack of objectivity due to lack of targets or standards against which officers are assessed; and abuse of the system by supervisors when assessing their subordinates' (p.113).**

The review of the appraisal system was also carried out to facilitate the implementation of PMS, a strategy that aims to increase productivity through improved individual and organisational performance. Other productivity improvement initiatives introduced in public sector include policy of employment of top civil servants on contract. New Zealand is said to have implemented the policy of contract employment successfully (Christensen and Leagreid 2001). The policy of weeding out 'dead-wood' was also implemented in effort to rid public service of unproductive officers (Botswana Government, 1997b). As argued by Horwitz et al., (2002), adoption of East Asian work practices can be unworkable. In Botswana, problems emerging from management reforms include scepticism, where concepts like TQM and WITS were seen as 'foreign'. Regarding effectiveness of contract employment of top civil servants, the policy has not been as effective as expected and government acknowledged this. For example, once officers are employed through contract, they tend not to be as productive as expected leading to their non-renewal of the employment contract. Government has since revised the policy to reduce costs associated with paying end of contract benefits to officers after two years when contract expires (Botswana Government, 1997b).

### **3.8 Background on the Judicial System in Botswana**

Before Botswana became independent in 1966, the colonial government exercised full control over external affairs while protectorate government administered internal affairs (Quansah, 2001). Under the general Order of 1891, the High Commissioner

had all powers of jurisdiction under her Majesty the Queen of England that gave him full powers to appoint judges, magistrates and other officers. The legal system used in Botswana constituted the English Common Law, Cape Colonial Law and Roman-Dutch Common Law. The High Court was established in 1939 as a superior court, with unlimited jurisdiction in criminal and civil cases (Quansah, 2001). Subordinate courts constituted the court of the District Commissioner, court of the assistant District Officer and court of the Cadet. As these courts were established to serve the interest of Europeans, in 1943, customary courts were established through the Native Courts Proclamation, and later through the African Courts Proclamation of 1961, renamed Customary Courts Act of 1966. Customary Courts were established in order to give natives access to the court system in the country.

Although customary courts were not recognised before 1994, customary courts were given limited jurisdiction over criminal and civil cases. Customary courts applied native laws and customs prevailing in their area of jurisdiction. The legal system prevailing in Botswana during the colonial administration was dual legal system, entailing Cape laws and customary laws. In 1966 when Botswana became independent, she inherited the legal system and structure as well as judicial officers from the colonial government. The then Bechuanaland became the Republic of Botswana in 1966 and adopted a Constitution from the colonial government. The constitution guided the establishment of various government ministries and departments, including the creation of three pillars of government, being the Legislative, the Judiciary and Executive (Appendix A). The Constitution defines roles and sources of power for different organs of government.

### **3.8.1 Sources of Botswana Law**

The primary source of law in Botswana entails a collection of recognised rules and laws acted upon by the courts of justice, for example Acts of Parliament and Law Reports (Quansah 2001). The Constitution was adopted from the British colonial government when Botswana become independent from colonial rule in 1966. The Constitution forms the fundamental law and is applied to criminal and civil cases by courts in Botswana. Customary Law originates from the Tswana culture and includes rules, principles and norms of acceptable behaviour and are obligatory in nature (Quansah, 2001). The Common Law entails Roman-Dutch Law and the English Law. Common Law is judge made, that is it is created, interpreted and modified by judges (Quansah, 2001).

The Legislation 'is the most important source of Botswana law from which all laws take their validity' (Quansah, 2001, p.23). Legislation consists of statutes and subsidiary legislation. Statutes are made by parliament and include laws, by-laws and rules made by parliament. Subsidiary legislation includes regulations, rules of court, by-laws, orders made by subordinate bodies empowered to make laws. Judicial Precedent is 'the tendency of courts to follow earlier decisions where facts in the instant case are similar to one already decided' (Quansah, 2001, p.30).

The Judicial precedent is embedded in the hierarchal court system in Botswana and the regular and reliable system of reporting. The decision by higher court becomes precedent. Judicial precedent is not binding but is part of the rule of law. The court system in Botswana consists of the Court of Appeal, High Court, Magistrate Courts, Customary Court of Appeal and Customary Courts. Judicial precedent 'is part of the

English law, and common law precedent, and is thus not applicable to customary courts' (Quansah, 2001, p.33). There are different types of punishment for criminal offences imposed by the courts in Botswana. According to Section 25 of the Penal Code, punishment include 'death; imprisonment; corporal punishment; fine; forfeiture; finding security to keep the peace and be of good behaviour or to come up for judgement; and any other punishment provided by the Penal Code or any other law' (Quansah, 2001, p.106). Regarding civil matters 'judgement writs include attachment of property; garnishee proceedings; and order of sequestration' (Quansah 2001, p126).

### **3.9. Structure of the Judicial System**

The following section outlines the structure of the judicial system in Botswana.

#### **3.9.1 The Court of Appeal**

The Court of Appeal is the highest court in Botswana. The President of the Court of Appeal presides over the Court of Appeal and is assisted by judges. The Court of Appeal deals with criminal appeal cases from those who feel that they have been unfairly and unjustly treated in subordinate courts (Botswana Government, 1995). The Court of Appeal was established in 1973. Before 1973 the Privy Court of Appeal in England (UK) was used by Botswana.

#### **3.9.2 The High Court**

The High Court was established in 1939 for the Bechuanaland protectorate. There are currently two high courts in Botswana. There is a High Court situated in the southern

part of the country and the second High is located in the northern part of Botswana. The two High Courts are presided by Chief Justice and supporting judges, senior staff and general administrative staff. The High Court is responsible for hearing all serious and civil matters. The High Court is also responsible for interpretation of the constitution of Botswana.

### **3.9.3 Magistrate Courts**

There are seventeen magistrate courts located throughout Botswana. Magistrate courts are under the supervision of the High Court. Magistrate courts form part of subordinate courts in Botswana. District Commissioners initially managed magistrate courts. When Botswana obtained independence in 1966, there were only two magistrate courts, one in the south and the second court in the north of the country. The District Commissioner undertook judicial work and heard cases not dealt with in customary courts. Botswana has since independence, established and expanded magistrate courts throughout the country. Magistrate courts have taken over the judicial role from District Commissioners.

### **3.9.4 Customary Courts**

Customary courts form part of subordinate courts in Botswana. Customary courts fall under the Ministry of Local Government, Lands and Housing. Customary courts are responsible for administering traditional or customary law of the people in Botswana. Customary courts deal with minor cases such as witchcraft and some serious crime such as stock theft. There are higher and lower customary courts. Higher customary courts are officially recognised by Minister of Local Government and lands. Higher

customary courts operate at district level and are headed by a chief. Lower customary courts are informal courts established by people within a locality to meet their needs, and can be headed by a headman or chief (Quansah, 2001, p.94). Customary courts are spread fairly and widely around Botswana and are under the control of Ministry of Local government and lands.

The ministry defines the jurisdiction of customary courts. Customary courts administer customary law and any written law they are authorised to administer within their geographical area. Excluded from customary courts jurisdiction are cases that involve 'treason, bigamy, rape, robbery, bribery and extortion by means of a threat' (Quansah, 2001, p.97). The control of customary courts is under the Customary Court Commissioner. District Commissioners and District Officers exercise some form of control over customary courts. The Commissioner of Customary Courts reviews cases where sentences more than six months are reviewed, while District Officers review cases of lesser sentences.

### **3.9.5 Customary Court of Appeal**

Appeals from Customary Courts go through the Customary Court of Appeal. There are two Customary Courts of Appeal in Botswana. The first Customary Court of Appeal is situated in northern part of the country. The second Customary Court of Appeal is located in the southern part of Botswana. The Customary Court of Appeal is housed under the Ministry of local Government Lands and Housing. A Court President appointed by the Minister of Local Government and Lands heads Customary Court of Appeal. No specific qualifications are required for appointment to the President of the Customary Court of Appeal.



### **3.9.6 Small Claims Court and the Industrial Court**

A small claims court was established in 1998. An Industrial Court was established in 1999 to deal with disputes between organisations and employees.

### **3.9.7 Juvenile Court**

Juvenile courts are courts specially established to try cases of young offenders who are less than twenty-one years of age. A juvenile is defined as a person who has attained age of fourteen (14) but is under the age of eighteen (18) (Quansah, 2001). According to the Children's Act of 1981, a magistrate or customary court may sit as a juvenile court. A magistrate assigned by the Chief Justice sits in the juvenile court. A juvenile assistant assigned by Attorney General helps the magistrate. The juvenile court has jurisdiction over persons between seven (7) and eighteen (18) years. People who are allowed to sit in the proceedings of a juvenile case include parents of the offender, those who are 'intimately concerned with case' and a Social Welfare Officer in charge of the case. A Probation Officer is also required in a juvenile case. The Probation Officer is required to compile information about the juvenile offender, including record on social, education and economic background. The background information will help magistrate decide if the juvenile offender needs care or treat the case as a criminal matter. Punishment include dismissing the charge, probation of not less than six months, or more than three years, send offender to school of industries for not more than three years or until he/she reaches 21 years, or ordering a parent or guardian to pay a fine, damages or costs.

### **3.9.8 Attorney General Chambers**

Under the Constitution of Botswana, the Attorney General's Chambers is the principal legal advisor to government and is responsible for criminal prosecutions to the exclusion of any other authority (Botswana Government, 1997b). The Attorney General is also responsible for developing and maintaining a sound legal system in Botswana (Botswana Government, 1995). Attorney General provides legal advice and legal services to all government agencies. In addition, the Attorney General is responsible for prosecuting all cases brought by the state, institute government actions against natural persons and legal bodies and defended actions against government (Botswana Government, 1995). Contact between lawyers in the Attorney General Chambers, private attorneys and judges and magistrates within the Department of Administration of Justice occur in court when cases are heard and justice is delivered (Botswana Government, 1995). The Attorney General consists of six divisions, including the Civil, General, Prosecutions, Legislative and Law Reporting, Lands Division and Deeds Registry (Botswana Government, 1997b).

### **3.9.9 Police Department and Prosecutors**

The Police Department is entrusted to 'protect life and property; prevent and detect crime; repress internal disturbances; maintain security and public tranquillity; apprehend offenders; bring offenders to justice; duly enforce written laws with which it is charged; and generally maintain peace' (Botswana Government, 1997b; p.482). The Police Department falls under the supervision of the Office of the President and is situated under the Ministry of State. The Police undertake day-to-day prosecutions under delegated authority of the Attorney General (Botswana Government, 1997b).

### **3.9.10 Prisons and Rehabilitation Department**

The Department of Prisons 'is responsible for the safe custody of people detained under the law...'and ...to their rehabilitation as productive and law abiding members of the community upon release from prisons' (Botswana Government, 1997b, p.483 and p. 492). The Department of Prisons falls under the Ministry of Labour and Home Affairs.

### **3.9.11 Social Welfare Division**

The major functions of the Social Welfare Division are to ensure that families, vulnerable groups and individuals such the elderly, the youth, handicapped, economically disadvantaged are taken care of. Services provided by the Social Welfare Division include destitute programme, children and juvenile services, family welfare services and the old age pension scheme. The social welfare programme 'was created with the national development objective of social justice, where every citizen is entitled to have access to economic opportunities through one effort or through government or non-government organisations' assistance' (Botswana Government 1997b, p.435). There is a Social Welfare division in the Ministry of Local Government and Housing and in the Ministry of Home affairs. Social Welfare officers are dispersed through district, town and city councils in Botswana.

### **3.9.12 Private Law Firms**

There are various private law firms operating in Botswana. The law firms are owned and manned by local and international law professionals and staff. The private sector

plays an important role in Botswana's judicial system in that they assist the courts in the administration of justice. The Botswana Law Society was established in 1996 in order to make rules to govern the conduct of legal profession, to ensure that law firms conduct themselves and assist their clients impartially and justly.

### **3.9.13 University of Botswana**

The University of Botswana plays an important role in the judicial system in Botswana by producing graduates trained in law. The University also runs a Legal Clinic that assist people who cannot afford to pay for services provided by attorneys in private law firms.

### **3.9.14 Non-Government Organisations**

Non-Government Organisations play an important role in the justice system. Non-Governmental Organisations provide an umbrella of services including promotion of equality and human rights, legal services, education and training programmes and employment creation schemes. Examples of NGOs operating in Botswana include Ditshwanelo – the Botswana Centre for Human Rights. The Centre for Human Rights aims to promote and protect human rights in Botswana and a Women's Group organisation that aims to promote equality and women's rights.

## **3.10 Background of the Department of Administration of Justice**

The Department of Administration of Justice is a unique department that was established according to the constitution of Botswana to impart justice swiftly and promptly. As stated in the O & M Review of 1995, the Department of Administration

of Justice deals with highly sensitive matters. The department therefore needs all financial and infrastructure support to be effective in its work (Botswana Government, 1995). The Department of Administration of Justice thus needs the right respect and independence from government, it provides for people to pursue claim to justice, and doing so upholds justice and the rule of law.

The Department of Administration of Justice is an independent government department responsible for administering laws of Botswana guided by the constitution of the country. The function of the Department of Administration of Justice is 'upholding provisions in the Constitution of Botswana of fundamental rights, freedom of individual, including dignity, respect for justice and confidence in the justice system' (Botswana Government, 1995). The department has high level of accountability, including impartiality, justice of the law and judge according to the law' (Botswana Government, 1995). The judicial system should be independent in interpreting and enforcing the laws of Botswana.

In order to maintain the independence of the judiciary, judicial officers are appointed and disciplined and removed from office through the advice of the Judicial Services Commission. The Judicial Services Commission was established in 1966, under the Act of the Constitution of Botswana. The major roles of the Judicial Services Commission include advising the President of Botswana on appointment, disciplinary control, suspension and removal of judicial officers from office (except Chief Justice and President of Court of Appeal) (Botswana Government, 1995).

Administrative staff in the Department of Administration of Justice form part of the Executive arm of government. The Directorate of Public Service Management manages administrative staff in the Department of Administration of Justice. The DPSM is responsible for appointment and supervision of all public officers. Judicial officers play dual role, they are judicial officers and administrative officers. Judicial officers form part of the public service because of their administrative and accounting responsibilities. Judicial officers are thus subject to Public Service Regulations.

### **3.11 The Structure of Administration of Justice**

The Administration of Justice is made up of the Court of Appeal, the High Court, Magistrate Courts and Customary Courts (see Appendix B). This structure reflects the dual system of laws operating in Botswana (Quansah, 2001). The Court of Appeal, High Courts, and magistrate courts administer common law and statutes passed by parliament, while customary courts administer customary law. The Court of Appeal and the High Courts are superior courts while magistrate courts and customary courts are subordinate courts. There are three divisions in the Department of Administration of Justice. The three divisions include Legal Administration, General Administration and Judicial Administration. The Division of Legal Administration consist of the one (1) Court of Appeal, two (2) High Courts, seventeen (17) Magistrate courts and statistical units and archives. General Administration division is responsible for personnel management and development; administration and support services; finance and accounting; supplies; security services; library and industrial class operations. The Judicial Administration division is responsible for planning and development in the Department of Administration of Justice.

### **3.12 Functions of the Department of Administration of Justice**

The Department of Administration of Justice is responsible for administering justice at district, regional and national level. In an effort to take justice to the people and improve access to the judicial system in Botswana, the government established courts throughout the country. There are two High Courts in the country and seventeen magistrate courts. The two high courts were established to hear cases and appeals, as well as to reduce delays in the judicial system. There are Circuit courts conducted in order to hear cases in town and centres where there are no high courts.

Magistrate courts were particularly expanded in order to cater for the increasing demand in the justice system. As Botswana experienced rapid economic growth over the years, there have been relative increase in the rate of crime and an increase in litigations. The workload for the Department of Administration of Justice has increased as a result of increase in the demand for services from the department and the judicial system in general (Botswana Government, 1995). Some responsibilities were decentralised from the high courts to magistrate courts, for example, managerial, operational and administrative roles. Jurisdiction of magistrates has been revised and magistrates' discretion increased for swift processing of cases (Botswana Government, 1998c).

### **3.13 Employees in the Department of Administration of Justice**

There were approximately three hundred and eighteen (318) full time staff employed in the Department of Administration of Justice. Table 3.3 below shows breakdown of staff according to divisions, level and location. Approximately ninety-three (93) were

based in the two High Courts, while about two hundred and twenty five (225) were in magistrate courts (DAOJ, 2002a).

**Table 3.2 Number of Employees in Department of Justice: 2002.**

<b>High Courts (2) and Magistrate Courts (16)</b>	<b>Number of Employees</b>
<b>High Courts</b>	
<b>Lobatse High Court</b>	
Senior Management	6
Middle	3
Lower Management	22
Staff below Supervisory level	39
<b>Francistown High Court</b>	
Senior Management	1
Middle	2
Lower Management	7
Staff below supervisory level	13
<b>Magistrate Courts</b>	
Magistrates	40
Clerks of the Court	27
Staff below supervisory level	158
<b>Total Number of Employees</b>	<b>318*</b>

Source: DAOJ, 2002a.

Note: \* Total number of employees are full time staff and excludes part time employees for example cleaners, gardeners and night watchmen.

The High Court is composed of the Chief Justice, Senior Judges, Judges and Registrars and Masters. Administrative officers include Under Secretary, Human Resource Manager, Finance Officers, Court Reporters, Court Interpreters, Court Bailiffs, Information Technology officers and clerical staff. The High Court has unlimited jurisdiction, hears and determines any criminal and civil matters under any law. The high court supervises subordinate courts. Judicial officers in Magistrate courts entail the Chief Magistrate, Principal Magistrate, Senior Magistrate, Magistrate Grade I and Magistrate Grade II. Administrative officers include Clerk of Court, Court Reporters, Court Interpreters, Court Bailiff, administrative staff and clerical staff. Magistrate courts have limited jurisdiction in dealing with civil and criminal matters. For example, magistrates are authorised to deal with cases within their administrative districts or geographical area, to impose limited sentence in criminal cases and deal with claims up to certain amount in civil cases. Chief magistrates are



authorised to try any offence except cases that warrant a death sentence, imprisonment of more than twenty-one years and treason. Regarding civil matters, magistrates are excluded for example, from handling 'matters in which dissolution of a marriage or a judicial separation is sought, or the division of the property of married persons are involved, as well as validity and interpretation of a will.' (Quansah, 2001; p.93).

### **3.14 PMS in the Department of Administration of Justice**

PMS was introduced in the Department of Administration of Justice in 1999. PMS was initiated by government of Botswana to address problems of low productivity, low morale and lack of accountability in the public service. PMS is the latest performance improvement strategy adopted by government in order to alleviate problems of poor service delivery, inefficiency and ineffectiveness of government ministries and departments. PMS is a 'holistic and integrated' approach aimed at improving performance and effectiveness of individual and the organisation. The department was expected to implement PMS activities like other government ministries and departments shown in Table 3.1 in section 3.2 of this chapter. Appendix J shows PMS process and activities.

PMS is hoped to address problems in the department including;

- 'Backlog of cases due to manpower constraints;
- Need to recruit and retain trained staff;
- High turnover of professional staff;
- Lack of court facilities, office space and equipment;
- Heavy workload;
- Weak internal communication;
- Unattractive terms and conditions of service;
- Weak appraisal system; low staff morale;
- Untrained administrative and support staff; and
- Lack of department and individual plans and targets' (Botswana Government, 1995, Botswana Government, 1997b-2003; Somolekae et al., 1999).

### **3.15 Summary**

This chapter examined performance management, PMS and HRM in the public sector in Botswana and the Department of Administration of Justice. The chapter outlined the socio-economic development in Botswana and the evolving structure, functions of government and the Department of Administration of Justice. As the economy of Botswana experienced rapid growth in the 1980s and 1990s, performance of public organisations received increased attention from the government and consumers of public goods and services. Despite Botswana's stable economy and successful management of resources and accountability at national level, there were indications of poor management of HR, which contributed to and resulted in poor performance of public organisations. The increasing attention on poor performance and the demand for better service delivery of public organisations led to the government introducing various performance improvement strategies in the last twenty years (see Table 3.4).

These performance improvement strategies were adopted in order to evolve and change HRM practices as well as improve performance management and performance of public organisations in Botswana. Evidence indicates that past performance improvement initiatives have achieved varying degrees of success. PMS is the latest strategy adopted by government in 1999 (see Table 3.3) in order to improve performance, service delivery and effectiveness in the public sector generally, including the Department of Administration of Justice (see Table 3.4). The Department of Administration of Justice plays a crucial role the country in that it is responsible to deliver justice 'fairly, impartially and expeditiously, and to uphold human rights, democracy and the rule of law according to the constitution of Botswana'. The objective of this research is to investigate the PMS existing in the Department of Administration of Justice and explore the extent to which it reflects the pillars of 'Best Practice' vs. 'Best Fit' PMS. The subject of next chapter is the research strategy and methods adopted for the case study.

**Table 3.3 Performance Improvement Strategies Introduced in Public Organisations in Botswana.**

Year Introduced	Performance Improvement Initiative	Objectives of Strategy
1970s	Training and Development	Improve productivity and efficiency. To provide skills in short supply.
1998	Job Evaluation	Major reform. To determine relative levels of responsibility and ensure equal pay for work of equal value. To sustain government pay structure.
1984 & 1995	Organisation and Methods Review (O & M)	Improve overall performance and effectiveness of public service. To assess adequacy of organisational objectives, functions and structures. Review efficiency of systems and procedures and to develop organisational charts.
1993	Work Improvement Teams (WITS).	Improve efficiency, effectiveness and quality of service. Promote teamwork and team spirit. Increase commitment to work.
1997/98	Decentralisation.	Improve decision-making. Increase responsibility and accountability at ministerial level.
1980s/90s	Optimising the size of the public service Manpower Utilisation	Balance size and responsibility of public service, through freezing of new posts and abolish positions vacant for over two years.
1980/90s	Privatisation and contracting out certain services. Voluntary and early retirement. Wastage without replacement for non-critical areas (resignation, death and dismissal)	Improve productivity and service delivery. Control excess growth of public service.
1999-2004	Review of appraisal and the reward system.	To improve HRM and motivation in the public sector.
1999-2004	Performance Management System	To improve individual, team and organisational performance in an integrated and sustainable way. Facilitate the use of IT and other performance improvement initiatives. Address what customers/public wants in terms of service. Facilitate team building and teamwork. Facilitate identification of actual as opposed to desired performance. Training needs are identified in the process. Improve communication between management and staff. Facilitate joint derivation of output and plans of action. The standards and/or requirements for ministries and departments are clearly specified. There is shared vision; communicated strategy, common values and universal focus on output. Integrate previous reforms e.g. WITS.

Source: Botswana Government, 1997b, p.452-458; DPSM, 1999, p.46-47.

**Table 3.4 Performance Improvement Initiatives in the Department of Administration of Justice**

Year Introduced	Performance Improvement Initiatives
1988	Job Evaluation
1984 & 1995	Organisation and Methods Review (O & M)
1993	Work Improvement Teams (WITS)
1997/98	Decentralisation.
1999 -2004	Review of Appraisal Instrument and Reward system.
1999 -2004	Performance Management System (PMS)

Source: Botswana Government, 1984 and 1995; Botswana Government, 1997b.

## CHAPTER 4

### RESEARCH DESIGN AND METHODS

#### 4.1 Introduction

This chapter gives an outline of the research design and methods adopted in this study and techniques used to analyse empirical data. The research used a single case method. Empirical data was collected using a combination of quantitative and qualitative methods, where self-administered questions, semi-structured interviews, informal discussions and secondary data sources were used. A judgemental/purposeful sampling was used in the study. The Department of Administration of Justice was selected as a case under investigation in the public sector in Botswana. The research is descriptive and analytical and applied an inductive approach. The unit of analysis is the Department of Administration of Justice. The first section outlines the aims and objectives of this research and gaps in previous research. The second and third sections cover the research design followed by rationale for research strategy adopted for this study. The fourth section outlines the main research questions and discusses the research methods used in the study. Section five entails development of the research instruments; piloting the questionnaire; research protocol; administering the questionnaire and the response rate. The sixth section outlines problems encountered during research and ethical considerations. Section seven discusses data quality and data improvement strategy. Section eight outlines data analysis techniques applied in this research. The last section is a summary of this chapter.

## **4.2 Research Aims**

The main aims of this research was to investigate and explore the applicability of 'Best Practice' PMS (HRM) in the Department of Administration in Botswana. The research also aims to contribute towards knowledge and debates regarding 'Best Practice' vs. Best Fit' PMS (HRM). The findings intend to contribute to HRM theory regarding the element of people management policies, programmes and practices that are supportive of a PMS philosophy. PMS is a new concept in developing countries, especially in Africa and countries such as Botswana. The findings of this research will contribute to debates regarding effectiveness and value of imported 'Best Practice' versus 'Best Fit' PMS in a developing country environment. The findings from this research will be communicated to Department of Administration of Justice and the public sector in Botswana. The findings of this research will provide a valuable resource to academics and practitioners in private and public sector organisations in Botswana, and developing countries in general regarding 'Best Practice PMS (HRM) process and frameworks as well as contextual factors that impact upon application of such models in developing countries. As argued by Easterby-Smith et al., (1991), exploratory research put emphasis on specifying research objectives. The next section outlines the four objectives of this research.

## **4.3 Research Objectives**

The first objective of this study is to investigate PMS existing in the Department of Administration of Justice, an independent government department in Botswana. PMS is a new concept in Botswana, which was introduced in 1999 in order to improve

performance, motivation, service delivery, accountability, effectiveness, and efficiency of public sector organisations. As mentioned in the literature, PMS is the latest strategy adopted from developed countries. The government of Botswana had, prior to PMS, adopted a variety of performance improvement initiatives such as job evaluation, work improvement teams from western and eastern countries. However, these initiatives have had varying degree of success. PMS is the latest strategy imported from western countries. The objective is to investigate the PMS process and framework existing in the context of the Department of Administration of Justice in Botswana.

The second objective is to identify and explain gaps between 'Best Practice' PMS (HRM) and PMS existing in the Department of Administration of Justice. This objective will be obtained by comparing 'Best Practice' PMS (HRM) with PMS existing in the Department of Administration of Justice in Botswana. The third objective is to suggest changes to reduce gaps between the 'Best Practice' PMS (HRM) and PMS in the Department of Administration of Justice. Fourthly, the objective of this research is to explore the applicability of 'Best Practice' PMS (HRM) in the Department of Administration of Justice in Botswana, in a developing country context. 'Best Practice' models advocate for 'universalism' of HR policies and practices, while 'Best Fit' argues that context under which HR policies and practices are applied matter (Armstrong and Baron, 1998; Armstrong, 2001; Boxall and Purcell 2003 and others).

#### **4.4 Gaps in Previous Research**

This research aims to address some of the gaps identified in the literature reviewed. The literature revealed that most previous studies were concentrated on 'Best Practice' PMS (HRM) in developed countries. In addition, literature has indicated that research is based on 'Best Practice' (PMS (HRM) in private sector organisations as opposed to public sector. There is vast amount of research carried out on performance measurement system as opposed to PM systems. A vast amount of research is also carried out on performance measurement and PM systems based on Balance Scorecard frameworks compared to other frameworks. Furthermore, there is limited in-depth research regarding applicability of 'Best Practice' models in the context of developing countries, particularly in Africa. This research therefore, aims to contribute to body of knowledge and debates regarding applicability of 'Best Practice' PMS (HRM) in an environment of a developing country such as Botswana. As most of the research in the literature is based on 'Best Practice' PMS (HRM) in the context of developed countries, this research intends to investigate 'Best Practice' PMS (HRM) process, frameworks in the context of Department of Administration of Justice in Botswana. The 'Best Practice' PMS (HRM) core process, frameworks was used to guide data collection and analysing empirical evidence collected from the Department of Administration of Justice.

#### **4.5 Research Design**

This research used a cross sectional descriptive single case study approach. The Department of Administration of Justice was used as a single case in order to gain in depth knowledge about the 'Best Practice' PMS (HRM) versus 'Best Fit' PMS in the



context of a developing country. In this study the aim is to develop a holistic and complete explanation of 'Best Practice' PMS (HRM) in a single system, which is the Department of Administration of Justice. The case study approach would be valuable for exploring the applicability of 'Best Practice versus Best Fit' PMS in a developing country context. A single case strategy was thus adopted in order to study and understand the PMS phenomena in depth. As stated by De Vaus (2001), case studies can be designed to help develop, refine or test theories... by using the logic of replication' (p.236). Saunders et al., (2000) point out that a case study has considerable ability to generate answers to question 'why', as well as 'what' and 'how' questions. Saunders et al., (2000) further argue that 'case study can be a very worthwhile way of exploring existing theory' (p.94).

One of the concerns of case studies is that of generalisation and external validity. As pointed out by Easterby-Smith et al., (1991), the differences between positivist and phenomenological viewpoints regarding generalisability is that the former is interested in representation of sample to a wider population while the latter is concerned with the likelihood that ideas and theories generated in one setting will also apply in other settings (see figure 4.1). The findings and results from a case cannot be said to be representative of, and generalised to a wider population. The goal of this case study is to generalise from case to theory that is theoretical generalisation as opposed to statistical generalisation (Yin 2003). A combination of qualitative, quantitative and secondary data analysis were used to collect rich and diverse data, to strengthen the case and for triangulation purposes. Qualitative methods would enable the research obtain perspectives, views and meanings of employees regarding PMS existing in the case study. An alternative research method would have been a survey

method based on statistical sampling. A decision to opt for a single case study as opposed to statistical sampling method was made in order to gain an in depth and rich understanding of phenomenon under investigation.

**Figure 4.1: Questions of Validity, Reliability and Generalisability**

	<b>Positivist Viewpoint</b>	<b>Phenomenological Viewpoint</b>
Validity	Does an instrument measure what it is supposed to measure?	Has the researcher gained full access to the knowledge and meanings of informants?
Reliability	Will the measure yield the same results on different occasions (assuming no real change in what is to be measured)?	Will similar observations be made by different researchers on different occasions?
Generalisability	What is the probability that patterns observed in a sample will also be present in the wider population from which the sample is drawn?	How likely is it that ideas and theories generated in one setting will also apply in another settings?

Source: Easterby-Smith, et al., 1991, p. 41.

#### **4.6 Research Strategy and Rationale for Strategy**

The research has adopted a subjective interpretative epistemology in order to investigate and explore the 'Best Practice' PMS (HRM) in the Department of Administration of Justice in Botswana. According to Burrell and Morgan (1979), 'an interpretive approach attempts to understand and explain the social world primarily from the point of actors directly involved in the social process' (p.227). The two authors further argue that the primary concern of the interpretive paradigm is to understand the subjective experience of individuals.

An alternative strategy could have been a positivist epistemology, which is normally deductive in nature, starting the research process with a theory and collecting empirical evidence either to confirm or refute the theory (Easterby-Smith et al., 1991). As pointed out by Burrell and Morgan (1979), 'positivist epistemology seeks to

explain and predict what happens in social world by searching for regulation and causal relationships' (p.3). Table 4.2 shows the key features of positivist and phenomenological paradigms.

**Figure 4.2: Key Features of Positivist and Phenomenological Paradigms**

	<b>Positivist Paradigm</b>	<b>Phenomenological Paradigm</b>
<b>Basic Believes</b>	The world is external and objective Observer is independent Science is value free	The world is socially constructed and subjective Observer is driven by human interests
<b>Researcher should</b>	Focus on facts Look for causality and fundamental laws Formulate hypotheses and then test them	Focus on meanings Try to understand what is happening Look at totality of each situation Develop ideas through induction from data
<b>Preferred methods include</b>	Operationalising concepts so that they can be measured Taking large samples	Using multiple methods to establish different views of phenomena Small samples investigated in depth or over time

Source: Easterby-Smith et al., 1991, p.27

The research adopted a phenomenological philosophical position that applies the subjective-interpretive approach (Burrell and Morgan, 1979; Easterby-Smith et al., 1991). An interpretive epistemology does not normally start with a clearly defined theory or hypothesis. Phenomenological research generates theory from empirical data collected that is qualitative in nature. Phenomenological research applies an inductive approach (as shown in figure 4.2 above), where the investigator gets directly involved and theory emerges from data collected as opposed to positivist where the researcher act as an observer and empirical evidence is collected through structured quantitative methods to conform or disprove theory. Other studies use a combination of positivist and phenomenological approach to better understand phenomena under investigation (Easterby-Smith et al., 1991). However, this research used the

interpretive and inductive approach to discover PMS existing in the Department of Administration of Justice. For example, survey questionnaires were used in order to discover, through employees' views and perceptions, the PMS existing in the Department of Administration of Justice. While semi-structured interviews and informal discussions were used in order to probe and further induct through views and meanings of employees, into issues raised in the survey questionnaire to enable researcher further discover and understand the PMS existing in the department. An interpretive and inductive approach and single case would also enable the researcher explore the applicability of 'Best Practice' PMS (HRM) in the department.

It is argued that a good case study should not only be descriptive, but should be comprehensive, analytical, collect data at different levels, use multiple data generation methods in order to strengthen the case and for triangulation purposes (Yin, 1994; Gummerson, 2000; Brewerton and Millward, 2001; De Vaus, 2001; Yin, 2003). The semi structured interviews and informal discussions were used to clarify issues raised by respondents in the self-administered questionnaire. Semi-structured interviews were used in order to further explore and gain a deeper understanding on employee interpretations and perceptions about 'Best Practice' PMS (HRM) existing in the Department of Justice (Easterby-Smith et al., 1991). As indicated in figure 4.2 above, multiple methods are used in phenomenological research to establish different views of phenomena. This research used quantitative and qualitative methods, including secondary data analysis in order to establish different views about PMS and also collect data at different levels of the department. A combination of quantitative and qualitative data collection techniques were applied in the research to obtain different perspectives, views and attitudes regarding respondents experiences about the PMS

existing in the Department of Administration of Justice. Additionally, combining methods served triangulation purposes and to strengthen the case under investigation. As noted earlier, a single case was investigated for in depth understanding of PMS existing in the department (see Figure 4.2). The ‘Best Practice’ PMS (HRM) process, frameworks and contextual factors that might affect PMS were used as a guiding principle in the research. The ‘Best Practice’ PMS (HRM) model was not used to formulate and test hypothesis, but to discover, explore, provide explanations and gain in depth and new insights regarding applicability of ‘Best Practice’ PMS (HRM) in a different environment (see Figure 4.3).

**Figure 4.3: Major Differences between Deductive and Inductive approaches to research**

<b>Deductive Emphasis</b>	<b>Inductive Emphasis</b>
Scientific process Moving from theory to data The need to explain causal relationships between variables The collection of quantitative data The application of controls to ensure validity of data The operationalisation of concepts to ensure clarity of definition A structured approach Researcher independence of what is being researched The necessity to select samples of sufficient size in order to generalise	Gaining an understanding of the meanings human attach to events A close understanding of the research context The collection of quantitative data A more flexible structure to permit changes of research emphasis as the research progresses A realisation that the researcher is part of the research process Less concern with the need to generalise

#### **4.7 Main Research Questions**

The four main research questions are:

1. How is the current state of PMS in the Department of Administration of Justice?
2. How does PMS existing in the department differ from the ‘Best Practice’ PMS (HRM)?
3. How can gaps between ‘Best Practice’ PMS (HRM) and PMS existing in the Department of Administration of Justice be reduced?
4. How applicable is ‘Best Practice’ PMS (HRM) in the context of the Department of Administration of Justice?

#### **4.8 Research Methods**

This research used a combination of quantitative and qualitative methods to collect data within and outside the Department of Administration of Justice. Data was collected internally from employees of the department and externally from users of services provided by the department. Primary data was collected through self-administered questionnaires, semi-structured interviews and informal discussions. Secondary data was obtained through published sources obtained within and outside the Department of Administration of Justice. Primary data collected within the department was at different hierarchical levels using two different self-administered questionnaires. The first questionnaire was designed for senior and middle managers and the second questionnaire was designed for staff below supervisory level.

The third self-administered questionnaire was specifically designed for users of services provided by the Department of Administration of Justice in Botswana, for example private attorneys, prosecuting officers, prisons officers and social welfare officers. Semi-structured interviews and informal discussions were held with managers and staff within the Department of Administration of Justice. Questions for interviews were based on issues that needed to be followed up in the self-administered questionnaire. Different questions were asked during the interview depending on issues raised by respondents that needed further clarification for deeper and meaningful understanding. Semi-structured interviews were held with users of services provided by the Department of Administration of Justice. The theme of the interviews was on the performance and service delivery of the Department of Administration of Justice and the judicial system in general.

#### **4.9 Primary Data**

Quantitative data entailed categorical and quantifiable data. Quantifiable data was based on attributes of respondents such as age, years of work experience and number of staff supervised. Quantifiable data was in discrete form. The majority of data generated for the research was categorical and descriptive (nominal) in nature. Some of the categorical data was rank ordered. Descriptive data was collected because the data was sufficient to answer the main research questions. The main research questions were designed to discover PMS existing in the Department of Justice, identify gaps between 'Best Practice' PMS (HRM) and PMS existing in the department, and suggest changes to close gaps between 'Best Practice' PMS (HRM) and PMS in the department. The research questions also entailed exploring the applicability of 'Best Practice' PMS (HRM).

Qualitative data was generated from semi-structured interviews, informal discussions and secondary sources. Some of the semi-structured interviews were tape-recorded while all informal discussions were hand written. Qualitative data was also obtained through the survey questionnaires in the form of open-ended questions. Responses to open-ended questions were coded, quantified and input into SPSS for analysis. In addition, data from open-ended questions were collected in order to gain insights into staff perceptions about PMS existing in the Department of Administration of Justice. Questionnaire for users of services provided by the department also had open-ended questions. Open-ended questions were used in order to allow users of services the opportunity to express any views they might have had regarding performance and services provided by the Department of Administration of Justice and the judicial system in Botswana.

#### **4.10 Secondary Data**

Secondary data consisted of memos and documents obtained from the Department of Administration of Justice including: documents on performance management and PMS in the department; the department strategic plan for 2001 to 2010; situational analysis survey on performance management in the department of 1999; Organisation and Methods Review report of 1995; and schemes and conditions of service for the department. In addition, various publications were obtained including journal articles on the development and implementation of PMS in public organisations in Botswana. Conference papers were also obtained regarding performance management in the judiciary in Botswana, research and studies on sentencing and law in different countries. These documents were reviewed for relevance and summaries produced on the type of documents and how the document related to the research question. These summaries were used for triangulation purposes and to strengthen the case.

#### **4.11 Development of the Research Instrument**

Constructs and scale dimensions used in the questionnaire designed for managers and non-supervisory staff in the Department of Administration of Justice were developed on the basis of literature on 'Best Practice' PMS (HRM) (IPM, 1992; Sparrow and Hiltrop, 1994; Norton and Kaplan, 1996b; Armstrong and Baron, 1998; Olve et al., 2000; Gibb, 2002). Constructs contained in the questionnaires for management and staff within the Department of Administration of Justice were based on the 'Best Practice' PMS (HRM) core process, contextual factors and frameworks. Previous surveys on PMS were mainly investigating performance management and 'Best



Practice' PMS (HRM) policies and practices in private and public organisations in developed countries (IPM, 1992; Armstrong and Baron, 1998; Sparrow and Hiltrop, 1994; Olve et al., 2000; Gibb, 2002; and others). This research investigated and explored 'Best Practice' PMS (HRM) in a different environment, in the Department of Administration of Justice in Botswana, in a developing country context in Southern Africa. Questionnaires were developed for management and staff of the Department of Administration to discover and collect empirical evidence on the PMS existing in the department. Questionnaires were used in order to investigate respondents' attitudes, beliefs and views on current PMS in the department and performance of the department. Constructs were measured using mainly Likert's five-point scale. Ranking order was used in some parts of the questionnaire for managers. In an effort to fulfil the objective of gaining an in-depth and holistic knowledge about the case study, three sets of questionnaires were developed. The first and second questionnaires were developed for the employees in the Department of Administration of Justice (see Appendix C and D). The third questionnaire was aimed at users of services provided by the Department of Administration of Justice in order to gain their views regarding performance of the Department of Administration of Justice (see Appendix E).

The first questionnaire was designed for managers (Appendix C) and was aimed at discovering PMS process, framework, and reasons for introducing PMS, PMS benefits and outcomes as well as overall effectiveness of PMS and the department. The questionnaire for managers was divided into eight sections (see questionnaire in Appendix C). The first section of the questionnaire was based on the benefits of a PMS and reasons for introducing PMS. Section B was on PMS process, including

observing the internal and external environment, as well as planning, budgeting and designing a PMS. Section C was aimed at obtaining evidence on employee participation in the PMS process as well as the role of the HRM section and Task Force in PMS. In Section C, managers were also asked to give an indication of the time frame it took the department to formulate, plan, design, implement and review PMS. Section D explored whether PMS had been reviewed, and methods used to review PMS. Section E was on outcomes of a PMS. Section F was to explore performance indicators and measures used by the Department of Administration of Justice. Section G was aimed at identifying partnerships maintained by the department as well as the extent to which the department had benefited from these partnerships. Section H obtained data on the effectiveness of PMS, challenges of introducing PMS in the department and the overall effectiveness of the department. The last part of Section H gave managers the opportunity to express any comments they might have had regarding PMS process and practice in the department, as well to indicate whether they were willing be interviewed. The last section of the questionnaire, which was Section J, contained questions on the characteristics of managers, including age, gender, education, position, work experience and the number of employees supervised.

The second questionnaire was developed for non-management staff (Appendix D) and aimed to seek staff views regarding their participation in the PMS process, contextual factors affecting PMS, PMS outcomes as well as overall effectiveness of PMS and the department. Non-management staff were asked to indicate any features they liked or did not like about PMS as well as challenges of introducing PMS in the department. There were open-ended questions where non-management employees were asked to

write down any comments they might have regarding PMS in the department. The last part was based on characteristics of staff, regarding age, gender, education, position, profession and number of years of work experience.

The third questionnaire was designed for users of services provided by the Department of Administration of Justice. The questionnaire for users (Appendix E) was aimed at obtaining evidence regarding performance of the judiciary and the department, court facilities, court environment, services provided, independence, impartiality and fairness of the judicial system, as well as outcomes of the judicial systems and the overall effectiveness of the Department of Administration of Justice. There were open-ended questions to allow users to express any views they might have regarding performance and service delivery of the department and judiciary. The last part of the questionnaire was based on attributes of respondents, including age, gender, education, industry sector, profession, employment status, and current place of work. The questionnaire for users of services provided by the department were developed using secondary data sources obtained from the documents obtained from conferences attended in Glasgow and Botswana regarding the judiciary. The conference in Glasgow was an international conference on Sentencing and Society attended from 28 to 30<sup>th</sup> June 2002. The conference in Botswana was attended on the 31<sup>st</sup> of July 2002 and was the annual judicial conference for the Department of Administration of justice and included international speakers and presenters.

The questionnaire and scales regarding PMS were developed on the basis of previous research carried in the UK by Armstrong and Barong (1998) regarding performance management in private and public sector organisations in the UK. For example the

five-point Likert's scale, ranking of items according to importance and the effectiveness of PMS and the department. Furthermore, the researcher, based on guidelines provided by Saunders et al., 2000, designed the questionnaire and considered scales in the questionnaire. For example, a data requirements table was produced, as suggested by Saunders et al., (2000) 'stating the research objective, research question and variables required and detail in which data is measured' (p.289). Examples of scales developed using Saunders et al., (2000) guidelines include: benefits of partnerships, responsibility for planning and designing, implementing and reviewing PMS, responsibility for coordinating PMS activities and participation in PMS process/activities. All the scales used in the questionnaire were tested for reliability through cronbach's alpha coefficient. The questionnaires were pre-piloted in Glasgow and pilot tested in Botswana. Feedback was incorporated into the questionnaire and this will be discussed in detail later in this chapter.

#### **4.12 Interview**

Interviews were used in this research in addition to survey questionnaires in order to clarify and gain more insights into issues that arose in the survey questionnaire. Though there were some open-ended questions in the self-administered questionnaire to allow respondents to express any views they might have regarding PMS, semi-structured interviews were used 'in order to clarify, further explore and explain themes that emerged from the questionnaire' (Saunders et al., 2000, p.245). Informal discussions were held with management and staff within the Department of Justice. These discussions were based on issues that surfaced from the questionnaire. For example staff would ask for clarity and at the same time commented on issues relating

to PMS process, consultation and communication system in the department. It is important to note that informal discussions were not planned for during the design of the research. The discussions emerged during distribution and collection of questionnaires. Though discussions were not planned for during the research design, they added invaluable information to empirical data collected to further insights and in depth understanding of case under investigation and the research phenomenon. As pointed by Saunders et al., (2000), when conducting exploratory research, the researcher must be willing to change direction as a result of new data which appears. The ability to be flexible and adaptable to change is one on the advantages of exploratory research (Saunders et al., 2000).

#### **4.13 Pre-Piloting Questionnaires**

Two pre-pilot tests were carried out in Glasgow and Botswana. The questionnaires were circulated to two PhD students in the University of Strathclyde to comment on the structure, format and clarity of the initial draft. In Botswana questionnaires were distributed to staff in two organisations to comment on the structure, format, and clarity of questions and the length of time it would take to complete the questionnaire. Draft questionnaires were circulated to an HRM manager, company attorney and an economist in the research department in the two organisations. The questionnaire was revised to incorporate comments. Comments received were mainly on the format, clarity of some questions and numbering of some sections. Suggestions were also made to add, for example PMS challenges and delete some items, as well as separate some sections and questions for clarity and better flow.

#### **4.14 Piloting the Questionnaire**

The questionnaire was pilot tested in Botswana in July 2002. Approximately seventy questionnaires were distributed to staff in two government departments. The questionnaires were accompanied by a letter of introduction and a piloting feedback form designed for respondents to fill after completing the questionnaire. Thirty questionnaires were pilot tested in the Department of Industrial Affairs in the Ministry of Industry (see Appendix A), fifteen for management and fifteen for staff below supervisory level. Fourty questionnaires were piloted in the Auditor General Department, fifteen for management and fifteen for staff below supervisory level. Ten questionnaires designed for users of the services of the Department of Administration of Justice were distributed randomly to staff in the Attorney General department. Respondents were asked to comments on the structure, format, content, wording, clarity and length of the draft questionnaire. These departments were chosen because they were government departments like Department of Administration Justice, and at the same time provided invaluable feedback as they had diverse backgrounds, for example employees with industry background and others in accounting and law background.

A total of thirty questionnaires were returned. Comments received from the two departments were mainly on the numbering of questions, which respondents said was confusing. Suggestions included improvement on the questionnaire lay out, format, numbering of sections and the flow of questions. Some respondents suggested that some questions should be deleted from the questionnaire as they addressed similar issues, for example in the questionnaire for managers regarding reasons for

introducing PMS and outcomes of a PMS. Some of the managers felt that the questionnaire was too long, while other managers felt that some sections were too long for example, Section B on PMS process and Section F on key performance indicators and measures used by the department. Staff members felt that there were too many open-ended questions in the questionnaire, and suggested there should be separate sections, for example benefits of PMS to staff and benefits of PMS to the department. Managers indicated that it took them an average of approximately one hour to complete the questionnaire. Staff indicated that it took them an average of thirty minutes to complete the questionnaire. Comments on the questionnaire for users of the services provided by the Department of Justice were mainly positive. Respondents said that the questions were generally clear, the structure and lay out of the questionnaire was logical, instructions and questions were clear. Respondents to questionnaire for users indicated that it took them an average of ten minutes to complete the questionnaire.

A draft questionnaire was also presented to two officers in the Central Statistics Office for comments. Their comments were mainly that the questionnaire was lengthy, particularly for management and that management might not have time to complete all the sections in the questionnaire. They suggested that respondents should be asked to complete and return the questionnaire within three days in order to increase the response rate. They lamented that from experience, respondents usually go through the questionnaire the first day, complete some parts in day two and finish filling in the questionnaire by the third day. They also suggested that the questionnaire for users of services provided by the Department of Administration of Justice should be limited to people who actually use the services of the judiciary. Limiting the

questionnaire specifically to actual users of the judicial system would ensure data collected from the group is of quality and meaningful. For example, people who actually use the court system representing the public including those in the legal field, prosecutors, police, prisons and social workers. Actual users of the court system would be in a better position to comment on issues related to the judiciary because of their experience and coming into contact with the court system regularly. Officers at the Central Statistics Office also suggested that the questionnaire should be coded before going into the field. They emphasised that the layout and numbering of the questionnaire should be consistent, with instructions that are very clear and visible to the respondent. The officers said that from experience of the Central Statistics Office respondent are usually reluctant to fill in questionnaires that have confusing instructions.

Draft questionnaires were distributed to two lecturers in the Statistics Department of the University of Botswana to comment on the structure, format, clarity, length and measurement scales of questions. They suggested that 'I don't know' options in the questionnaire should be eliminated. They advised that from their experience, respondents normally opt for 'I don't know' options to minimise spending too much time answering questions. They lamented that respondents usually indicate in the questionnaire if they don't know or are not of sure of the answer to the question. In relation to the length of the questionnaire, it was observed that questionnaire for management was lengthy. Particularly as management in organisations do not normally have that much time to spare and complete questionnaires. However, on a lighter note, they said that it is better to collect as much data as possible to avoid going back into the field and collect additional data, particularly from management.



The research instruments were revised to incorporate comments and suggestions received from pre-pilot and piloting of questionnaire before empirical data collection. Changes made to the questionnaire include: having two separate parts instead of one regarding benefits of PMS to staff and the department, deleting 'don't know' options' from the questionnaire, and including challenges of introducing PMS in the department. The format and numbering were also improved for clarity and better flow.

There were two conferences that the researcher attended prior to going into the field. The international conference from 28<sup>th</sup> to 30<sup>th</sup> June 2002 in Glasgow was on Sentencing and Society. The annual judicial conference was attended by the researcher on 31<sup>st</sup> July 2002 and was held in Botswana by the Department of Administration of Justice. Information obtained from the two conferences was used to further develop the questionnaire for users of services provided by the department and improve questionnaire for employees in the Department Administration of Justice. For example information collected from the annual judicial conference was used to further refine sections on users' survey questionnaire regarding outcomes of the judiciary.

#### **4.15 Research Protocol**

Before the start of fieldwork in Botswana, the Office of the President in the Ministry of State was approached for permission to undertake research in the Department of Administration of Justice. A letter requesting permission to conduct research was submitted to the Office of the President. The researcher was later advised to send the

letter directly to the headquarters of the Department of Administration of Justice (see Appendix H). The then Acting Registrar and Master was contacted by telephone and requested the researcher to fax the letter. The letter was faxed and hand delivered to the then Acting Registrar of the High Court the same day. The researcher had an opportunity to have a short meeting with the acting Registrar and briefed him about the research I was about to embark on. It was during this meeting that the Acting Registrar invited the researcher to attend an annual judicial conference on the 31<sup>st</sup> of July 2002. The Acting Register informed the researcher that the letter of permission would be sent as soon as the research proposal and research schedule have been considered. The permission to carry out research in the Department of Administration of Justice was granted in August 2002.

#### **4.16 Data Collection**

The data collection phase lasted from 15<sup>th</sup> August to 19<sup>th</sup> September 2002. Self Administered Questionnaires were distributed to the entire managers and staff in the Department of Administration of Justice. Questionnaires were hand delivered to two High Courts and seventeen (15) Magistrate Courts throughout the country. However, questionnaires to two (2) Magistrate Courts were posted due to remoteness of the villages where the magistrate courts are situated. A copy of the employee profile obtained from headquarters of the department was used to guide the administration of the survey questionnaire. Questionnaires were accompanied by a letter introducing the researcher, purpose of research, brief on 'Best Practice' PMS (HRM), the value of research to respondents and to the Department of Administration of Justice as well as to organisations within and outside Botswana. In addition, the covering letter assured

respondents of utmost confidentiality and anonymity. The last part of the covering letter informed respondents that the researcher would be available in their offices throughout the day to answer any questions employees might have. The introduction letter also informed respondents that completed questionnaires should be placed in the collection box situated at the reception area.

A decision was made to hand deliver and collect questionnaire during research design as opposed to postal delivery. The objective to hand deliver and collect questionnaire was mainly to increase response rate. Saunders et al., (2000) suggest that the likely response rate for hand delivered questionnaires is moderately high, ranging between 30-50 percent. As noted by Saunders et al., (2000), though more time is needed for delivery and collection method, and moderate confidence that the right person has completed the questionnaire, the researcher can sometimes check who answered at the time of collection. Saunders et al., (2000) further advocate that hand delivery and collection method enhances respondent participation. Table 4.1 shows the number of questionnaires distributed and collected from employees in the Department of Administration of Justice. Table 4.2 shows the number of questionnaires distributed and collected from users of services provided by the Department of Administration of Justice.

#### **4.17 Administering the Questionnaire**

Once permission was granted by the Department of Administration of Justice to carry out the research, personnel management/HRM sections in all the high courts and magistrate courts stations were contacted through the telephone to inform them that the researcher will be visiting their offices on dates indicated in the research

timetable. The main contact persons were the personnel officers and Clerks of the Court<sup>1</sup>. Personnel officers and Clerks of the Court were briefed about the purpose and value of research to the department. They were informed that the Acting Registrar and Master at headquarters had granted the researcher permission to carry out research in their respective stations throughout the country. Once the personnel officers and Clerks of the Court had consulted management and staff in their respective offices, a visit was made to administer the questionnaire. The Clerks of the Court were also informed that the researcher would be available in their offices during the day the questionnaire is administered to answer any questions respondents might have when completing the questionnaire. The Clerks of Court suggested that it would be feasible for the researcher to be at their respective offices between 7:30am 8:00am, to ensure that managers and staff are briefed and given the questionnaire before going on with their daily duties and before court sessions began<sup>2</sup>.

#### **4.18 Monitoring of Questionnaires**

Questionnaires were monitored throughout the day, between 7:30am and 4:30pm at the two (2) High Courts and seventeen (15) Magistrate Courts visited. Occasional visits were made into individual offices to find out if staff were having any problems completing the questionnaire, and to collect any completed questionnaires. During the morning time, some staff members who did not attend court session were able to complete the questionnaire. This would include some managers, Clerks of the Court, administration officers, clerical staff, revenue officers and court bailiffs. In the afternoon, officers who attended court session during morning hours would complete

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<sup>1</sup> Clerks of court are personnel administrators in the high courts and magistrate courts.

<sup>2</sup> Court sessions commenced between 8:00am and 9:30am.

the questionnaire. This included judges, magistrates, court reporters and court interpreters.

#### 4.19 Response to Questionnaires

Table 4.1 below shows the number of questionnaires distributed and returned. On the overall, the response rate for the Department of Administration was forty nine per cent, which was acceptable as suggested Saunders et al., (2000). Contributing to good response rate was the fact that the researcher was present at site throughout the day, answering questions staff might have regarding the questionnaire and the survey in general.

**Table 4.1 Number of questionnaires distributed and collected from management and Staff in the Department of Administration of Justice throughout the Botswana.**

<b>Region in Botswana</b>	<b>Total distributed to Entire Managers and Staff</b>	<b>Total collected from Management and Staff</b>	<b>Response Rate (%)</b>
South	185	84	45
Central	31	23	74
North	67	40	60
North East	17	10	59
West	16	None*	0
<b>Total</b>	<b>318</b>	<b>157</b>	<b>49 (overall)</b>

Note: \* Questionnaires to the western part of the country were sent through the post because of distance.

In addition, the response rate increased because employees were encouraged to complete the same day as the researcher will be moving on to the next research site. While waiting for the questionnaires, the researcher took the opportunity to request information relating to development and implementation of PMS. Clerks of Court were kind enough to furnish the researcher with open non-confidential files and material to browse through and photocopy relevant reference material. Table 4.2

shows questionnaires distributed and returned by users of services provided by the Department of Administration of Justice. The overall response rate for users of service was sixty three per cent. A combination of delivery methods was used to distribute questionnaire to users of services provided by the department. Some of the questionnaires were hand delivered and faxed in order to cover respondents situated in various parts of the country. As shown in Table 4.2 the highest response was from prosecutors and the lowest response from attorneys in private practice (Section 4.23 explains reasons for low response rate).

**Table 4.2 Number of Questionnaires Distributed to Users of Services Provided by the Department of Administration of Justice**

<b>External Customers and Stakeholders</b>	<b>Number Distributed</b>	<b>Number Collected</b>	<b>Response Rate (%)</b>
<b>Attorneys in private practice</b>			
South/ South Central	25	2	
North	2	2	
<b>Prosecutors</b>			
South/ South Central	40	37	
North	10	10	
North East	5	4	
<b>Prisons and Rehabilitation Officers</b>			
South/South Central	10	7	
North	5	5	
<b>Social Welfare Officers</b>			
South/South Central	10	7	
North	5	5	
University of Botswana Legal Clinic	5	0	
Amnesty Organisation	5	0	
Women's Group	5	0	
<b>Total</b>	<b>117</b>	<b>74</b>	<b>63 % (overall)</b>

#### **4.20 Interview Protocol**

Before the interview date, managers and staff in the Department of Administration of Justice who had indicated in the questionnaire that that they are willing to take part in a follow up interview on issues relating to PMS were contacted. Interviewees were

told that the interview would not last anything more than an hour (see Table 4.3). They were asked how much time they have available for the interview. A date was set for the interview and confirmation made a day prior to the interview. The same procedure was followed for all interviews. Informal discussions with management and staff in the Department of Administration of Justice were based on issues contained in the self-administered questionnaire. The informal discussions took place during the distribution and collection of the questionnaire. Regarding interviews with users of services provided by the Department of Administration of Justice, interviewees were contacted through the telephone to request an appointment. The same interview protocol was followed as interviewees at the Department of administration of Justice. On the interview date, interviewees were asked if they minded the interview being tape recorded for accuracy, reliability and management of the interview process. Once interviewees agreed to tape recording, the interview commenced with an introduction, a brief overview on purpose of the research and that permission had been granted to conduct research in the country.

**Table 4.3 Number of People Interviewed, Location and Duration of Interview.**

<b>Semi-Structured Interviews and Informal Discussions. Interviewees</b>	<b>Organisation</b>	<b>Number of Interviews</b>	<b>Duration</b>
<b><u>Department of Administration of Justice</u></b>			
Middle Managers	Department of Administration of Justice	3	30 minutes
Lower Managers		2	30 minutes
Performance Improvement coordinators		1	30 minutes
<b><u>Users of Services Provided by the Department</u></b>			
Private Attorneys	Private Law Firm	3	30 minutes
Prosecutors	Police Department	1	1 hour
<b>Total Number of Semi-Structured Interviews</b>		<b>10</b>	
<b><u>Informal Discussions:</u></b>			
Senior Managers	Department of Administration of Justice.	1	10 minutes
Middle Management		3	10 minutes
Junior Management		14	10-30minutes
Staff below supervisory level		8	5-10minutes
<b>Total Number of Informal Discussions</b>		<b>26</b>	

#### **4.21 Interviews with Employees in the Department of Administration of Justice**

Table 4.3 above shows the number of interviews and duration of interviews. There were no interviews with senior managers in the Department of Administration of Justice, except an informal discussion with one senior manager during completion of the self-administered questionnaire. Only two senior managers completed the questionnaire. Though, none of the senior managers indicated in the survey questionnaire that they were willing to be interviewed. Other senior managers were not able to complete the questionnaire due to tight work schedule. Questionnaires distributed to senior management were not completed for example judges, since most were out of their workstations during data collection. Hence, no follow up interviews were held with senior management in the department. Interviews were held with two middle managers in the Department of Administration of Justice. The two interviews were tape-recorded. A third interview arranged with a middle manager did not take place due to work commitments. There were two interviews with lower management. The interview with the HRM manager was mainly aimed at generating data on the involvement of HRM in the PMS process. The interview was a follow up from the questionnaire in which the HRM manager had indicated that their role is to organise funding and venues for PMS activities. An interview was thus necessary to clarify exactly what role the HRM section played in the PMS process. There was a hand written interview with Performance Improvement Coordinators.

There were no interviews carried out with staff members below supervisory level. This was mainly because when reviewing staff responses in the questionnaire, there were no issues that necessitated follow up for clarity and further understanding. Informal discussions with management and staff were on issues emanating from the



questionnaire. After staff were briefed about purpose of the research and handed the questionnaire to complete, management and staff would comment on for example, their knowledge and involvement in the performance management system in the department. Some of the informal discussions particularly after the questionnaire has been completed would be based on certain sections or aspects of the questionnaire. The discussions would last from approximately five up to thirty minutes.

#### **4.22 Interview with Users of Services Provided by the Department**

Semi-structured interviews were held with two private attorneys practicing in the Northern part of Botswana. The Botswana Law Society was contacted prior to the interviews for a list of private law firms operating in Botswana. The Executive Secretary of the Botswana Law Society suggested the researcher to interview one private attorney in north and one attorney in the south of Botswana. She recommended this approach because private attorneys have very tight schedules. Two attorneys suggested by the Executive Secretary agreed to an interview. The interview focused on the performance and service delivery of the Department of Administration of Justice and the judiciary.

The interview with prosecutors was on the role of the Police Department as prosecutors. Police officers as Prosecutors frequent the court system prosecuting cases in court. Prosecutors frequent the court systems to prosecute cases on behalf of the Attorney General. Prosecutors use the services of the Department of Administration of Justice and judicial system regularly. Interview questions focused on the performance and service delivery of the Department of Administration of Justice.

#### **4.23 Problems Encountered During Research**

On the overall, the research progressed according to what was planned during the research designing stage. However, some problems emerged during the first phase of data generation. The major problem encountered was related to the administering the questionnaire to users of services provided by the Department of Administration of Justice. The response rate was very low for survey questionnaires distributed to attorneys in private practice, university of Botswana, a women's group and an amnesty organisation. The highest response was from prosecuting officers in the Police Department. There was no response received for questionnaires distributed to a women's group and an amnesty organisation. Five questionnaires were hand delivered to each women's group organisation. Follow-ups were made over a period of four weeks at one-week intervals. When following up questionnaire with the women's group, the officer the researcher had left the questionnaire with said the questionnaire was a bit difficult for them to complete. She informed the researcher that she would request their attorney to assist in completing the questionnaire. Several follow ups proved futile. When following up on questionnaires to the amnesty organisation, the researcher was informed that only one questionnaire would be completed to avoid duplication. Several unsuccessful follow-ups were made through the telephone and sometimes waiting for up to an hour in their offices for the questionnaire. As indicated earlier, the response from senior management in the Department of administration was very low. Attempts to improve response of senior managers by administering the questionnaire twice proved futile due to their tight work schedule, particularly judges as they were conducting circuit court throughout the country.

Despite piloting and revision of questionnaire for clarity and simplicity, questions were still raised regarding some concepts in the questionnaire for employees in the Department of Administration of Justice. For example, some clerical staff wanted clarity on some items in the questionnaire such as the meaning of 'employee turnover' and 'organisational environment'. Some managers wanted clarity on exactly which HRM department the survey questionnaire was referring to, in magistrate courts or at headquarters of the department. The researcher explained that the questionnaire referred to HRM or personnel administration unit in their respective court stations. One manager declined to complete the questionnaire until he was shown a copy of permission letter from headquarters authorising research in the department. The response was low in two magistrate courts where questionnaires were sent by post due to remoteness. In a follow up telephone conversation, Clerks of the Court in the two remote magistrate courts informed the researcher that clerical staff were not able to complete the questionnaire due to lack of knowledge in PMS. In one of the two remote courts, magistrates were said to have tight schedules while in one of the courts one magistrate and one junior manager completed the questionnaire. The two questionnaires were mailed but arrived when the researcher had gone back to Glasgow (UK).

#### **4.24 Ethical Considerations**

Permission to access the Department of Administration of Justice in order to investigate the current state of PMS was granted before the onset of the research. Access into the two high courts and seventeen magistrate courts was cleared with senior, middle and junior management. For example, access to the high court was

through the Registrar and Master. Access to magistrate courts was through Clerks of the Court. Senior managers and administrators were contacted by telephone and fax, briefed about the purpose and value of research. They were informed on how the questionnaire will be administered and how interviews will be conducted in their respective courts. In addition, they were assured that there would be minimal interruption of workflow. Respondents' consent was sought beforehand through the letter introducing the purpose of the study and why it is important for them to participate. Respondents were also informed about the time it will take to complete the questionnaire, and the type of questions they will be requested to respond to in the covering letter. Interviews were carried out with only respondents who had indicated in the questionnaire that they would be willing to be interviewed. Interviewees were briefed about the purpose of the interview, the type of questions the interview would cover and the estimated duration of the interview.

Respondents' were also assured of confidentiality and anonymity. They were informed through the covering letter and during the administration of the questionnaire and interviews that their names and identity would not be by any manner revealed in the study. A collection box was provided to allow respondents to drop completed questionnaire. Some respondent's particularly junior members of staff were concerned that their identity and responses might find their way into senior management offices. Junior employees were informed that a collection box would be placed in the reception area to guard against respondents' identities and responses revealed to management. Confidentiality was maintained with the data obtained from the various courts. Permission was sought from the Clerks of the Court to review files containing information on PMS that was not confidential. There were no deceptive or

covert measures used in data collection. Information obtained within and outside the department was through voluntary means, with the full cooperation of respondents. Confidence and trust between the researcher, the department, and respondents was established through protocol developed before and during data collection.

#### **4.25 Data Quality Issues**

Reliability of the questionnaire 'is concerned with the consistency of responses to questions' (Saunders et al., 2000, p.307). In this research, all scales used in the research questionnaire were checked for reliability (internal consistency) through cronbach's alpha coefficient. As stated by Saunders et al., (2000), 'internal consistency measures the consistency of responses across either all questions or a sub-group of questions from the questionnaire' (p.307). Sub-groups of questions were measured in this research (see Chapter 5, Table 5.3, 5.40 and 5.53). For example, in the survey questionnaire for external customers, sections were divided to subgroups of constructs such as performance of the judiciary, independence of the judiciary and outcomes of the judiciary (Table 5.53). Questionnaire for managers, for example, was subdivided into PMS process of observing the environment; planning and designing; acting on; and reviewing PMS (Table 5.3). Internal validity is concerned with whether questions measure what they are supposed to measure, while external validity is concerned with whether the results can be generalised (Saunders et al., 2000; De Vaus, 2001; Yin, 2003). Internal validity was improved through pilot testing of the questionnaire, use of multiple research tools and triangulation of findings. Concepts used in the questionnaire were developed based on literature regarding 'Best Practice' PMS (HRM). 'Measurement error occurs when flawed indicators are used to tap concepts' (De Vaus 2001, p.29). Measurement error was minimised in this research

by checking reliability of scale and items in the scale through the Cronbach's Alpha technique available in SPSS. Self-administered questionnaire was pre-coded prior to going into the field to collect empirical data. Open-ended questions were coded after data collection.

Reliability of data from semi-structured interviews was improved by tape-recording semi-structured interviews. Informal discussions were not tape-recorded. In cases where informal discussions were held with staff, notes were written during the discussion and summary written immediately after the discussion in order to ensure that data was accurately recorded. Interviewee names, organisations, location and time of the interview were recorded prior to the interview to ensure that interview notes and tapes did not get mixed up. Since this research used semi-structured interviews, informal discussions and secondary sources, subjectivity could not be avoided. Subjectivity is associated with qualitative research methods, for example, 'interviewer bias', where the interviewer might lead the interviewee without realising it, and interviewee or response bias (Saunders et al., 2000). A neutral tone of voice and listening skills were used in order to minimise influencing response and flow of the interview. Interview notes, interview tapes, completed questionnaires and documented data were stored in separate database according to level of staff, organisation, date and location to avoid mixing up. Data on the total number of staff in each court station, position of employee, total number of questionnaires distributed, total number of questionnaires returned, number of questionnaires completed and total number of questionnaires pending was maintained through out the data generation process.

#### **4.26 Data Improvement Strategy**

All scales used in the research questionnaire were checked for reliability (internal consistency) through cronbach's alpha coefficient. Cronbach's alpha 'tests if scales are measuring the same underlying construct' (Pallant 2001, p.85). An alpha of 0.7 or above indicates that the scale is considered reliable. Data was also checked for outliers. 'All out of range cases were double checked for errors before analysis was carried out' (Pallant, 2001, p.62).

#### **4.27 Data Analysis Strategy**

'Best Practice' PMS (HRM) process, contextual factors and framework was used as a template to guide data analysis of PMS existing in the Department of Administration of Justice (Yin 1994; De Vaus 2001; Yin 2003). SPSS software was used for data input and its descriptive statistic tool was applied to analyse quantitative data (Palant 2001). Simple counts of frequency of occurrence were used to analyse quantitative data. Frequency of occurrence was appropriate statistical tool to apply in this research because quantitative data collected to answer research questions was mainly nominal (descriptive) in nature. The mode was used for values that appear most frequently. The mean and median were used for discreet data collected regarding age, years of work experience and number supervised. Measures of dispersion such as standard deviation were not used in this research, as quantitative data was mainly categorical and nominal. Statistical techniques such as multivariate, analysis of regression were not applied either in this study because the type of data (mainly categorical) collected was descriptive in nature and the descriptive techniques applied were sufficient to answer the research questions.

Qualitative data was analysed using the content analysis technique (Miles and Huberman, 1994; Saunders et al., 2000). Qualitative data was sorted into appropriate categories and related data to establish emerging key themes and patterns in empirical data. Actual terms used by respondents were related to terms used in theory and literature on 'Best Practice' PMS (HRM) (Miles and Huberman, 1994; Saunders et al., 2000). As stated by Saunders et al., (2000), secondary data should be assessed for suitability, reliability and measurement bias. Summaries were produced on the type of document, purpose of document, how it related to research questions and why the document was significant. A summary of key points from the document was prepared (Saunders et al., 2000). The purpose of secondary data analysis was for triangulation of findings (Saunders et al., 2000). Results from data analysis are presented in the form of tables, graphs and pie charts.

#### **4.28 Summary**

This chapter outlined the research design and methods adopted in this research. The research adopted an interpretive approach in order to investigate and explore PMS existing in the Department of Administration of Justice and the applicability of 'Best Practice' PMS (HRM) in the context of a developing country such as Botswana. A single case strategy was used in order to gain an in-depth knowledge and understanding about the PMS process, framework and contextual factors affecting PMS in the Department of Administration of Justice. The research used a combination of quantitative and qualitative data collection methods. Combinations of quantitative and qualitative methods were used in order to establish different views, collect rich and diverse data, for triangulation purposes and to strengthen the case study. One of



the limitations of a single case study approach is generalisation and external validity of findings. This research would not claim any generalisation of findings beyond the case under investigation. Table 4.4 below gives a summary of research design, research philosophy, data collection and data analysis techniques applied. The next chapter presents results from the quantitative data analysis.

**Table 4.4 Summary of Research Design and Research Methods**

<b>Research Approach</b>	Subjective-Interpretive
<b>Research Design</b>	Inductive Purposeful Sampling Single Case
<b>Data Collection Methods</b>	<u><b>Quantitative</b></u> Self-Administered Questionnaires  <u><b>Qualitative</b></u> Semi-Structured Interviews. Informal discussions  <u><b>Secondary Data</b></u> Organisational documents, Memos, surveys. Journal articles.
<b>Data Analysis Techniques</b>	<u><b>Qualitative Data</b></u> SPSS Description statistics Frequency Mode Median Mean  <u><b>Quantitative Data</b></u> Content Analysis  <u><b>Secondary Data Analysis</b></u> Summary of documents.
<b>Data Improvement Strategy</b>	Pre-piloting Pilot- testing  <u><b>Reliability Test:</b></u> Cronbach's Alpha Checking for Outliers Tape Recorded Interviews and good data management.
<b>Data Presentation</b>	Tables Graphs Pie Charts

## CHAPTER 5

### QUANTITATIVE DATA ANALYSIS AND RESULTS

#### 5.1 Introduction

The purpose of this chapter is to presents results and analysis of quantitative data collected within and outside the Department of Administration of Justice. Quantitative approach was used in order to obtain respondents perspectives regarding PMS process, frameworks and contextual factors affecting PMS in the department. Furthermore, the survey method was used in order to discover PMS existing in the department, identify and explain gaps between 'Best Practice' PMS and the PMS existing in the department and suggest changes to reduce gaps between the ideal PMS and PMS existing in the department. This chapter is divided into five sections. The first section gives a brief background on the department and profile of managers surveyed. The second section is a descriptive analysis of empirical evidence collected from managers in the department. The third section entails profile of non-management staff in the department and descriptive analysis of quantitative data. The third section contains a brief profile of users of services provided by the department and descriptive analysis of quantitative data obtained from them. The fifth section constitutes a summary of this chapter.

#### 5.2 Organisational Background

The Department of Administration of Justice is an independent government department responsible for administering laws of Botswana guided by the constitution

of the country. The Administration of Justice is responsible for ‘upholding provisions in the Constitution of Botswana of fundamental rights, freedom of individual, including dignity, respect for justice and confidence in the justice system’ (Botswana Government, 1995). The department has high level of accountability, including ‘impartiality, justice of the law and judge according to the law’ (Ibid.). The judicial system should therefore be independent in interpreting and enforcing the laws of Botswana. The Department of Administration of Justice is responsible for administering justice at district, regional and national level. In an effort to take justice to the people and improve access to the judicial system in Botswana, the government has established courts throughout the country. There are two High Courts and seventeen magistrate courts. There were approximately 318 full time employees in the Department of Administration of Justice. The survey questionnaire was distributed to all senior, middle and junior managers and non-management staff in the department.

### **5.3 Data Analysis**

The first part of the chapter is an analysis and presentation of results of evidence collected through survey questionnaire for senior, middle and junior managers in the Department of Administration of Justice. The second part analyses and presents results of evidence collected from non-management staff in the department. The last section of the chapter analyses and presents results from empirical data collected from users of service provided by the department.

### 5.3.1 Management Profile

**Table 5.1 Management Profile**

Attribute		Frequency N=38	Percent (%)	Cumulative (%)	Cumulative (#)
<b>Gender</b>	Male	18	47.4	47	18
	Female	19	50.0	97*	19 37*
<b>Education</b>	Primary School	1	2.6	2.6	1
	Some Secondary School	2	5.3	8.9	3
	Completed Secondary School	4	10.5	19.4	7
	Vocational	11	28.9	48.3	18
	Undergraduate Degree	15	39.5	87.8	33
	Graduate/Postgraduate	4	10.5	97.3	37
<b>Position</b>	Senior Manager	4	10.5	10.5	4
	Middle Manager	15	39.5	50	19
	Lower Manager/Supervisor	15	39.5	89.5	34
<b>Profession</b>	Assistant Registrar	1	2.6	2.6	1
	Under Secretary	1	2.6	5.2	2
	Magistrate	13	34.2	39.4	15
	Chief Administration Officer (HRM)	1	2.6	42.0	16
	Clerks of the Court	16	42.1	84.1	32
	Deputy Sheriff	1	2.6	86.7	33
	Senior Court Reporter	2	5.3	92.0	35
	Supervisor	1	2.6	94.7	36

Note: \*Less 100 per cent as not all person (s) responded to the question.

Table 5.1 above shows the profile of managers in the Department of Administration of Justice who responded to the survey questionnaire. A total of 38 managers responded to the survey questionnaire, comprising 18 males and 19 female managers. There were a total of 108 managers in the department and the survey questionnaire was distributed to all managers. The response rate for managers was 35 per cent. One manager did not disclose their gender. Half of the managers surveyed had university degree while almost a third had vocational qualifications. Vocational qualifications include a Diploma in Court Practice, Certificate in Law and National Diploma in Secretarial studies. The highest number of managers who responded to the survey questionnaire were Clerks of the Court (42.1 per cent) followed by magistrates (34.2

per cent). The lowest response was from senior managers in the department (10.5 per cent). Senior managers comprise Judges and Registrars. As explained in the Methods chapter, one of the factors contributing to low response rate from Judges could be due judges conducting circuit courts around the country at the time of the survey. As shown in table 5.2 below, the mean age was 38 years, ranging from 25 to 56 years .The average work experience of managers was 14 years, ranging from 1 to 30 years. The mean work experience in the department was 11 years, ranging from 1 to 28 years. The average number of employees supervised by each manager was 15, ranging from 2 to 65 employees.

**Table 5.2 Managers Profile: Age, Work Experience\* and Number Supervised**  
**Descriptive Statistics**

	N	Minimum	Maximum	Mean	Std. Deviation
Age	35	25	56	38.57	7.528
total years work experience	38	1	30	14.29	7.654
experience in government	37	1	30	13.49	8.455
experience in DAOJ	38	1	28	11.26	7.576
years of experience in section	38	1	27	6.74	6.035
number supervised	34	2	65	15.82	12.748
Valid N (listwise)	31				

Note: \* include those who have been working for 1 year and less than 1 year.  
N=38. Any N below 38 indicates that the person (s) did not respond.

#### 5.4 Reliability Tests

As mentioned in the Methods chapter, constructs and scale dimensions used in the questionnaire were developed on the basis of literature and themes emerging from ‘Best Practice’ PMS (HRM) process, frameworks and contextual factors. 5-point Likert’s scale was used in the questionnaire. Respondents were asked to indicate the extent to which they agree or disagree with statements regarding PMS process.

Ranking order was used in some sections of the questionnaire. Cronbach's alpha was used to test reliability of the scale and items in the scale. Table 5.3 indicates that the scales and items in the questionnaire were reliable as evident from the cronbach's alpha of more than .7.

**Table 5.3 Management Data: Test of Reliability**

<b>Construct/Scale</b>	<b>Number of Items</b>	<b>Cronbach Alpha</b>
<b>Section A</b>		
Benefits of PMS	11	.8279
Reasons for Introducing PMS	8	.8738
<b>Section B</b>		
<b>PMS Process</b>		
Observing	15	.9113
Planning and designing	6	.8298
Budget for PMS	8	.8201
<b>Section C</b>		
<b>Employee Participation in PMS</b>		
Driving PMS	10	.8740
PMS Planning	10	.8033
PMS Implementation	9	.7892
HRM Role in PMS process	4	.9799
HRM role PMS	3	.9085
<b>PMS Task Force</b>	9	.9478
<b>Section D</b>		
Methods to Review PMS	6	.6481
<b>Section E</b>		
PMS Outcomes	8	.8664
<b>Section F</b>		
Key Performance Indicators	26	.8955
<b>Section G</b>		
Partnerships with other organisations	10	.8089
Benefit from Partnerships	5	.7497

### 5.5 Descriptive Analysis of Management Data

The questionnaire for managers was divided into eight sections (see questionnaire in Appendix C). As mentioned in the introductory section of this chapter, the mode and PMS framework were used to guide data analysis of the actual case (De Vaus, 2001; Yin, 2003). SPSS for Windows version 10.0 was used for data input and descriptive statistical tools (mainly the mode) were used analyse quantitative data (Pallant 2001).

The section that follows entails analysis of management data regarding PMS existing in the Department of Administration of Justice.

### **5.5.1 Benefits of PMS to the Department**

When asked to indicate the degree to which they agreed or disagreed with statements regarding benefits of PMS to the department, majority of managers felt that PMS has benefited the department. This is evident in Table 5.4, in which 26 managers (68.4 per cent) agreed that PMS has helped the department develop clear vision-mission statement and a strategic plan. Output from Table 5.4 shows that more than 60 per cent of managers felt that PMS has helped the department set specific goals and objectives (65.8 per cent). Furthermore, 60.5 per cent of managers agreed that PMS has helped the department develop clear KPI and measures. Slightly more than 40 per cent of managers believed that PMS has led to the integration of individual and organisational goals (42.1 per cent). According to Table 5.4, 42.2 per cent of managers thought that PMS had integrated strategic goals, HRM policies and other performance improvement initiatives. As indicated in Table 5.4, 16 managers (42.2 per cent) agreed that PMS has improved management skills in the department while 34.2 per cent disagreed.

However, when asked whether objectives of PMS were well communicated to all staff, 47.3 per cent of managers disagreed. Furthermore, 14 managers (36.9 per cent) felt that PMS has not helped staff set challenging goals. According to Table 5.4 below, 14 managers (36.8 per cent) felt that PMS was bureaucratic and time consuming. When asked whether PMS had improved communication between

management and staff, 13 managers (34.2 per cent) answered in the affirmative, while 14 managers (38.8 per cent) disagreed. Output in Table 5.4 below indicates that 14 managers (36.8 per cent) were neutral when asked whether line managers owned and operated PMS.

**Table 5.4 Benefits of PMS to the Department of Administration of Justice**

Statement: Benefits of PMS	1 (%)	2 (%)	3 (%)	4 (%)	5 (%)	Mean Score
PMS has helped Department develop a clear mission-vision and strategic plan.	34.2	34.2	7.9	13.2	-	2.0
PMS has helped department set specific goals and achievable targets.	34.2	31.6	10.5	13.2	-	2.0
PMS has helped department develop clearly defined key performance areas and performance measures.	36.8	23.7	13.2	18.4	-	2.1
PMS has lead to integration of individual goals with those of the department.	28.9	13.2	21.1	28.9	2.6	2.6
PMS integrates strategic goals, HRM policies, and other performance improvement initiatives such as work improvement teams (WITS).	26.3	15.8	21.1	26.3	2.6	2.6
The aims and objectives of PMS are well communicated to and fully understood by all staff.	21.1	2.6	21.1	28.9	18.4	3.2
Line managers own and operate part of performance management.	28.9	2.6	36.8	18.4	-	2.5
Performance management has helped staff set stretching and challenging goals.	18.4	5.3	28.9	31.6	5.3	3.0
PMS is bureaucratic and time consuming.	7.9	13.2	31.6	26.3	10.5	3.2
PMS has improved communication between senior managers and junior staff.	31.6	2.6	21.1	34.2	5.3	2.8
PMS has improved management skills in the department.	36.8	5.3	18.4	31.6	2.6	2.6

Note: - no response fell into this category. 1=agree, 2=strongly agree, 3 neutral, 4=disagree, 5=strongly disagree.

### 5.5.2 Reasons for Introducing PMS in the Department

Managers were asked to rank according to importance reasons for introducing PMS in the department. Table 5.5 below indicates that improvement in service delivery (63.2 per cent) and increasing productivity (60.5 per cent) were ranked most important reasons for introducing PMS in the department. Reduction of staff turnover (18.4 per cent) and costs reduction (15.8 per percent) were ranked least important reasons for



introducing PMS in the department. When asked to indicate any other reasons for introducing PMS, one manager wrote quick service delivery as another reason for introducing PMS in the department.

**Table 5.5 Reasons for Introducing PMS in the Department**

Reason for Introducing PMS in the department	Ranked as most important	Frequency (#)	Percent (%)
Improve quality of service	1	24	63.2
Increase productivity	2	23	60.5
Develop staff skills and competence	3	15	39.5
Motivate management and staff	4	13	34.2
Change organisational culture	5	11	28.9
Promote equal opportunities (e.g. gender balance in management positions)	6	11	28.9
Reduce labour turnover	7	7	18.4
Reduce costs	8	6	15.8

### 5.5.3 PMS Core Process: Observing the Environment

Mapping out the PMS process in the Department of Administration of Justice commenced with tracing PMS existing in the department. The PMS process deduced from literature regarding 'Best Practice' PMS was used to guide collection of empirical evidence from the department (Figure 2.6, chapter 2). Managers were asked to indicate the extent to which they agreed or disagreed with the statements pertaining to core PMS process, entailing observing the internal and external environment, planning and designing a PMS, acting on and reviewing a PMS (Table 5.6). The internal and external environments are observed in order to ascertain if the environment is suitable for and supportive of a PMS. On the overall, at least 40 per cent of managers thought the department observed the internal and external environment during the formulation of PMS. As shown in Table 5.6, 20 managers (52.6 per cent) agreed that the department's mission-vision was reviewed before developing a PMS. Almost 50 per cent of managers believed the department's roles

and goals were reviewed and updated (47.4 per cent) and that the department's strategic plan (49.5 per cent) was examined before designing a PMS. When asked whether the department's strengths and weaknesses were assessed during PMS planning and designing, 17 managers (44.8 per cent) agreed. Output in Table 5.6 shows that 19 managers (60.0 per cent) felt that customers and stakeholders needs and expectations were examined before designing a PMS. Table 5.6 shows that 16 managers (42.1 per cent) agreed that key performance indicators (KPI) were identified before developing PMS. However, managers were undecided when asked whether cost and benefit analysis for introducing, operating and sustaining PMS were carried out during PMS planning (39.5 per cent). Managers were also ambivalent about the statement whether resources needed to operate PMS were identified and assessed before planning a PMS (36.8 per cent). Though 16 managers (42.1 per cent) agreed that staff contributions were incorporated into PMS, 37 per cent of managers were undecided when asked whether employees at all levels were consulted during planning and designing of a PMS.

**Table 5.6 PMS Process in the Department of Administration of Justice**

Statement	1 %	2 %	3 %	4 %	5 %	Mean Score
<b>Observing the internal environment</b>						
Review Mission-vision.	36.8	15.8	31.6	5.3	2.6	2.1
Assess roles, goals and objectives.	31.6	15.8	28.9	10.5	2.6	2.3
Examine Strategic plan.	26.3	13.2	36.8	7.9	2.6	2.4
Assess Strengths and Weaknesses.	31.6	13.2	31.6	10.5	0.0	2.2
Above revised & incorporated into PMS	39.5	18.4	26.3	5.9	0.0	2.0
KPIS were identified.	26.3	15.8	31.6	10.5	0.0	2.3
Costs and benefit analysis	23.7	7.9	39.5	13.2	2.6	2.6
Resources for PMS	18.4	2.6	36.8	23.7	2.6	2.9
Staff consultation	23.7	13.2	18.4	26.3	10.5	2.5
Staff contributions were incorporated into PMS.	34.2	7.9	21.1	21.1	5.3	2.4
<b>Observing the external environment</b>						
Examine customers & stakeholder needs.	36.8	13.2	31.6	5.3	0.0	2.1
Incorporate customer & stakeholder expectations needs into PMS.	36.8	21.1	26.3	5.3	0.0	2.0

Note: 1=Agree, 2=Strongly Agree, 3=Neither Agree nor Disagree, 4= Disagree, 5=Strongly Disagree.

#### 5.5.4 Planning and Designing a PMS

Table 5.7 below shows that 16 managers (42.1 per cent) agreed that PMS was designed based on what was planned and agreed. Output in Table 5.7 also indicates that 14 managers (36.8 per cent) agreed that staff training and briefing was carried out before PMS was implemented. When asked whether methods to monitor and review PMS were identified and agreed during PMS planning, 18 managers (47.4 per cent) answered in the affirmative.

**Table 5.7 Planning and Designing a PMS**

Statement	Agree % 1	Strongly Agree % 2	Neither % 3	Disagree % 4	Strongly Disagree % 5	Mean Score
<b>Planning and Designing PMS</b>						
PMS was designed based on what was planned and agreed.	28.9	13.2	31.6	13.2	2.6	2.4
Staff were trained and briefed.	26.3	10.5	31.6	21.1	2.6	2.6
Identify methods to monitor and review PMS.	39.5	7.9	28.9	10.5	5.3	2.3

The 'Best Practice' PMS (HRM) suggests that for a PMS to be effective, an organisation has to plan and budget for resources required to design, implement, review, and sustain a PMS. The second part of Section B in the survey questionnaire collected evidence regarding the extent to which the department had planned and budgeted for the PM system. As evident from results in Table 5.8, 18 managers (47.4 per cent) said that support staff required for PMS was not planned for. According to Table 5.8, 14 managers (36.8 per cent) said that HRM consultant for PMS was not planned for. Furthermore, almost 60 per cent of managers felt that time away from office to attend PMS matters were not planned for (57.9 per cent). However, 14 managers (36.8 per cent) said that the department had planned for staff training in PMS. According to Table 5.8, approximately 40 per cent of managers said the

department had planned for IT to support staff performance. Table 5.8 shows that 16 managers (42.1 per cent) said that IT training was planned for. Slightly more than half of managers surveyed said that timetable for PMS implementation was planned for (52.6 per cent). 40 cent of managers were undecided when asked to indicate whether the department had planned for equipment and facilities to assist staff performance (39.5 per cent).

**Table 5.8 Planning for PMS**

<b>PMS Activity</b>	<b>Planned % (#)</b>	<b>Not Planned for % (#)</b>
Support staff required for PMS	26.3 (10)	47.4 (18)
Staff training in PMS	36.8 (14)	34.2 (13)
Equipment and facilities to assist performance	39.5 (15)	39.5 (15)
IT	39.5 (15)	36.8 (14)
IT training	42.1 (16)	36.8 (14)
A timetable for PMS implementation	52.6 (20)	26.3 (10)
Consultant for PMS launch/management	34.2 (13)	36.8 (14)
Time away from office to attend PMS matters	23.7 (9)	57.9 (22)

Note: Figure in brackets indicates number of respondents.

According to Table 5.9, evidence suggest that the department had budgeted for a PMS as indicated by 42.1 per cent of managers. Furthermore, managers felt that the department had budgeted for IT (34.2 per cent), staff training in PMS (31.6 per cent) as well as PMS briefing and workshops (34.2 per cent). Though, 34.2 per cent of managers said the department budgeted for IT, the same number of managers said the department did not budget for IT training (34.2 per cent). Furthermore, output in Table 5.9 indicates that 12 managers (31.6 per cent) said that facilities and equipment to assist and support staff performance were not budgeted for. Some managers indicated they were not aware and did not know whether these activities were budgeted or not.

**Table 5.9 Budgeting for PMS**

<b>PMS Activity</b>	<b>Budgeted for % (#)</b>	<b>Not Budgeted for % (#)</b>
PMS	42.1 (16)	13.2 (5)
IT	34.2 (13)	23.7(9)
IT training	26.3 (10)	34.2 (13)
Staff training in PMS	31.6 (12)	26.3 (10)
PMS seminars, workshops and briefing	34.2 (13)	23.7 (9)
Equipment and facilities to assist performance	28.9 (11)	31.6 (12)

Note: Figures in brackets are number of respondents.

### **5.5.5 Acting on PMS: Employee Participation in the Development and Implementation of PMS**

Section C of the survey questionnaire requested managers to rank in order of importance, individuals and teams within and out side the department who participated in the formulation and implementation of PMS. In addition, this part of the questionnaire wanted to ascertain the role of HRM section in PMS process. As shown in Table 5.10, individual and teams were categorised into different groups. Managers were asked to indicate the extent to which employees participated in the formulation and execution of a PMS. According to the 'Best Practice' PMS (HRM), participation of these groups, particularly internal groups, would enhance the success and effectiveness of a PMS (Armstrong and Baron, 1998). As indicated in Table 5.10 below, the PMS Coordinator (52.6 per cent) was ranked the most important person in driving PMS in the department. The HRM section and staff (42.1 per cent) were ranked as next most important in driving PMS, followed by senior and line managers (39.8 per cent). DPSM and BNPC (36.8 per cent) were ranked most important external participants in the PMS process. Managers ranked DPSM, BNPC and external consultant (21.1 per cent) as the least important in driving PMS in the department.

**Table 5.10 Who Drives the PMS Process**

<b>Who drives PMS in the department</b>	<b>Ranked as most important</b>	<b>Frequency (#)</b>	<b>Percent (%)</b>
<b>Most Important</b>			
PMS Coordinator	1	20	52.6
HRM Section	2	16	42.1
Staff	2	16	42.1
Senior and Line Managers	3	15	39.5
DPSM and BNPC	4	14	36.8
DPSM and BNPC and HRM, DPSM and BNPC and external Consultant	5	13	34.2
Team Leaders	6	13	34.2
<b>Least Important</b>			
DPSM, BNPC, HRM and External Consultant	7	12	31.6
DPSM, BNPC, HRM	8	11	28.9
External Consultant	9	10	26.3
DPSM, BNPC and External Consultant	10	8	21.1

Table 5.11 shows the results of questions regarding employee involvement in the planning and designing of a PMS in the department. Managers were asked to indicate the degree to which employees were involved in the planning and designing of PMS in the department. Evidence collected from the department suggests that a high proportion of managers (71.1 percent) felt that the PMS Coordinator was always involved in the planning and designing of PMS in the department. Senior and line managers were said to be always involved (42.1 per cent) in the planning and designing of PMS. Table 5.11 shows that 14 managers (36.8 per cent) said HRM, DPSM and BNPC were usually involved in planning of PMS. When asked to indicate the involvement of staff in PMS planning and designing, 10 managers (26.3 per cent) said employees were usually involved.

**Table 5.11 Participation in PMS Process**

Statement	Always % 1	Usually % 2	Sometimes % 3	Rarely % 4	Never % 5	Mean Score
<b>PMS Planning and Designing</b>						
Staff	7.9	26.3	23.7	23.7	-	2.8
Teams	31.6	18.4	13.2	10.5	-	2.0
PMS Coordinator	71.1	10.5	2.6		-	1.2
Senior and Line managers	42.1	26.3	7.9	13.2	-	1.9
HRM section	26.3	23.7	7.9	13.2	-	2.1
DPSM and BNPC	28.9	15.8	10.5	5.3	-	1.9
HRM, DPSM and BNPC	18.4	36.8	5.3	7.9	-	2.0
DPSM, BNPC and External consultant	23.7	21.1	10.5	10.5	-	2.1
External consultant	15.8	28.9	2.6	18.4	-	2.4

The important role played by the PMS Coordinator in the PMS process department was further emphasised by managers in response to the question regarding the responsibility of different individuals and teams in PMS implementation. As shown in Table 5.12 below, 27 managers (71.1 per cent) said that PMS Coordinator was fully responsible for implementing PMS. The HRM section and Team leaders were said to be fully responsible for implementing PMS (47.4 percent), followed by senior and line managers (42.1 per cent). On the other hand, 17 managers (44.7 per cent) said that staff were partly responsible, as well as DPSM, BNPC and external consultant (39.5 per cent).

**Table 5.12 Responsibility for PMS Implementation**

PMS Implementation (N=38)	Fully Responsible % 1	Partly Responsible % 2	Not Responsible at all % 3	Mean Score
Staff	18.4	44.7	23.7	2.6
Teams	47.5	18.4	10.5	1.5
PMS Coordinator	71.1	18.4	-	1.2
Senior and Line managers	42.1	31.6	7.9	1.6
HRM section	47.4	23.7	7.9	1.5
HRM, DPSM and BNPC	26.3	36.8	5.3	1.7
HRM, DPSM, BNPC and External consultant	26.3	36.8	7.9	1.7
DPSM, BNPC and External consultant	15.8	39.5	13.2	2.0
External consultant	18.4	26.3	23.7	2.1

### 5.5.6 The Role of HRM in PMS process

According to 'Best Practice' PMS (HRM), HRM department or section usually play an important role in PMS process, particularly facilitative and supportive role as opposed to directing and controlling the process. Evidence collected from the Department of Administration of Justice suggests that HRM section did indeed play a part in PMS. As evident from results in Table 5.13 below, slightly more than 50 per cent of managers said HRM section always and sometimes had a role in the planning, designing, implementation and review of PMS in the department. In addition, managers felt that the HRM section played in part in facilitating and supporting PMS and training staff in PMS (Table 5.14). When asked about any other role HRM played in PMS, one manager indicated that HRM usually budgeted for PMS (Table 5.14). Cross tabulation revealed the respondent was the HRM manager in the High Court (Head office).

**Table 5.13 The Role of HRM in PMS Process**

HRM Role	Always%	Usually%	Sometimes%	Rarely	Never%
HRM Planned PMS	42.1 (16)	10.4 (4)	5.3 (2)	-	21.1 (8)
HRM designed PMS	39.5 (15)	13.2 (5)	2.6 (1)	2.6 (1)	2.6 (1)
HRM implemented PMS	31.6 (12)	23.7 (9)	-	5.3 (2)	18.4 (7)
HRM Reviewed PMS	31.6 (12)	15.8 (6)	7.9 (3)	-	23.7 (9)

Note: Figure in brackets represents frequencies in number of respondents.

**Table 5.14 The Role of HRM in PMS**

HRM Role	Always %	Usually %	Sometime s%	Rarely %	Never %
HRM facilitate and support staff in PMS	21.1 (8)	23.7 (9)	7.9 (3)	10.5 (4)	18.4 (7)
HRM direct and control PMS	18.4 (7)	15.4 (6)	18.4 (7)	7.9 (3)	21.1 (8)
HRM train staff in PMS	10.5 (4)	15.8 (6)	21.1 (8)	10.5 (4)	23.7 (9)
Other Role of HRM: Budgeting for PMS	-	2.6 (1)	-	-	-



### 5.5.7 A Task Force for PMS

When asked whether there was a PMS Task Force in the department, 34.2 per cent of managers answered in the affirmative (Table 5.15). As shown in Table 5.16 below, the Task Force played a part in the planning, implementation, review and an advisory role in PMS.

**Table 5.15 Task Force for PMS**

Task Force	Frequency	Percent
Yes	13	34.2
No	17	44.7

**Table 5.16 The role of Task Force in PMS**

Task Force Role	Always%	Usually%	Sometimes%	Rarely%	Never%
Task Force plan PMS	15.8 (6)	13.2 (5)	18.4 (7)	2.6 (1)	5.3 (2)
Task Force Implement PMS	15.8 (6)	13.2 (5)	10.5 (4)	5.3 (2)	7.9 (3)
Task Force Review PMS	10.5 (4)	10.5 (4)	10.5 (4)	5.3 (2)	13.2 (5)
Task Force advise on PMS	13.2 (5)	5.3 (2)	13.2 (5)	7.9 (3)	15.8 (6)

Note: 17 managers did not respond to this question.

### 5.5.8 Time Frame for Developing, Implementing and Reviewing PMS

Table 5.17 below shows that majority of managers indicated it took the department more than one year but less than two years to formulate mission-vision, strategic plan, set targets and implement PMS. Some managers (18.4 per cent) indicated it took less than nine months to review roles and goals of the department. Regarding the review of PMS, 13.2 per cent of managers indicated it took the department one year, as well as more than one year but less than two years to review PMS. The same percentage of managers (13.2 per cent) said the task of PMS review was never carried out. Some managers indicated other time frame or task, for example, one manager wrote 'PMS exist at the high court only, it is not active at magistrate court'. Another manager

wrote PMS implementation and review was 'on-going', while other managers wrote 'inadequately informed' 'no comment', 'not involved, 'no idea' and 'not sure'. One manager wrote that 'all this was basically done at the High Court through a team set up to review PMS without much input from us'. Surprisingly, one manager wrote that performance targets were set 'in one day'.

**Table 5.17 Time Frame for Developing, Implementing and Review PMS**

PMS Process	Time Frame	Frequency % (#)
Develop mission-vision	> 1 year but < 2 years	21.1 (8)
Review roles, objectives and goals	< 9 months	18.4 (7)
Develop strategic plan	> 1 year but < 2 years	21.1 (8)
Identify KPIS	> 1 year but < 2 years	15.8 (6)
Setting of targets	> 1 year but < 2 years	13.2 (5)
Planning PMS	> 1 year but < 2 years	18.4 (7)
Designing PMS	> 1 year but < 2 years	21.1 (8)
Implementing PMS	> 1 year but < 2 years	15.8 (6)
Evaluating/Review PMS	1 year,	13.2 (5)
Evaluating/Review PMS	<1 year but < 2 years	13.2 (5)
Evaluating/Review PMS	Task not carried out	13.2 (5)

**Table 5.18 Time Frame for Developing, Implementing and Review PMS**

PMS Process	1 %	2 %	3 %	4 %	5 %	6 %	7 %	8 %	Mean Score
Develop mission-vision	5.3	5.3	7.9	7.9	13.2	21.1	2.6	5.3	4.8
Review roles, objectives	2.6	10.5	5.3	18.4	7.9	15.8	5.3	5.3	4.5
Develop strategic plan	5.3	7.9	2.6	7.9	15.8	21.1	2.6	2.6	4.7
Identify KPIS	2.6	7.9	7.9	7.9	15.8	2.6	2.6	2.6	4.4
Setting of targets	7.9	5.3	10.5	5.3	10.5	13.2	2.6	2.6	4.2
Planning PMS	2.6	5.3	2.6	13.2	7.9	18.4	7.9	2.6	5.0
Designing PMS	2.6	5.3	7.9	5.3	5.3	21.1	7.9	2.6	5.0
Implementing PMS	5.3	7.9	5.3	5.3	5.3	15.8	10.5	2.6	4.8
Evaluating/Review PMS	-	-	7.9	7.9	13.2	13.2	13.2	2.6	5.5

Note: Between 12 to 16 managers did not respond.

- 1=less than 1 month
- 2=less than 3 months
- 3=less than 6 months
- 4=less than 9 months

- 5=1 year
- 6=more than 1 year but less than 2 years
- 7=task was not carried out
- 8=other time frame and task

### 5.5.9 PMS Evaluation and Review

When asked to indicate whether the department had reviewed PMS since it was introduced in 1999, 14 managers (36.8 per cent) answered in the affirmative (Table 5.19). Regarding the question of how often PMS was reviewed, 31.6 per cent of managers said that PMS was reviewed every quarter, while 13.2 per cent said PMS was reviewed every year (Table 5.20). Indications from managers were that the department used team discussions, formal and informal feedback to review PMS (Table 5.21). Cost-benefit analysis, attitude surveys and questionnaires were least methods the department used to review PMS. Three managers said that annual judicial conference was another method the department used to review PMS. As shown in Table 5.22, a third of managers said recommendations from PMS review were that the department should continue with but improve existing PMS. When asked what changes were made to existing PMS after review, improvement in service delivery (13.2 per cent), goals and objectives (7.9 per cent), performance indicators (5.3 per cent) and develop staff and the department (7.9 per cent) were said to be some of the changes made after PMS was reviewed (Table 5.24). Though 36.8 per cent of managers indicated in Table 5.19 that PMS was reviewed, 57.9 per cent of managers responded to the next question as shown in Table 5.20.

**Table 5.19 Has PMS been reviewed?**

Yes 14 (36.8 %)
No 12 (31.6 %)

Note: 12 managers did not respond to this question.

**Table 5.20 Frequency of Performance Management System Reviewed**

PMS Review	Every Quarter %	Every Six Months %	Every Year %	Every Two Years %	Every Five Years %	Cumulative % (#)
How often is PMS Reviewed?	31.6	7.9	13.2	2.6	2.6	57.9 (22)

Note: 16 managers did not respond.

**Table 5.21 Methods to Review Performance Management System**

Methods to Review PMS	Always used % 1	Usually used % 2	Sometimes Used % 3	Rarely Used % 4	Never Used % 5	Mean Score
Cost-benefit analysis*	7.9	-	7.9	2.6	15.8	3.5
Attitude Surveys*	7.9	7.9	7.9	-	18.4	3.9
Questionnaires*	5.3	5.3	5.3	5.3	15.8	3.6
Team Discussions*	15.8	13.2	2.6	-	7.9	2.3
Formal Feedback*	10.5	7.9	18.4	-	5.3	2.6
Informal Feedback*	10.5	-	5.3	7.9	7.9	3.1
Specify Other Methods: Annual Judicial Conference* *	2.6	5.3	-	-	-	1.7

Note: \* 22-26 managers did not respond.

\*\* 35 managers did not respond.

**Table 5.22 Recommendation from Performance Management System Review**

Recommendations from PMS Review	Frequency % (#)	Cumulative %
Continue with PMS	10.5 (4)	10.5
Improve existing PMS	7.9 (3)	18.4
Continue but improve existing PMS	28.9 (11)	49.3
Discard existing PMS	2.6 (1)	51.9*

Note: \*Less than 100 per cent as not all managers responded to this question.

**Table 5.23 Were Changes made to existing Performance Management System Review?**

Were changes made to existing PMS	
Yes	6 (15.8 %)
No	10 (26.3 %)

Note: 22 managers did not respond to this question.

**Table 5.24 What changes were made to existing Performance Management System**

Changes made to existing PMS	Frequency % (#)	Cumulative %
Improvement in service delivery	13.2 (5)	13.2
Goals and objectives	7.9 (3)	21.1
Performance indicators changed	5.3 (2)	26.4
Develop staff and department	7.9 (3)	34.3

Note: \*Less than 100 per cent as not all managers responded to this question.

### 5.5.10 Key Performance Indicators and Performance Measures

Section F of the survey questionnaire requested managers to indicate whether the department used performance measures and indicators suggested in the 'Best Practice' PMS (HRM). There are various PMS frameworks organisations can select and base

their PMS and measure organisational performance. Organisations can select from traditional and non-traditional measures, with multiple measures and perspectives for example Profitability, Return on Investment, Balance Score Cards (BSC), Key Performance Indicators (KPI), Best Value and EFQM (Armstrong and Baron, 1998; Olve et al., 2000; Gibb, 2002; Radnor and Lovell, 2003 and others). In this research, the BSC framework was used in the questionnaire in order to explore the PMS framework existing in the Department of Administration of Justice (Olve et al., 2000; Gibb, 2002). Managers were requested to indicate whether the Department of Administration of Justice used any of the suggested performance indicators and measures. The performance measures were categorised according to BSC perspective, entailing Finance, Customer Based, Internal Processes and Development, Renewal and Development and HRM/Employee (Olve et al., 2000).

As indicated in Table 5.25 below, managers said the department used some of the Financial, Customer, Internal Processes and Development, Renewal and Development and HRM/Employee performance measures suggested in the survey questionnaire. More than 50 per cent of managers indicated the department used key performance indicators listed under Customer-based measures. Customer based measures used by the department include number of cases handled (57.9 per cent), average time on a case (55.3 percent), number of complaints (50.0 per cent) and customer satisfaction (60.5 per cent). In relation to performance measures categorised under Internal Processes and Development, on time delivery (50.0 per cent) was the most frequently used measure by the department, followed by average time for decision-making per case (47.4 per cent), improvement in productivity (47.4 per cent) and number of cases reversed on appeal by a High Court (42.1 per cent). Regarding HRM/Employee

measures, managers indicated ability to use computerised system (26.3 per cent) and opportunity for advancement (26.3 per cent) were most frequently used by the department. Managers were undecided when asked to indicate whether the department used HRM performance measures relating to number of employees and average absenteeism. The least frequently used performance measures include attitude surveys (36.8 per cent) and cost of administrative errors/management revenues (31.6 per cent).

**Table 5.25 Key Performance Indicators**

<b>Key Performance Indicators</b>	<b>Used %</b>	<b>Not Used %</b>	<b>Don't now/ No response</b>
<b><u>Financial</u></b>			
Total costs, actual compared to budget	28.9 (11)	18.4 (7)	52.6 (20)
<b><u>Customer Based</u></b>			
Number of Cases handled (no.)	57.9 (22)	5.3 (2)	36.8 (14)
Average time on a case (no.)	55.3 (21)	10.5 (4)	34.2 (13)
Number of complaints (no.)	50.0 (19)	13.2 (5)	36.8 (14)
Customer satisfaction	60.5 (23)	7.9 (3)	31.6 (12)
<b><u>Internal Process and Development</u></b>			
On time delivery	50.0 (19)	15.8 (6)	34.2 (13)
Average time for decision making per case	47.4 (18)	13.2 (5)	39.5 (15)
Improvement in productivity	47.4 (18)	21.1 (8)	31.6 (12)
Cost of administrative errors/management revenues (%)	15.8 (6)	31.6 (12)	52.6 (20)
Cases handled without error (no.)	34.2 (13)	21.1 (8)	44.7 (17)
Number of cases reversed on appeal by a High Court (as an indicator of quality of service of the lower court) (no.)	42.1 (16)	18.4 (7)	39.5 (15)
<b><u>Renewal and Development</u></b>			
Improved management of work	39.5 (15)	15.8 (6)	44.7 (17)
Competencies	39.5 (15)	13.2 (5)	47.4 (18)
Information Technology (IT) investment (£)	28.9 (11)	21.1 (8)	50.0 (19)
Investment in training (£)	26.3 (10)	23.7 (9)	50.0 (19)
Suggested improvements/employee (no.)	36.8 (14)	18.4 (7)	44.7 (17)
<b><u>HRM/Employee</u></b>			
Number of employees (no.)	26.3 (10)	26.3 (10)	47.4 (18)
Employee turnover (no.)	23.7 (9)	26.3 (10)	50.0 (19)
Average years of service with organisation (no.)	15.8 (6)	31.6 (12)	52.6 (20)
Average age of employee (no.)	18.4 (7)	28.9 (11)	52.6 (20)
Time in training (days and year) (no.)	23.7 (9)	28.9 (11)	47.4 (18)
Average absenteeism (no.)	23.7 (9)	23.7 (11)	52.6 (20)
Number of women managers (no.)	23.7 (9)	26.3 (10)	50.0 (19)
Attitude surveys	10.5 (4)	36.8 (14)	52.6 (20)
Opportunity for advancement	26.3 (10)	21.1 (8)	52.6 (20)
Ability to use computerised system	39.5 (15)	18.4 (7)	42.1 (16)

### 5.5.11 Other Key Performance Indicators used by the Department

When asked to indicate whether there were any other performance indicators or measures used by the department not covered in the suggested list, 3 managers answered in the affirmative (Table 5.26). Table 5.27 shows other key performance indicators identified by 3 managers. Surprisingly, one manager wrote that ‘these performance indicators were in place long before PMS’.

**Table 5.26 Other Key Performance Indicators used by the Department**

<b>Other KPI used by the Department</b>	
Yes	7.9 (3)
No	42.1 (16)

Note: 19 managers did not respond

**Table 5.27 Other Key Performance Indicators used by the Department**

<b>Other Key Performance Indicators</b>
Payment to witnesses
Witness fees
Staff consideration in promotion.
Probation period
Time for staff confirmation
Staff meetings (quarterly)
<b>Other Response</b>
These performance indicators have been in place long before PMS

Note: 4 managers responded to this question.

### 5.5.12 Future key performance indicators for the Department

When asked whether the department’s key performance indicators were likely to change in the future, 21.1 per cent of managers answered in the affirmative (Table 5.28). Table 5.29 show future key performance indicators for the department. A very

small proportion of managers, indicated they did not know (2 managers), not aware (1 manager) and ‘only if PMS and action (“meet”) and put into operation’ (1 manager).

**Table 5.28 Are Key Performance Indicators Likely to change?**

<b>Are KPIS likely to change</b>	
Yes	21.1 (8)
No	55.3 (21)

**Table 5.29 Future Key Performance Indicators for the Department**

<b>Future Key Performance Indicators</b>
Victim orientation
Reduction of backlog
Completion of criminal cases within 4 months
Registration of all cases immediately upon receipt
Making the courts user friendly
Making courts accessible
Maximum access to system by customers
To sensitise all judicial officers on issues of gender and children of all social groups
Establish specific courts for traffic
Skills development
Retain competent staff

### 5.5.13 PMS Outcomes

This section of the survey questionnaire wanted to explore managers’ views regarding outcomes of PMS in the department. In the survey questionnaire, managers were asked to indicate the extent to which they agreed or disagreed with statements regarding outcomes of PMS in the department. As shown in Table 5.30, 31.6 per cent of managers agreed that PMS had improved quality of service provided by the department while almost the same number were ambivalent (28.9 per cent). When asked whether the department leadership has improved since PMS was introduced, 42.1 per cent of managers disagreed with the statement. Almost one third of managers (28.9 per cent) felt management and staff were not motivated by PMS, while 26.3 were undecided. A third of managers were undecided when asked whether PMS had



improved productivity, developed staff skills and competencies, equal opportunities and reduced staff turn over. Almost half of managers surveyed were neutral regarding the impact of PMS on the department's budget. As shown in Table 5.31, only 7.9 per cent of managers indicated that the department is likely to make changes to PMS in the next twelve months.

**Table 5.30 Performance Management System Outcomes**

Statement	Agree % 1	Strongly Agree % 2	Neither % 3	Disagree % 4	Strongly Disagree % 5	Mean Score
PMS has improved productivity.	23.7	5.3	21.1	23.7	5.3	2.8
PMS has led to improvement in the quality of service provided by the department	21.1	10.5	28.9	18.4	2.6	2.7
PMS has helped the department operate within budget	7.9	5.3	47.4	15.8	2.6	2.0
PMS has developed staff skills and competencies.	18.4	10.5	31.6	18.4	2.6	2.7
The department's leadership has improved since PMS was introduced.	21.1	5.3	13.2	23.7	18.4	3.2
PMS has led to improvement in equal opportunities for staff (e.g. gender balance in management positions).	10.5	2.6	34.2	15.8	13.2	3.2
Management and staff are motivated by PMS.	18.4	5.3	26.3	18.4	10.5	3.0
PMS has led to a reduction in staff turnover.	5.3	2.6	31.6	13.2	18.4	3.5

**Table 5.31 Is the PMS Likely to Make Change in the next 12 months?**

<u>Is PMS likely to change?</u>	
Yes	7.9 (3)
No	26.3 (10)

Note: 25 did not respond to this question.

#### 5.5.14 Overall Effectiveness of PMS in the Department

When asked to rate the overall effectiveness of PMS in the department, 38.3 per cent of managers rated PMS very to moderately effective (Table 5.32). While 31.6 per cent of managers rated PMS neither effective nor ineffective.

**Table 5.32 Effectiveness of Performance Management System**

Statement	Very Effective %	Moderately Effective %	Neither Effective nor Ineffective %	Ineffective %	Very Ineffective %	Cumulative % (#)
How effective is PMS? *	7.9	31.6	31.6	13.2	2.6	86.9 (33)

Note: \* 5 managers did not respond to this question.

### 5.5.15 Overall Effectiveness of the Department of Administration of Justice

When asked to rate the overall effectiveness of the department, 71 per cent of managers rated the department moderately to very effective (Table 5.33).

**Table 5.33 Effectiveness of the Department of Administration of Justice**

Statement	Very Effective %	Moderately Effective %	Neither Effective nor Ineffective %	Ineffective %	Very Ineffective %	Cumulative % (#)
On the overall, is the department effective? *	18.4	52.6	15.8	7.9	2.6	97.1 (37)

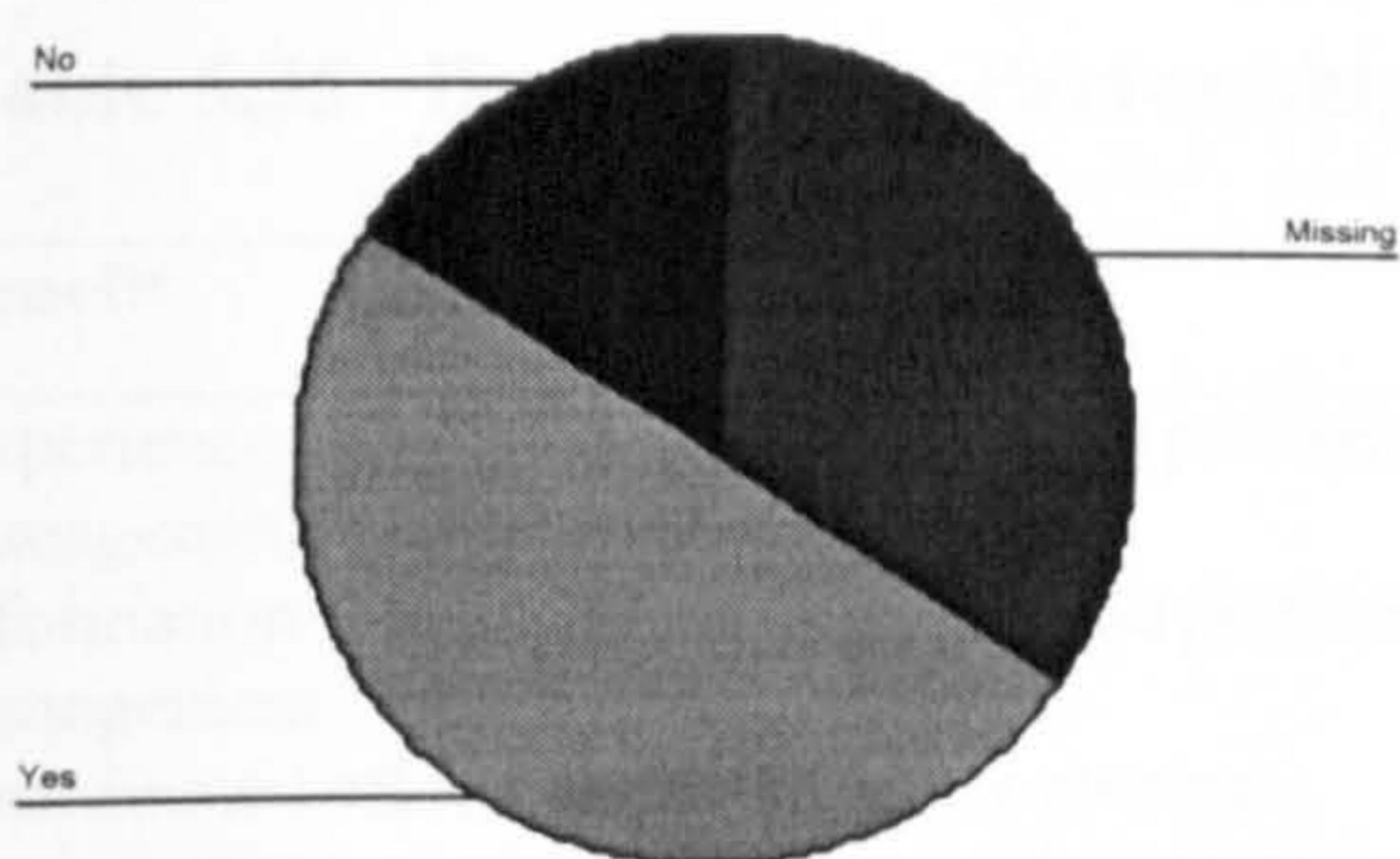
Note: \* 1 manager did not respond to this question.

### 5.5.16 Partnerships with Other Organisations

When asked if the department maintained any partnerships with other institutions, agencies and organisations for purposes of PMS, 19 managers (50.0 per cent) answered in the affirmative (Figure 5.1). Table 5.34 shows that government (36.8 per cent), law firms (31.6 per cent) and the BNPC (23.7 per cent) were ranked the most important organisations the department maintained partnerships with. Government

departments ranked the most important include the Police Department, Prosecutors, Prisons and Rehabilitation, Social Welfare and Community Development, Health (Mental Health and Pathology) and Attorney General's Chambers. International (5.3 per cent), regional (SADC) (5.3 per cent) and amnesty (2.6 per cent) organisations were ranked as the least important the department maintained partnership with.

**Figure 5.1 Any Partnerships with other Institutions**



Note: Missing data represents managers who did not respond to this question or said they did not know.

**Table 5.34 Partnerships with Other Organisations**

Organisation	Ranked as Most Important	Frequency %
<b>Most Important</b>		
Government	1	38.6
Law Firms	2	31.6
Botswana National Productivity Centre	3	23.7
Botswana Law Society	4	18.4
Customary Courts/Tribal Courts	5	15.8
Academia	6	5.3
<b>Least Important</b>		
International	7	5.3
Regional (SADC)	8	5.3
Amnesty	9	2.6

Note: 17 managers did not respond.

### 5.5.17 Benefits from Partnerships

When asked how the department had benefited from partnerships with organisations, majority of managers said the department benefited through experience and information sharing on performance and performance management as well as through coordinated efforts and intelligence sharing (Table 5.35). Some managers indicated that there were minimal benefits for the department from membership to legal treaties and multilateral conventions.

**Table 5.35 Benefits from Partnerships**

Benefit	High %	Moderate %	Low %	No Benefit At all %
Experience sharing on performance and performance management	31.2	13.2	10.5	-
Information sharing on performance and performance management	28.9	13.2	10.5	-
Coordinated efforts and intelligence sharing	13.2	23.7	10.5	5.3
Cooperation in national, regional and international law enforcement	5.3	15.8	18.4	5.3
Member of legal treaties and international; conventions	7.9	2.6	10.5	21.1

### 5.5.18 PMS Challenges

In relation to challenges of introducing PMS in the department, managers were asked to list up to 4 challenges. This was an open-ended question. Responses were coded and categorised according to themes that emerged from the responses. As shown in Table 5.36 below, the major challenges that emerged were HRM issues, for example training and education in PMS, ownership, support and commitment. Lack of motivation and resistance to change were said to be additional challenges of introducing PMS in the department. Challenges that did not fall into the five categories were classified under 'other' challenges.

**Table 5.36 Challenges of Introducing PMS in the Department**

Challenge	Frequency of Mention %
Train and educate staff in PMS	34.2
Ownership, support & commitment	18.4
HRM issues	84.2
Resistance to change	13.1
Lack of motivation	8.9
Other challenges	31.5

### 5.5.19 Comments from Managers

Table 5.37 shows comments managers wrote regarding PMS process and practice in the department. Factors relating to lack of training in PMS, shortage of resources and lack of staff involvement emerged. One manager wrote that PMS was a ‘disruptive process’ while another manager wrote that ‘staff performance was affected by performance of stakeholders such as the Police, Prisons and attorneys’.

**Table 5.37 Managers Comments Regarding Performance Management System**

Comments of Managers	Frequency Of Mention (#)
Non Involvement of staff	1
PMS is disruptive	1
Staff performance is affected by performance of others, e.g. Police, Prisons, lawyers and health	1
Staff comments not incorporated into PMS	1
Lack of education and training in PMS	2
Shortage of staff and resources	2

The above empirical evidence suggests that the Department of Administration of Justice had, to a certain degree, followed the core process when formulating PMS. Managers indicated the department observed the internal and external environment in order to identify performance management needs for the department. For example, 52 per cent of managers indicated that the department reviewed its mission and vision statement, 47 per cent said the department’s roles and objectives were reviewed, 60 per cent said customer needs were examined while 57 per cent indicated that customer

needs were incorporated into PMS. The department used a variety of methods to review PMS. For example 36.8 per cent of managers indicated that the department reviewed PMS and used written reports, interviews and meetings to review PMS. There were indications that the department used the annual judicial conference as another method to review PMS. Managers indicated that methods to monitor and review PMS were identified during the designing and planning of PMS (47.4 per cent). Managers felt that PMS had benefited the department in terms of setting specific goals and objectives (65.5 per cent), develop clear mission-vision statements (68.4 per cent) and helped the department develop clear key performance indicators and measures (60.5 per cent). Some managers felt that PMS had improved management skills in the department (42.2 per cent). However, 47.3 per cent of managers felt that PMS objectives were not communicated well to all staff, PMS had not helped staff set challenging goals (36.9 per cent), PMS was bureaucratic and time consuming, (36.8 per cent) and that PMS had not improved communication between management and staff (38.8 per cent). Managers indicated that the main reasons for introducing PMS were improving service delivery (63.2 per cent) and increasing productivity (60.5 per cent).

The PMS Coordinator for the department played an important role in the PMS process as indicated by 71.1 per cent of managers. Managers also indicated that the department had a framework of performance measures and key performance indicators. For example, managers indicated that the department used performance indicators such as customer satisfaction (60.5 per cent), number of cases handled (57.9 per cent), average time on case (55.3 per cent), number of complaints (50.3 per cent). Regarding PMS outcomes, managers were undecided about most the outcomes

suggested in the survey questionnaire. For example, a third of managers were undecided when asked if PMS had improved productivity in the department and whether PMS had improved staff skills and competencies. Almost 40 per cent of managers rated the effectiveness of PMS as moderately to very effective (38.3 per cent), while a third of managers rated PMS as neither effective nor ineffective (31.6 per cent). Regarding the overall effectiveness of the department, an overwhelming 71 per cent of managers rated the department moderately to very effective. Managers indicated that the department had partnerships with other government departments, particularly the departments of Police, Prosecutors, Prisons and Rehabilitation, Health Social and Welfare and the Attorney General. The most frequently mentioned challenges of introducing PMS in the department were HRM issues (84.2 per cent), related to training and educating staff in PMS, ownership, support and commitment.

## **5.6 Survey Questionnaire for Non-Supervisory Employees**

As mentioned in the introductory section of this chapter (Section 5.1), a different questionnaire was designed for non-management employees in the Department of Administration of Justice. The questionnaire for non-supervisory staff was to obtain staff perceptions regarding the extent to which they were involvement in the formulation, implementation and review of PMS in the department. The survey questionnaire was divided into two sections, comprising Sections A and B. The first part of Section A requested employees to indicate the extent to which they agreed or disagreed with statements regarding participation in the PMS process. The second part had statements regarding benefits of a PMS to employees and the department. In the third part of Section A, non-management staff were asked to indicate the extent to which they agreed or disagreed with statements regarding factors that affect employee

performance and performance management in the department. The fourth part requested employees to indicate how they felt about outcomes of a PMS in the department. The fifth part of Section A asked employees to indicate how effective they thought PMS was, as well to give an indication of the overall effectiveness of department. Employees were also accorded the opportunity to express elements they liked and did not like about PMS, as well as to disclose comments they might have had regarding PMS process and practice in the department. Section B of the survey questionnaire was based on attributes of respondents, including gender, age, education, position and number of year of work experience.

### **5.6.1 Characteristics of Employees below Supervisory Level**

As shown in Table 5.38, 112 non-management staff in the Department of Administration of Justice responded to the survey questionnaire. There was a total of 210 non-management staff in the department. The overall response rate was 53 per cent. A high proportion of respondents were female (67 per cent). Almost 50 per cent of respondents had secondary school qualifications while almost a third had vocational training, for example in court reporting and interpreting. Only 7 per cent of non-management employees had university degrees. The highest respondents in the non-management staff category were clerical staff (44.6 per cent), followed by Court Interpreters (19 per cent) and Court Reporters (13 per cent) (Figure 5.6). Regarding age composition of respondents, the average age was 31 years ranging from 18 to 52 years (Table 5.39 and Figure 5.2). The average work experience in the department was 6 years, ranging from less than 1 year to 21 years (Figure 5.3 to Figure 5.5).



**Table 5.38 Non-Management Staff Profile**

Attributes		Number (N=112)	Percent (%)
<b>Gender</b>	Male	30	26.8
	Female	75*	67.0
<b>Education</b>	Some Secondary School	18	16.1
	Completed Secondary School	36	32.1
	Vocational	33	29.5
	Undergraduate Degree	8	7.2
<b>Position</b>	Court Reporter	14	12.5
	Court Interpreter	21	18.8
	Administration	8	7.1
	Clerical	50	44.6
	Court Bailiff	7	6.3
<b>Age (Range) 18-52 years</b>			
<b>Years of Work Experience (Range) &lt;1 year to 21 years</b>			

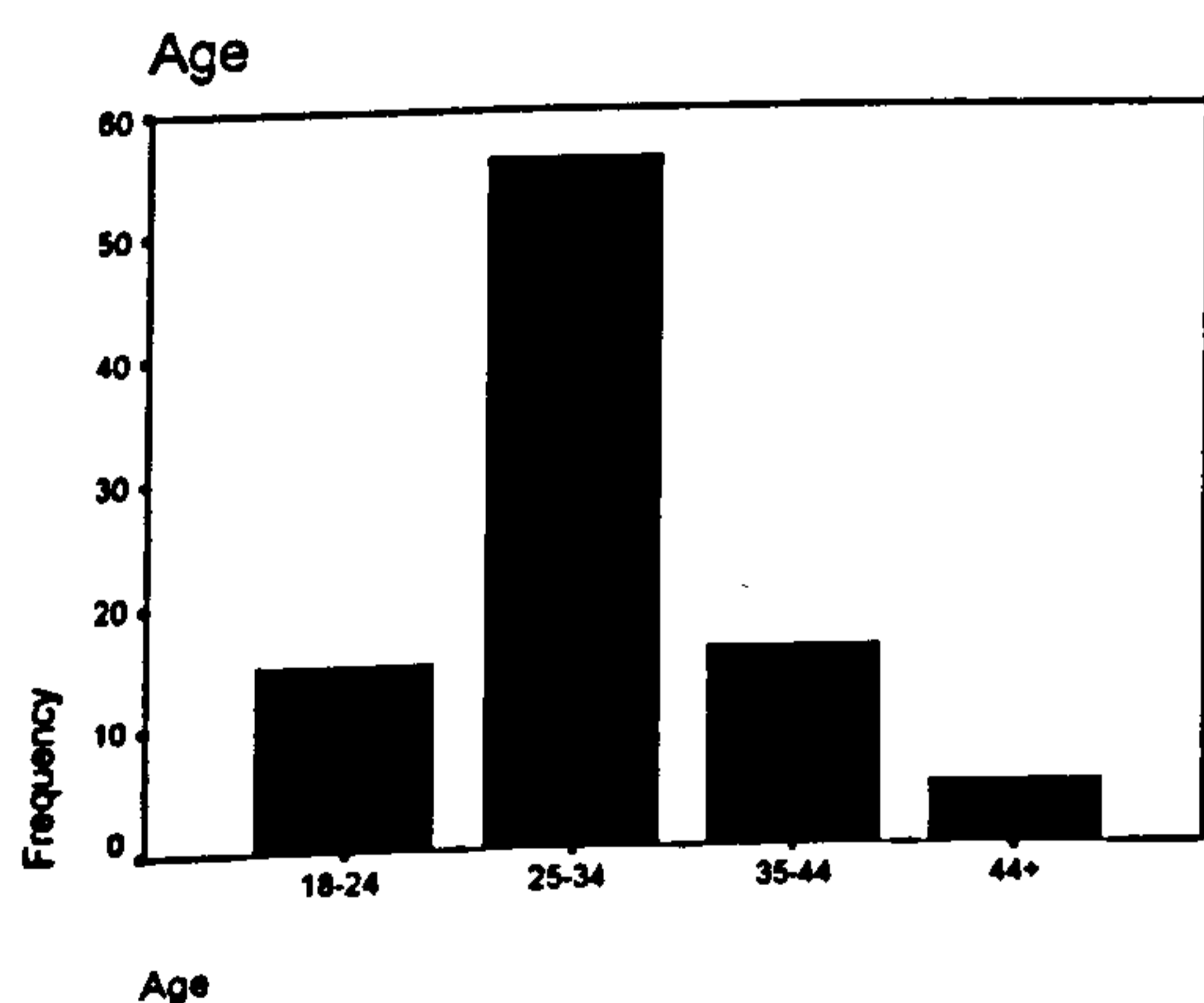
Note: \*Less than 100 per cent as not all staff responded to this question.

**Table 5.39 Descriptive Statistics of Non- Supervisory Staff**

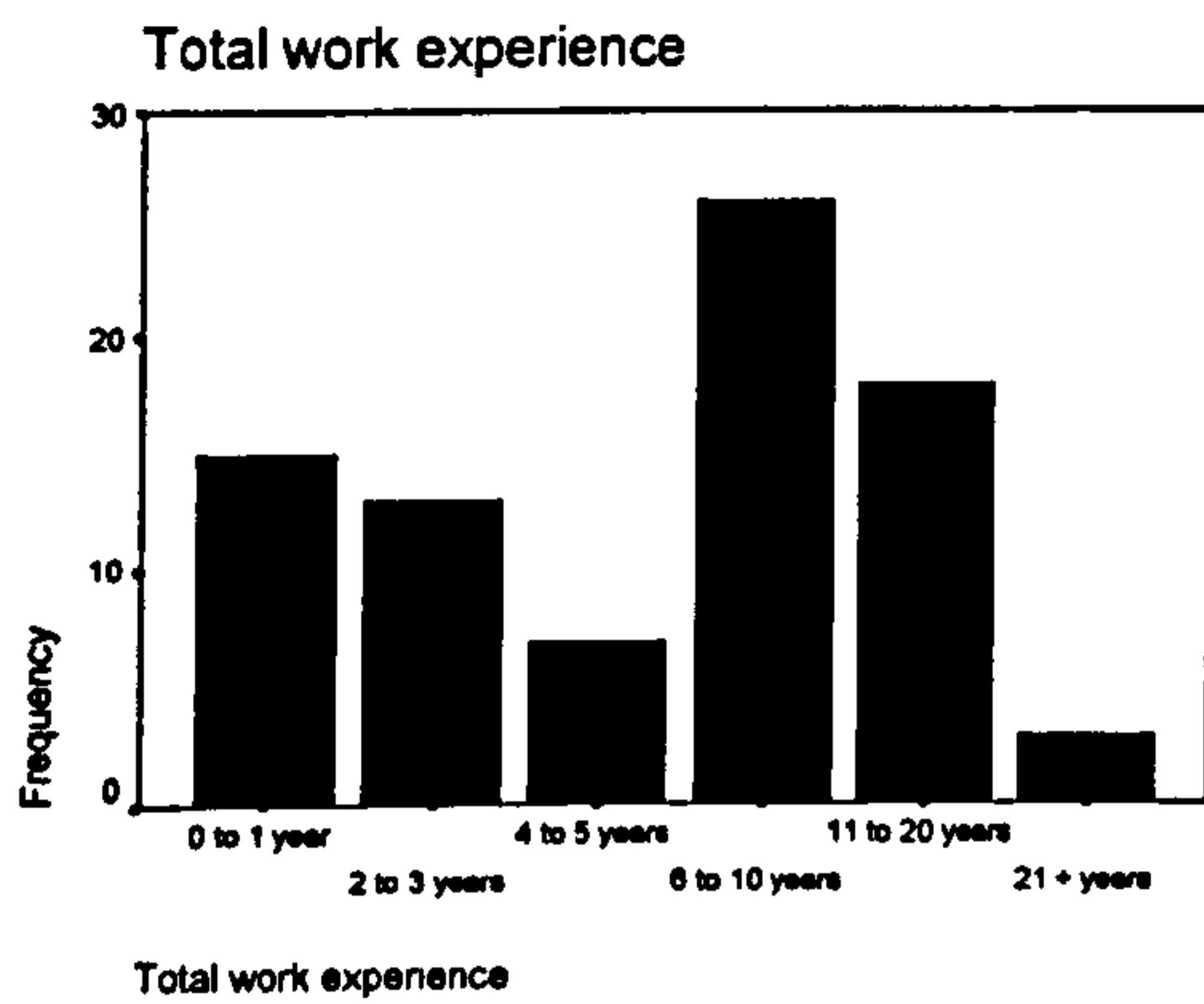
**Descriptive Statistics**

	N	Minimum	Maximum	Mean	Std. Deviation
Age	92	18	52	30.57	6.855
Total work experience	82	1	21	7.40	5.511
Government work experience	89	1	21	6.91	5.412
DAOJ work experience	87	1	21	5.56	5.184
Experience in current section/unit	86	1	21	4.98	5.090
Valid N (listwise)	64				

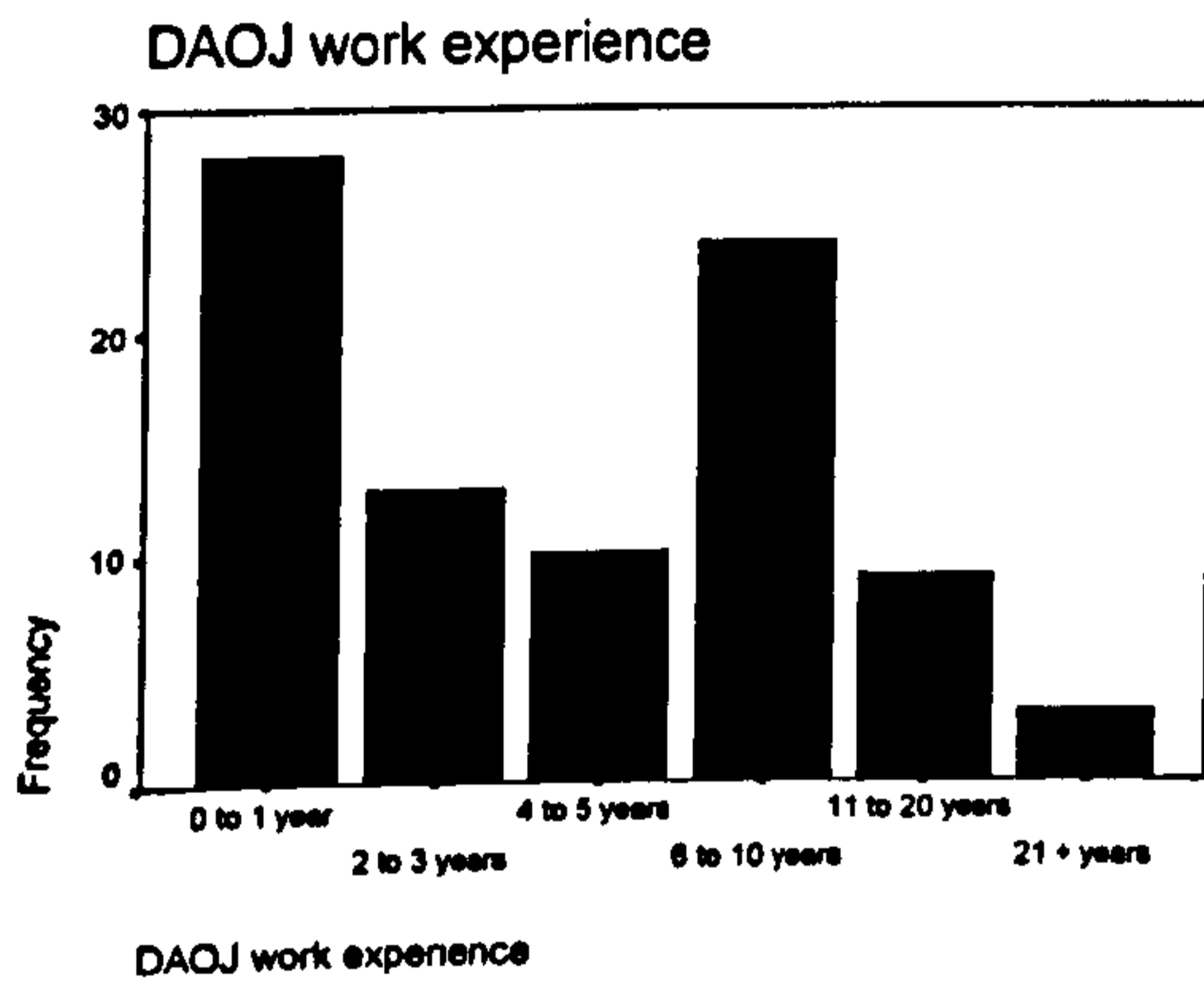
**Figure 5.2 Age of Non-Management Staff**



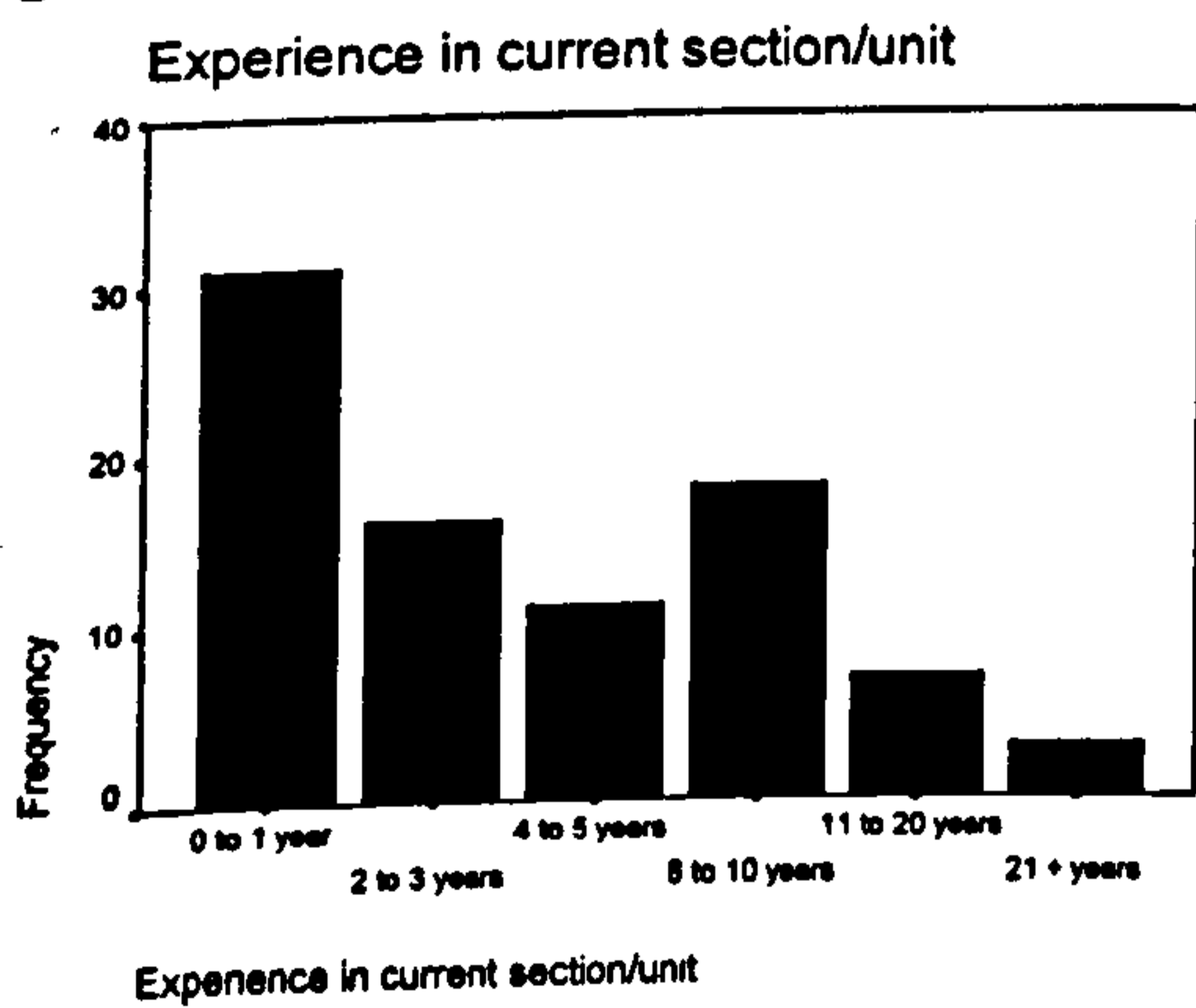
**Figure 5.3 Total Years of Work experience: Non-Management Staff**



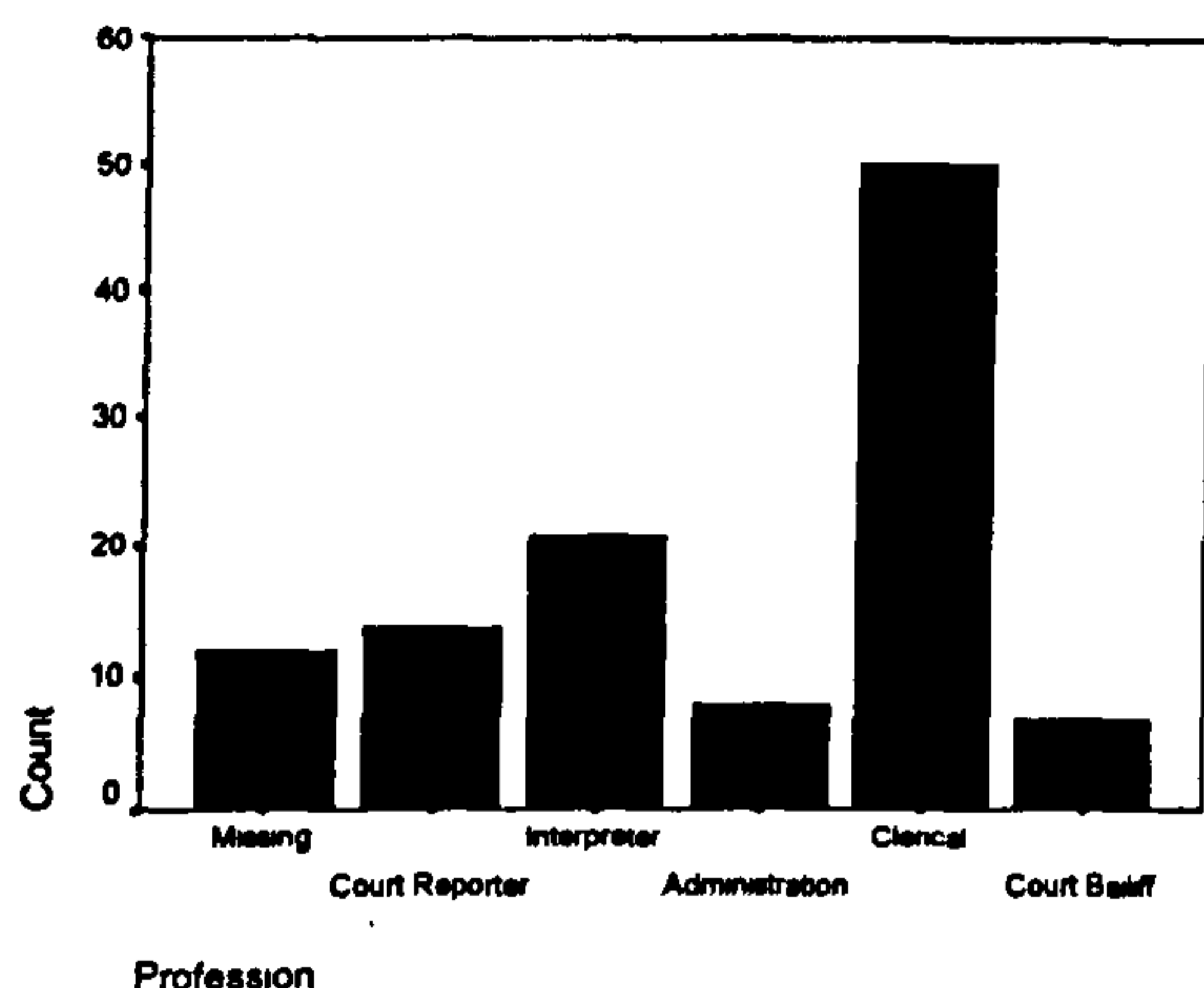
**Figure 5:4 Work Years of Work Experience in the Department of Administration of Justice: Non-Management Staff**



**Figure 5.5 Years of Work Experience in Current Unit: Non-Management Staff**



**Figure 5.6 Profession of Non-Management Staff**



### 5.6.2 Non-Management Staff: Reliability Test

A reliability test was conducted on the scale and items in the scale to check for internal consistency of scale and items in the scale (Pallant 2001). Table 5.40 shows results of reliability test. As indicated in Table 5.40, all scales and items in the scale were reliable as evident from the cronbach's alpha of well over the recommended .7.

**Table 5.40 Non-Management Staff: Test of Reliability**

Construct/Scale	Number of Items	Cronbach 's Alpha
Employee Participation in PMS	6	.9463
Planning for PMS	5	.8300
Benefits of PMS: Individual	8	.9596
Benefits of PMS: Departmental	5	.8278
Factors that affect performance and performance management	16	.8820
PMS Outcomes	8	.9131

### 5.6.3 Employee Participation in the Development and Implementation of a PMS

According to the 'Best Practice' PMS (HRM) employee participation is an important component of the PMS process. The questionnaire for non-supervisory staff was to ascertain the extent to which employees were involved in the formulation, implementation and review of PMS in the department. According to Table 5.41

below, almost half of employees surveyed indicated they were never consulted during the planning of PMS (48.2 per cent). When asked to indicate whether they were consulted during the development of the mission-vision statements 41.1 per cent said they were never consulted. However, 58.3 per cent of employees admitted they were consulted during the development of the strategic plan, while 38.4 per cent said they were never consulted. Almost 50 per cent of employees said staff comments were never incorporated into PMS (47.3 per cent). Regarding participation in PMS review, 47.3 per cent of staff surveyed said they had never participated. Half of employees surveyed indicated that their unit and section were never represented in the PMS Task Force or Working Team.

**Table 5.41 Staff Consultation and Participation in Performance Management System Process**

Statement (N=112)	Always %	Usually %	Some Times %	Rarely %	Never %	No Idea/ New staff %	Other %	Cum Freque ncy
	1	2	3	4	5	6	7	
<b><u>PMS Planning/Design</u></b>								
Employees were consulted in the development of								
Mission-Vision	8.0	6.3	20.3	11.6	41.1	7.1	.9	95.5*
Strategic Plan	4.5	14.3	17.9	11.6	38.4	8.0	.9	95.5
PMS planning	8.9	6.3	15.2	8.0	48.2	8.0	.9	95.5
Staff comments were incorporated	7.1	8.9	10.7	8.0	47.3	8.9	.9	95.5
My unit/section was represented in the PMS Task Force/Working Team	11.6	8.9	7.1	7.1	50.0	8.9	.9	95.5
<b><u>PMS Review</u></b>								
Participation in PMS review	7.1	9.8	13.4	8.9	47.3	8.0	.9	95.5

Note: \* Less than 100 per cent as not all person (s) responded to the question.

#### 5.6.4 Planning for a PMS

As indicated in Table 5.42 below, employee's felt that PMS was not accorded sufficient planning regarding resources as suggested in the 'Best Practice' PMS

(HRM). As shown in Table 5.42, 57.2 per cent of staff disagreed that employees received adequate training in PMS. Furthermore, 42.9 per cent of staff felt that employees were not adequately briefed before PMS was implemented. Though 42 per cent of employees were neutral when asked whether the department adequately planned and budgeted for PMS. This might imply lack of information by non-supervisory staff regarding the departmental budgetary and planning process. When asked whether facilities to assist staff performance were adequately planned and budgeted for, 45 per cent of staff disagreed. The same number of employees disagreed that time away from office to attend PMS matters was planned for (45 per cent).

**Table 5.42 Planning for a Performance Management System**

Statement	Agree	Strongly Agree	Neither	Disagree	Strongly Disagree	Cumulative %	Mean Score
	% 1	% 2	% 3	% 4	% 5		
PMS was adequately planned and budgeted for before implementation.	10.7	1.8	42.0	20.5	12.5	87.5*	3.3
Facilities to assist performance were adequately planned and budgeted for.	21.4	3.6	17.0	28.6	17.0	87.5	3.3
Time away to attend PMS was planned for.	16.1	3.6	26.8	24.0	21.9	85.7	3.3
Staff received adequate training in PMS.	7.1	4.5	17.9	18.8	38.4	86.6	4.0
Employees received were adequately briefed before PMS was implemented.	16.1	5.4	21.4	17.9	25.0	85.7	3.4

Note: \*Less than 100 per cent as not all person (s) responded to this question.

### 5.6.5 Benefits of Performance Management System to Employees

As shown in Table 5.43 below, employees agreed with five out of the eight benefits of PMS suggested in the survey questionnaire. Employees agreed that PMS has made them more productive (35.8 per cent), motivated (37.5 per cent), improved

performance rating (30.4 per cent), made staff more committed to work (35.8 per cent) and helped employees plan work better (37.6 per cent). On the other hand, some employees felt that PMS has not benefited staff in terms of setting performance goals (34.0 per cent). Furthermore, 42.9 per cent of staff said they did not fully understand what constituted PMS. A third of employees indicated that they did not fully understand the department's key performance indicators (KPI) (29.5 per cent), while almost the same number of employees said they fully understood the department's key performance indicators (28.6 per cent).

**Table 5.43 Benefits of Performance Management System to Staff**

Statement N=112	Agree % 1	Strongly Agree % 2	Neither % 3	Disagre e % 4	Strongly Disagre e % 5	Cumu lative % %	Mean Score
PMS has helped me set goals.	25.0	3.6	20.5	17.9	16.1	83.0	3.0
PMS has made me be more productive	29.5	6.3	21.4	11.6	13.4	82.1	2.7
I fully understand Department's KPIs.	26.8	1.8	24.1	16.1	13.4	82.1	2.9
PMS motivates me to work harder	28.6	8.9	21.4	9.8	12.5	81.3	2.6
My rating has improved since PMS.	24.1	6.3	26.8	11.6	12.5	81.3	2.8
PMS has made me more committed to my work	30.4	5.4	25.9	10.7	12.5	84.8	2.6
I fully understand what PMS is about	25.0	3.6	15.2	20.5	21.4	85.7	3.1
PMS helps me plan my work better.	31.3	6.3	18.8	14.3	14.4	84.8	2.7

Note: Less than 100 per cent as not all person (s) responded.

### 5.6.6 Benefits of Performance Management System to the Department

When asked how PMS had benefited the department, 40 per cent of employees agreed that PMS has encouraged and supported teamwork and teambuilding in the department (Table 5.44). However, almost 40 per cent of employees disagreed that PMS had improved communication and consultation between senior management and

staff (39.3 per cent). Staff felt that PMS did not improve the system and process of staff appraisal (37.5 per cent). Slightly more than one third of employees were neutral when asked if PMS had helped the department set specific goals and achievable targets (33.9 per cent). Furthermore, 35 per cent of employees were ambivalent when whether performance appraisal and reward system were fair and consistent since PMS was introduced in the department.

**Table 5.44 Benefits of a Performance Management System to the Department**

Statement N=112	Agree %	Strongly Agree %	Neither %	Disagree %	Strongly Disagree %	Cumulative	Mean Score
	1	2	3	4	5		
PMS has help department set goals and targets	26.8	3.6	33.9	9.8	7.1	81.3*	2.6
Performance appraisal and reward system are fair and consistent since PMS	8.9	1.8	35.7	15.2	20.5	82.1	3.5
PMS encourages and supports team work and team building	31.3	2.7	24.3	17.0	8.9	83.9	2.6
PMS has improved appraisal systems and process	8.9	1.8	34.8	19.6	17.9	83.0	3.4
PMS has improved communication and consultation between senior management and staff	13.4	.9	31.3	12.5	26.8	84.8	3.5

Note: \*Less than 100 per cent as not all person (s) responded.

### 5.6.7 Factors that affect Performance and Performance Management

According the 'Best Practice' PMS, there are a variety of organisational and HRM factors including organisational structure and systems, work processes, policy, culture, motivation reward and appraisal, that can affect PMS in an organisation. Non-management employees were asked to indicate the extent to which they agreed or disagreed with statements regarding factors that might have affected their performance and PMS in the department. Table 5.45 indicates that majority of non-management staff disagreed with most of the statements regarding factors that affect

performance and performance management in the department. These were HRM related factors including leadership, organisational climate, work processes, communication and training. A high proportion of employees (75.2 per cent) felt that the current appraisal and reward system needed to be revised to make it appropriate for staff in the department. Furthermore, over 50 per cent of employees disagreed that the department had adequate facilities and equipment (55.1 per cent). Though 43.3 per cent of staff acknowledged the existence of a training plan, almost 60 per cent of staff felt that the department did not provide appropriate training and induction courses to new and existing staff (58 per cent). Fifty per cent of non-supervisory employees felt that there was poor communication between senior and junior staff. Majority of employees felt that work environment was not positive (41.1 per cent), department's policy was not flexible (38.4 per cent), and that conditions of service were not supportive of high performance (41.9 per cent). Nevertheless, some employees agreed that the department's culture encouraged innovativeness and high quality of work (33.1 per cent) and that the department's mission-vision and strategic plan were communicated to all staff (36.6 per cent). Non-supervisory staff were ambivalent when asked whether their workload prevented them from being effective. More than a third of employees disagreed that PMS worked well and does not need to be changed.



**Table 5.45 Factors that affect Performance and Performance Management in the Department**

Statement N=112	Agree (%)	Strongly Agree (%)	Neither (%)	Disagree (%)	Strongly Disagree (%)	Cumu lative Frequ ency (%)	Mean Score
	1	2	3	4	5		
The Department's management style is supportive and involving.	23.3	1.8	29.5	16.1	23.2	92.9*	3.2
The Department's management team is committed.	20.5	3.6	29.5	17.9	16.1	87.5	3.1
The department's culture encourages innovativeness, supports high performance and high quality of work.	28.6	4.5	25.9	22.3	8.9	90.2	2.8
There is openness, mutual trust and respect in the department.	20.5	2.7	22.3	21.4	24.1	91.1	3.3
The department's culture embraces change.	25.9	.9	27.7	14.3	17.0	85.7	3.0
My workload prevents me from being effective.	23.2	15.2	10.7	30.4	8.9	88.4	2.9
The department's mission-vision, strategic plan and objectives are clearly communicated to all staff.	32.1	4.5	19.6	21.4	13.4	91.1	2.8
The conditions of service in the department are supportive of high performance.	14.3	.9	30.4	20.5	21.4	87.5	3.4
The department has adequate facilities to support staff performance.	21.4	2.7	11.6	22.3	34.8	92.9	3.5
The department's policy is flexible, supportive, facilitates performance and PMS.	17.0	2.7	28.6	18.8	19.6	86.6	3.3
The work environment in the department is positive.	28.6	.9	19.6	18.8	22.3	90.2	3.1
The department has short and long-term training plans.	39.3	4.5	18.8	7.1	17.9	87.5	2.6
The department provides appropriate training and induction courses for new and existing staff.	17.9	.9	14.3	23.2	34.8	91.1	3.6
The current appraisal system needs to be revised to make it appropriate for staff in the department.	42.9	22.3	13.4	4.5	4.5	87.5	1.9
There is poor communication between senior and junior staff.	25.0	25.0	17.9	14.3	8.9	91.1	2.5
PMS works well and does not need to be changed.	18.8	4.5	25.0	17.0	18.8	83.9	3.2

Note: \*Less than 100 per cent as not all person (s) responded.

### 5.6.8 Outcomes of a Performance Management System

The aim of this part of the survey questionnaire was to seek views of non-management employees regarding PMS outcomes in the department. Non-

management employees were asked to indicate the extent to which they agreed or disagreed with statements regarding outcomes of PMS in the department. Though 32.2 per cent of staff agreed that PMS motivated management and staff, non-supervisory employees were undecided about the outcomes of PMS in the department (Table 5.46 below). Slightly more than 40 per cent of employees were neutral when asked whether PMS has improved budgeting (42.9) and reduced staff turnover (40.2) in the department. Regarding improvement in productivity and quality of service, a third were undecided about whether PMS had lead to improvement in productivity (33.9 per cent) and quality of service provided by the department (29.5). A third of employees disagreed that PMS has lead to development of skills and competencies (30.4 per cent). Furthermore, almost 40 per cent of employee felt that PMS has not improved style of leadership (38.4 per cent). 36.6 per cent of staff disagreed that PMS had lead to improvement in equal opportunities for staff in the department.

**Table 5.46 Performance Management System Outcomes in the Department**

Statement N=112	Agree % 1	Strongly Agree % 2	Neither % 3	Disagree % 4	Strongly Disagree % 5	Cumulative Frequency %	Mean Score
Productivity has improved since PMS	24.1	2.7	33.9	10.7	13.4	84.8*	2.8
Quality of service has improved.	25.0	3.6	29.5	14.3	8.9	81.3	2.7
Budgeting has improved	14.3	1.8	42.9	11.6	10.7	81.3	3.3
Development of staff skills and competencies	20.5	2.7	28.6	16.1	14.3	82.1	3.0
Leadership style has improved.	12.5	.9	31.3	17.0	21.4	83.0	3.4
Equal opportunities have improved.	18.8	.9	27.7	20.5	16.1	83.9	3.2
PMS motivates management and staff.	28.6	3.6	24.1	17.0	10.7	83.9	2.7
PMS has reduced staff turnover.	8.9	.9	40.2	24.1	5.4	79.5	3.2

Note: \*Less than 100 per cent as not all person (s) responded.

### 5.6.9 Effective of PMS in the Department

According to Table 5.47 below, 35.7 per cent of non-supervisory employees felt that PMS was neither effective nor effective. Though almost a third of employees believed PMS was moderately to very effective.

**Table 5.47 No-Management Staff: Effectiveness of the Performance Management System in the Department**

Statement N=122	Very Effective %	Moderately Effective %	Neither Effective nor Ineffective%	Ineffective %	Very Ineffective %	Cumulative Frequency %
How effective is PMS? *	6.3	23.2	35.7	9.8	8.9	83.9 (94)*

Note: \* 18 employees did not respond to this question.

### 5.6.10 Overall Effectiveness of the Department

Indications from Table 5.48 below were that 41.1 per cent of non-supervisory employees viewed the Department of Administration of Justice as moderately to very effective.

**Table 5.48 Non-Management Staff: Effectiveness of the Department**

Statement N=112	Very Effective %	Moderately Effective %	Neither Effective nor Ineffective %	Ineffective %	Very Ineffective %	Cumulative Frequency %
On the overall, is the department *	12.5	28.6	18.8	12.5	8.0	80.4 (90)

Note: \* 22 employees did not respond to this question.

### 5.6.11 Challenges of Introducing the Performance Management System

This part of the survey questionnaire was an open-ended question, which asked employees to list up to 4 challenges of introducing PMS in the department. As shown in Table 5.49, HRM issues such as shortage of staff, motivation and communication

(47.3 per cent), were the most frequently mentioned challenges of introducing PMS in the department, followed by training in PMS (16.1 per cent) and office accommodation and equipment (13.4 per cent). In addition, lack of time and shortage of resources were listed as other challenges of introducing PMS in the department.

**Table 5.49 Non-Management Staff: Challenges of Introducing Performance Management System**

<b>Challenge</b>	<b>Frequency Of mention (%)</b>
HRM issues	47.3
Training in PMS	16.1
Office accommodation & equipment	13.4
Financial and time constraint	7.9
Resistance to change	6.3
Other challenges	34.6

### **5.6.12 Features Employees Liked and did not like about PMS**

When asked to list up to 3 features employees liked about PMS, employees indicated that they liked PMS because PMS improves HRM (32.0 per cent), performance and productivity (26.1 per cent) (Table 5.50). In addition, employees said they liked PMS because PMS promotes training and development, improves work and time management as well as communication and consultation. Some employees they did not like lack of training, biasness, cynicism, cost and lip service associated with PMS in the department. Though some employees said they had no idea regarding features they did not like about PMS. Employees who said they were not aware of features they did not like about PMS were new in the department and had not received briefing at the time of this survey.

**Table 5.50 Features Employees Liked and did not like about PMS**

<b>PMS Features</b>	<b>Frequency Of mention (%)</b>
<b>Features Employees liked about PMS</b>	
Promotes Training and development	9.0
Improves work and time management	9.0
Improves performance and productivity	26.1
Improves communication and consultation	4.5
Improves HRM	32.0
Other	31.4
<b>Features Employees did not like about PMS</b>	
Lack of training and education in PMS	9.9
Biasness	2.7
Cynicism	4.5
Costly process	4.5
Preaching and not practice	2.7
No idea/New Staff	27.6
Other	5.4

**5.6.13 Employees Comments on PMS Process and Practice in the Department**

When asked to write down any comments non-management staff might have had regarding PMS process and practice in the department, some of the non-management employees said the department should train staff in PMS. Non-management employees felt that there should be regular PMS meetings. Some of the non-management employees raised the issue of poor administration and implementation of PMS in the department (Table 5.51 below).

**Table 5.51 No-Management Employees Comments on Performance Management System Process and Practice in the Department**

<b>Employees Comments</b>	<b>Frequency Of mention (%)</b>
Train junior staff	3.6
Train all staff	2.7
Regular PMS meetings	1.8
Poor PMS administration and implementation	3.6
Other	5.4

The above results indicate that non-management staff felt that they were not involved in the PMS process in the department. This evidence was supported by 48.2 per cent of staff who indicated that they were never consulted during the planning of PMS, and

the development of the department's mission-vision statements (41.1 per cent). Almost half of non-management employees surveyed felt that employees' comments were never incorporated in to PMS (47.3 per cent). The same number of staff indicated that they had never participated in the review of PMS (47.3 per cent). Half of employees felt that their team or unit was never represented in the PMS task force or working team. Regarding planning for PMS, 57.4 per cent of non-management staff felt that employees were not adequately trained in PMS, 42 per cent felt that staff were inadequately briefed in PMS, 45 per cent indicated that facilities were not adequately planned for and that time away from office to attend PMS activities was not planned for (45 per cent).

On a positive note, staff felt that PMS had benefited employees and the department in one way or the other. For example 35.8 per cent of staff felt that PMS had made them more productive, motivated (37.5 per cent), committed to work (35.8 per cent) and improved performance rating (30.4 per cent). Despite these benefits, staff felt that PMS had not helped them set performance goals (34 per cent), did not fully understand what PMS constitutes (42.9 per cent) and did not fully understand the department's key performance indicators (29.5 per cent). Non-management staff indicated that PMS had benefited the department in terms of encouraging and supporting teamwork and teambuilding (40 per cent). However, employees felt that PMS had not improved communication between management and staff (39.3 per cent) and system of appraisal (37.5 per cent).

Regarding factors that have affected staff performance and PMS in the department, a high proportion of staff felt that the current systems of appraisal and reward needed to

be revised (75.2 per cent), 55 per cent felt that facilities and equipment were inadequate, 60 per cent felt the department did not provide adequate induction and training, conditions of service were not supportive of high performance (41.9 per cent), work environment was negative (41.1 per cent) and that the department's policy was not flexible (38.4 per cent). Though staff felt that the department's culture encourages innovativeness and high quality of work (33.1 per cent) and that mission, vision and strategic plan were communicated to all staff (36.6 per cent). Concerning outcomes of PMS in the department, though 32.2 per cent of staff agreed that PMS motivated management and staff, a third of employees felt that PMS had not improved leadership style (38.4 per cent). Regarding effectiveness of PMS in the department, 35.7 per cent of non-management staff felt that PMS was neither effective nor ineffective, though a third felt PMS was moderately to very effective. Indications were that 41 per cent of staff felt that the department was moderately to very effective. Regarding challenges of introducing PMS in the department, HRM issues (47.3 per cent), training in PMS (16.1 per cent) and office accommodation and equipment (13.4 per cent) were the most frequently mentioned. Non-management staff indicated that they liked PMS because PMS improved HRM and promoted training and development. However, staff indicated that they did not like PMS due to lack of training, biasness, cynicism, cost and lip service associated with PMS in the department.

## **5.7 Profile of Users of Services Provided by the Department of Administration of Justice**

The following is an analysis of empirical evidence collected from users of services provided by the Department of Administration of Justice. The survey questionnaire

was administered to four categories of users. These were prosecuting officers, Prisons and Rehabilitation officers, officers in the Social Welfare and Community Development, and attorneys in private practice. The survey questionnaire was used in order to obtain views of users regarding performance and service delivery of the department. The questionnaire was divided into two sections. The first part of Section A of the questionnaire asked users to state the extent to which they agreed and disagreed with statements regarding performance of the judiciary. The second part of Section A was based on factors relating to independence and transparency of the judiciary, while the third part was on the judicial system, as well as sentencing and law in Botswana. The fourth part of Section A was based on outcomes of the judicial system and the overall effectiveness of the department. The last part requested users to suggest how the performance of the department and the judiciary could be improved. Section B of the questionnaire was based on attributes of respondents, including age, gender, education, employment status, profession, industry sector and place of work. This section will commence by presenting descriptive statistics of users, followed by reliability tests of scales and items in the scale. The last part entails analysis of views of users regarding performance and service delivery of the department and the judiciary.

### **5.7.1 Characteristics of Users**

As shown in Table 5.52, more than 70 per cent of users who responded to the survey questionnaire were male (75.7 per cent) compared to 17.6 per cent female. The response rate from users of services was 63 per cent. Over 95 per cent of users were employed full time (95.9 per cent) and employed in the public sector (94.6 per cent). The highest response was from users category was from Prosecutors (68.9 per cent) in



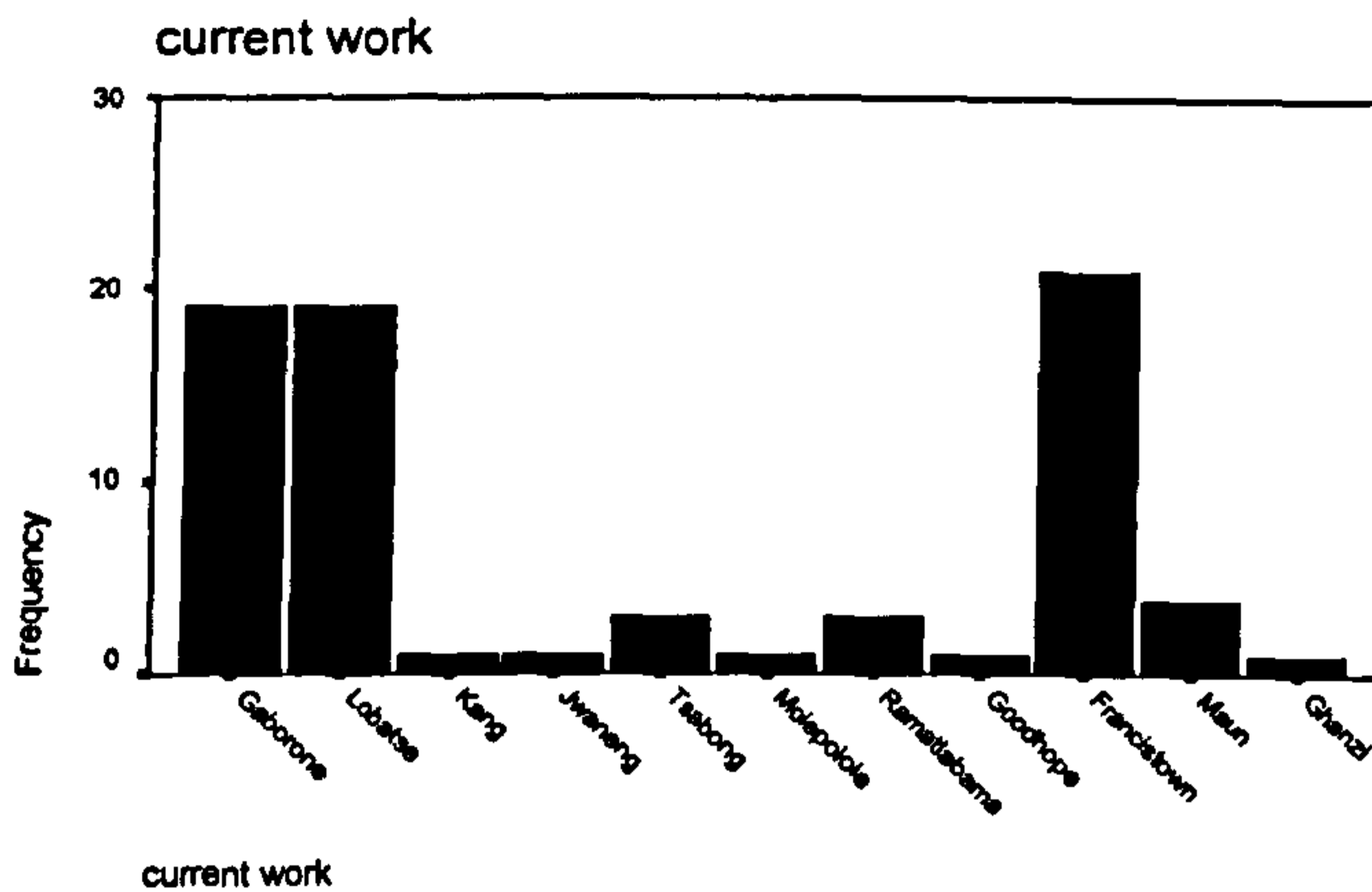
the Police Department, while the lowest response was from attorneys in private practice (5.4 per cent) (see methods chapter for explanation on response rate and reasons). The questionnaire was distributed to users located in various parts of the country, including the North, North East, South, South Central and Western part of Botswana. As shown in Figure 5.7, the highest proportion of respondents was from the North (28.4 per cent), followed by the South (25.7 per cent) and South-central (25.7 per cent) part of the country. This was mainly because of the high distribution of population and courts in the North and Southern part of the country. For example, in the North the questionnaire was administered in Francistown where there is one High Court and three magistrate courts. In the South the questionnaire was administered in Lobatse where there is one High Court and one Magistrate court, and in Gaborone (capital city) where there are three magistrate courts. Regarding education of users, majority of respondents had secondary school (44.9 per cent) qualifications, followed by university graduates (21.7 per cent) and professional qualifications (20.3 per cent). Professional qualifications include diploma and certificate in Law.

**Table 5.52 Profile of Users of Services Provided by the Department of Administration of Justice**

Attribute	Percent (%)	Number (N=74)	Cumulative %
<b>Gender</b> Male	75.7	56	75.7
Female	17.6	13	17.6
			93.2 *
<b>Education</b> Primary School	4	5.4	5.4
Some Secondary School	22	29.7	35.1
Completed Secondary School	11	14.9	55.0
Undergraduate Degree	13	17.6	72.6
Graduate/Postgraduate	3	4.1	76.7
Professional Qualifications	15	20.3	97.0
<b>Employment</b> Full Time	95.9	71	95.9
Self Employed	2.7	2	98.6
<b>Industry Sector</b> Government	94.6	70	94.6
Private sector	5.4	4	100
<b>Profession</b> Prosecutor	68.9	51	68.9
Social Welfare Officer	10.8	8	79.7
Prisons and Rehabilitation Officer	14.9	11	94.6
Attorney	5.4	4	100
<b>Age (Range) 24- 53</b>			86.5 (64)

Note: \*Less than 100 per cent as not all person (s) responded to the question.

**Figure 5.7 Users of Services Provided by the Department of Administration of Justice: Response by Place of Work**



### 5.7.2 Test of Reliability

Table 5.53 below shows results of the reliability test, which indicates the scale and items in the scale were reliable, as evident from the cronbach's alpha score of more than .7.

**Table 5.53 Test of Reliability: Data for Users of Services provided by The Department of Administration of Justice**

Construct/Scale	Number of Items	Cronbach Alpha
The Performance of the Judiciary in Botswana	9	.7105
The Judicial System and Outcomes of the Judiciary	17	.7836

### 5.7.3 Performance of the Judiciary

Indications from Table 5.54 were that users agreed with all of the statements about the performance of the judiciary in Botswana. An overwhelming 82.5 per cent of users agreed that the judicial system acknowledged human rights. A high proportion of external customers said that they had confidence and trust in the judicial system (73 per cent). When asked whether the judiciary provided a user-friendly court environment, 68.1 per cent agreed. Over 65 per cent of users felt that the judicial

system takes into account interest, values and expectations of the public (66.6 per cent) and that officers in the Department of Justice were committed to providing quality service deliver (66.7 per cent). Furthermore, over 60 per cent of users disagreed that the judicial system does not protects the public from criminals (63.6 per cent). Regarding responsiveness of the judicial system to changes taking place in the global environment, 60.8 per cent agreed that the judiciary was responsive. Almost the same proportion of users agreed that judiciary met international standards (58.1 per cent). Almost half of users agreed that the judicial system was accessible and affordable to all (47.3 per cent). Though 42.3 per cent of users disagreed that the judicial system was accessible and affordable to all.

**Table 5.54 Performance of the Judiciary in Botswana**

Statement N=74	Agree %	Strongly Agree %	Neither %	Disagree %	Strongly Disagree %	Cumul ative Frequ ency %	Mean Score
	1	2	3	4	5		
I'm satisfied with the performance of DAOJ	47.3	10.8	12.2	21.6	1.6	93.2*	2.1
Judiciary provides user friendly court environment	43.2	14.9	6.8	25.7	1.4	91.9	2.2
Public officers in the DAOJ are committed to quality service delivery	43.2	13.5	17.6	17.6	4.1	95.9	2.2
Judicial system is accessible and affordable	35.1	12.2	4.1	28.4	14.9	94.6	2.7
Money spent on programmes to improve performance of DAOJ is worthwhile	37.8	18.9	24.3	8.1	6.8	95.9	2.2
Judicial system takes into account public interest and expectations	48.6	17.6	10.8	13.5	4.1	94.6	2.0
Judiciary does not protects public from criminals	14.9	6.8	10.8	51.4	12.2	95.9	3.4
Judicial sys is responsive to changes in global environment	44.6	16.2	21.6	13.5	-	95.9	2.0
Jud system does not neglect human rights	51.4	31.1	8.1	5.4	-	95.9	4.1
Performance of judiciary meets international standards	44.6	13.5	27.0	6.8	2.7	94.6	2.0
I have confidence in our judicial system	50.0	23.0	12.1	6.8	2.7	94.6	1.8

Note: \*Less than 100 per cent as not all person (s) responded to the question in the survey questionnaire. DAOJ=Department of Administration of Justice.

#### **5.7.4 Independence and Impartiality of the Judiciary**

According to Table 5.55, a high proportion of users agreed with positive statements relating to the independence, fairness and professionalism of the judiciary. However, when it came to factors relating to outcomes of the judicial system, users felt that the judiciary was in some aspects, not performing according to expectations. Table 5.55 indicate that more than 80 per cent of users felt the judicial system was independent and impartial (82.4 per cent). Fairness in the judicial system was emphasised by almost 80 per cent of users who agreed that the judiciary interpreted laws and rules consistently, independently and fairly (79.7 per cent). Furthermore, a high proportion of users agreed that judges and magistrates were free to deliver justice without fear and favour (82.4 per cent). When asked about issues pertaining to rights of certain segments in the society, over 80 per cent of users agreed that the judiciary acknowledged rights of young offenders (81.0 per cent) and violence against women and children (83.8 per cent).

**Table 5.55 The Judicial Systems and Outcomes of the Judicial System in Botswana**

Statement N=74	Agree % 1	Strongly Agree % 2	Neithe r % 3	Disagre e % 4	Strongly Disagree % 5	Cumulat ive Frequen cy%	Mean Score
<b>Judicial System</b>							
Judiciary is independent & impartial	48.6	33.8	9.5	2.7	2.7	97.3*	1.7
Judges & magistrates are free to deliver justice without fear and favour	41.9	40.5	12.2	4.1	25.7	98.6	1.8
All customers of judiciary are treated equally	39.2	16.2	24.3	13.5	2.7	97.3	2.3
DAOJ should educate public about justice issues	36.5	52.7	1.4	5.4	1.4	97.3	1.8
Violence against women, & kids is acknowledged	44.6	39.2	5.4	2.7	2.7	94.6	1.7
DAOJ should inform public about its services and assistance programmes	33.8	56.8	2.7	4.1	1.4	95.9	1.8
Judiciary acknowledged rights of young offenders	37.8	43.2	8.1	4.1	4.1	97.3	1.8
First offenders should not be sent to prison	43.2	37.8	9.5	5.4	2.7	98.6	1.9
Rehabilitation should be primary aim of sentencing	36.5	52.7	2.7	2.7	1.4	95.9	1.9
Judiciary interpret laws independently, consistently and fairly.	44.6	35.1	13.5	4.1	1.4	98.6	1.8
<b>Outcomes of the Judicial System</b>							
Public has confidence in our judicial system	41.9	13.5	24.3	12.2	1.4	93.2	2.1
Judiciary aims to satisfy public needs	51.4	17.6	13.5	8.1	2.7	93.2	1.9
Sentencing reduces future criminal behaviour	23.0	8.1	23.0	31.1	8.1	93.2	2.9
Police and the courts are doing their best to reduce crime	43.2	32.4	10.8	2.7	2.7	91.9	1.8
Judiciary resolves disputes transparently, consistently and professionally	48.6	25.7	12.2	4.1	2.7	93.2	1.8
Court system handles cases within reasonable speed	12.2	2.7	13.5	36.5	28.4	93.2	3.7

Note: \*Less than 100 per cent as not all person (s) responded to the question. DAOJ=Department of Administration of Justice.

### **5.7.5 Sentencing and Law**

Regarding sentencing and law in Botswana, an overwhelming 99.2 per cent of users agreed that rehabilitation should be the primary aim of sentencing punishment (Table 5.55 above). Users strongly felt that the Department of Administration of Justice should inform the public about different services and programmes available (90.6 per cent). Furthermore, 89.2 per cent of users said that the department should educate the public about issues relating to crime, sentencing and justice.

### **5.7.6 Outcomes of the Judicial System**

As mentioned earlier on in this section, though users were happy with outcomes regarding the performance of the judiciary, they were not happy with outcomes regarding rapidity of service delivery. As shown in Table 5.55 above, almost 75 per cent of users agreed that the judiciary resolved disputes transparently, consistency and professionally (74.3 per cent). Users also felt the judiciary were doing their best to reduce crime (75.6 per cent) as well as aimed to satisfy customer expectations and needs (69 per cent). According to evidence in Table 5.55 above, 54.4 per cent of users said the public had confidence, trust and respect in the judicial system. However, almost 65 per cent of users disagreed that the court system handled cases within reasonable speed.

### **5.7.7 Overall Effectiveness of the Department of Administration of Justice**

Indications from Table 5.56 below were that 71 per cent of users rated the overall effectiveness of the Department of Administration of Justice moderately to very effective.

**Table 5.56 Overall Effectiveness of the Department of Administration of Justice.**

Statement N=112	Very Effective %	Moderately Effective %	Neither Effective nor Ineffective %	Ineffective %	Very Ineffective %	Cumulative % (#)
On the overall, the department is	13.5	67.6	5.4	5.4	-	91.9(68)*

**Note:** \* 6 Users of services did not respond to this question.

### **5.7.8 Users Suggestions to Improve Performance of the Judiciary**

When asked to list up to three factors that could be changed to improve the quality of services provided by the judiciary in Botswana, users suggested quick service delivery (Table 5.57). Furthermore, users felt that HRM related factors affecting performance of the department, including employment of additional staff, particularly judges and magistrates, would improve quality of service provided by the judiciary. In addition, users suggested that office accommodation, training and improving condition of service would improve service quality of the judiciary. Decentralisation and division of labour was written as another aspect that would contribute to improvement in the quality of service provided by the judiciary. Users indicated timely service delivery; employment of more staff, office accommodation, training, division of labour and decentralisation would improve the performance of the department (Table 5.58). When asked if users had any other comments regarding the performance of judiciary and judicial system in Botswana, performance and HRM related issues were brought up. As shown in Table 5.59, users felt that the courts should respect officers during court proceedings, particularly respect for officers not trained in law and unfamiliar with court procedures and rules.

**Table 5.57 Users Suggestions to Improve Performance of the Judiciary**

Suggestions to Improve performance of the judiciary	Frequency of mention (%)
Quick service delivery	39.3
Employ more staff	29.8
Office accommodation	29.8
Training and localisation	27.1
Respect time and date of trial	10.9
Improve conditions of pay	10.9
Decentralise	12.2
Fairness/Impartiality/Transparency	16.2
Public education	5.4
Other suggestions	43.3

**Table 5.58 Users Suggestions to Improve the Performance of the Department of Administration of Justice**

Suggestion to Improve Service Delivery by DAOJ	Frequency of mention (%)
Timely service delivery	23.0
Employ more staff	14.9
Office accommodation	14.9
Training and localisation	19.0
Division of labour/decentralise	14.9
Improve pay and conditions of service	12.2
Other	31.1

**Table 5.59 Users Comments Regarding Performance of the Judiciary**

Comment	Frequency (%)
HRM issues	2.7
Performance issues	9.5
Transparency	4.1
Respect staff	5.4
Public education	2.7
Division of labour/decentralise	1.4
Other comments	5.4

The above analysis and results indicate that users of services provided by the department were happy with performance of the judiciary regarding acknowledgement of human rights (82.5 per cent), confidence and trust in the judicial systems (73 per cent), user friendly court environment (68.1 per cent), consideration of needs and expectations of external customers (66.6 per cent) and responsiveness (60.8 per cent). Though almost half of users felt that the judicial system was accessible and affordable to all (47.3 per cent), 42.3 per cent of users surveyed felt that that was not the case.



An overwhelming 80 per cent of users felt that the judicial system was independent and impartial. Furthermore, a high proportion of users thought the judiciary interpreted laws, rules consistently, independently and fairly (79.7 per cent) and that judges and magistrates were free to deliver justice without fear and favour (82.4 per cent). Users also felt that the judiciary acknowledged rights of young offenders (81 per cent) and violence against women and children (83.8 per cent). Regarding outcomes of the judiciary, 65 per cent users of services felt that the court systems did not handle cases within reasonable speed. Though users indicated that the judiciary resolved disputes transparently, consistently and professionally (74.3 per cent) and aiming to do their best to satisfy customer needs and expectations (69 per cent). Concerning the overall effectiveness of the Department of Administration of justice, an overwhelming 71 per cent of users rated the department moderately to very effective.

## **5.8 Summary**

The objective of this chapter was to present results from quantitative data analysis of empirical evidence regarding PMS existing in the Department of Administration of Justice. Results from the survey within the department suggest the Department of Administration of Justice, to certain degree, followed the 'Best Practice' PMS (HRM). The department observed the internal and external environment, planned and designed PMS based on what was observed, acted on a PMS and reviewed PMS. The results of quantitative data analysis suggest that the department had performance measures and key performance indicators. There were also indications that there were contextual factors that affected PMS existing in the department. The contextual

factors include organisational and HRM factors related to leadership style, policy, facilities and equipment, training, communication, work environment, conditions of service, performance appraisal and reward systems. Though employees felt that PMS had improved for example, quality of service, teamwork and team building, employees were ambivalent about outcomes of PMS in the department. Evidence collected from users of services provided by the department indicate that users were happy with the overall performance of the judiciary, particularly in the areas of independence, impartiality, fairness, responsiveness, standards, confidence and trust and court environment. However, users were not happy with the aspects of rapidity of service delivery. The subject of the next chapter is to analyse empirical evidence collected through semi-structured interviews, informal discussions and secondary sources.

### QUALITATIVE DATA ANALYSIS

#### 6.1 Introduction

This chapter analyses and presents results from qualitative data obtained from employees in the Department of Administration of Justice. The empirical evidence was collected through semi-structured interviews, informal discussions and secondary sources. The chapter also analyses qualitative data obtained from users of services provided by the department. The previous chapter addressed quantitative data obtained through survey questionnaires administered to employees and users of services provided by the department. This chapter aims to further explore and gain more insight and further understanding of respondents' views regarding PMS existing in the department and the performance of the judiciary in Botswana. Qualitative data would help explain the context under which PMS exists. Chapter 6 is divided into three sections. The first section gives a brief outline of interviews and questions asked during the interview. The second section comprises within-case analysis of qualitative data. The last section is a summary of this chapter.

#### 6.2 Outline of Interviews

Interviews with employees of the department were held with respondents who had indicated in the questionnaire that they are available for interview by the researcher. Six semi-structured interviews were tape-recorded while four interviews were hand

written and summarised immediately after the interview. All informal discussions were hand written. Qualitative data analysis process entailed transcription, coding, categorising, and analysis of themes and patterns that emerged from the data. Categorisation and content analysis technique was applied in qualitative data analysis (Miles and Huberman, 1994; Saunders et al., 2000). Within case analysis was carried out in order to explore and explain patterns emerging from data obtained from employees and users of services provided by the department. As mentioned in the Methods chapter, semi-structured interviews were conducted after administration of the questionnaire. Semi-structured interviews with employees of the department were necessary to clarify and gain further understanding on issues raised in the questionnaire. Informal discussions held during the distribution and collection of questionnaires was not originally planned. However, these informal discussions added invaluable information to this research. Secondary data analysis was used to strengthen the case and for triangulation purposes. As indicated in Table 6.1 below, six semi-structured interviews and twenty-six informal discussions were held with employees of the department. Four semi-structured interviews were held with users of services provided by the department. The duration of interviews ranged from thirty minutes to one hour.

**Table 6.1 Interviewees, Type, Number of Interviews and Interview questions.**

Organisation	Interviewees	Number of Interviews	Type of Interview	Interview Questions
<b>DAO J</b>	Middle managers	3	Semi-structured	PMS process, PMS activities and the role of HRM unit in PMS process
	Lower managers	2	Semi-structured	
	PIC	1	Semi-structured	
<b>Prosecutors</b>	PMS Coordination Team	1	Semi-structured	Performance of the DAOJ and judiciary.
<b>Attorneys</b>	Attorneys in private practice	3	Semi-structured	Performance of the DAOJ and judiciary.
<b>Total</b>		<b>10</b>		
<b>DAOJ</b>	Managers and Staff	26	Informal discussions	PMS process

Notes: DAOJ: Department of Administration of Justice, PIC: Performance Improvement Coordinators.

### **6.3 Interviews with Employees in the Department of Administration of Justice**

As shown in Table 6.1 above, there were six semi-structured interviews held with middle and lower managers in the Department of Administration of Justice. The six interviews were with two magistrates, Performance Improvement Coordinators (PIC), one HR manager and two Clerks of the Court. There were no interviews held with senior managers in the department, except an informal discussion with one senior manager. Interviews with magistrates and Clerks of Court were conducted in order to follow up on issues relating to PMS process and activities. The interviewees had stated in the questionnaire that PMS was working in one magistrate court while PMS was said to be unsuccessful in another magistrate court. The interview with the HR manager was aimed at generating data on the involvement of HRM section in the development and implementation of PMS in the department. The interview was a follow up in the questionnaire in which the HR manager had indicated that HR role was to 'organise funding and venues for PMS activities'. An interview was therefore, necessary to clarify exactly what role the HRM section played in PMS process. The 'Best Practice' PMS (HRM) suggests that HR section usually plays a significant role in PMS process, including guiding, facilitating and directing the process (Armstrong and Baron, 1998). There were no semi-structured interviews held with employees below supervisory level. This was mainly because when reviewing staff responses in the questionnaire, most of the issues raised were covered through informal discussions held during the distribution and collection of the questionnaire. The main questions asked during the interview were on the status of PMS, challenges of PMS and what would make PMS work in the department. The interview was hand written and lasted for about thirty minutes.

Informal discussions with management and staff were on issues emanating from the questionnaire. After management and staff were briefed about purpose of the research and handed the questionnaire to complete, employees would comment on for example, their knowledge and involvement in the PMS process. Some employees, particularly after completing the questionnaire would express their views on specific sections and aspects of the questionnaire. All informal discussions were hand written after the informal discussions and summarised at the end of each day. The discussions would last approximately from five to thirty minutes.

#### **6.4 Interview with Users of Services Provided by the Department**

Four semi-structured interviews were held with users of service provided by the Department of Administration of Justice. The interviews were with two private attorneys practicing in the northern part of Botswana and one interview with an attorney in the south. The first part of the interview focused on the judicial system, performance and service delivery of the Department of Administration of Justice. The second part of the interview covered issues relating to the performance of the judiciary in Botswana. The interviews were hand written and lasted from five minutes to forty minutes. One interview was held with prosecutors in the Police Department. The Police Department prosecute cases on behalf of the Attorney General's Chambers. The interview was aimed at obtaining views of the prosecutors regarding the performance and service delivery of the Department of Administration of Justice. The interview with the prosecutors was tape-recorded.

## 6.5 Content Analysis

The process of qualitative analysis commenced with reading and re-reading evidence from semi-structured interviews and informal discussions in order to establish themes, patterns and categories emerging from the data (Easterby-Smith et al., 1991). The data was thereafter classified into meaningful categories derived from the original data. These categories were used to allocate units of original data and to re-arrange the data (Ibid.). As pointed out by Saunders et al., (2000), categorising data ‘allow you to identify key themes or patterns from them for further exploration’ (p.382). Names of data categories were derived from the actual terms used by respondents and were related to terms used in the ‘Best Practice’ PMS (HRM). Data was coded and categorised so that emerging patterns could be explored and explained. (Miles and Huberman, 1994; Gummesson, 2000; Saunders et al., 2000). Matrix displays suggested by Miles and Huberman (1994) were used to guide development of tables for within case analysis (see Appendix I). Content analysis was used in some cases, for example see Tables 6.7, 6.8 and 6.9 in this chapter, where data was categorised according to emerging themes. Frequency of mention was also used to analyse data. All tape-recorded semi-structured interviews were transcribed, typed, coded and categorised according to themes and patterns that emerged from the data. The process for informal discussions entailed typing hand written discussions, reading and re-reading data, coding and categorisation.

## **6.6 Secondary Data Analysis**

Summaries obtained from secondary sources were used to triangulate findings and to strengthen the case. These documents were assessed for suitability before summaries were produced (Gummersson, 2000; Saunders et al., 2000; Yin, 2003). Secondary data obtained from the Department of Administration of Justice include:

- Organisation and Methods Review of 1995,
- Departmental Strategic Plan of 2001- 2010,
- Departmental Annual Performance Plan of 2001-2002,
- Department of Administration of Justice Scheme and Conditions of Service,
- PMS Documents and memos (non-confidential), and
- Information obtained from the Annual Judicial Conference of July 2002.

Additional secondary data obtained by the researcher include:

- Botswana Government National Development Plan of 1997/98-2003,
- Summary of draft Botswana Government National Development Plan of 2003/04-2008,
- A book on 'The Judicial System in Botswana',
- Botswana Government Vision 2016,
- PMS documents obtained from the Directorate of Public Service Management.

## **6.7 Within Case Analysis**

The following section presents results from the qualitative data analysis. The section commences by presenting results from within case analysis of qualitative data obtained within and outside the department. The background of the Department of Administration of Justice was discussed in detail in chapter three of the thesis. Names



of the high and magistrate courts were changed in order to conceal the identities of respondents. The two high courts were named HCX and HCY. The seventeen magistrate courts were named M1 to M17. Appendix I contains detailed evidence of qualitative data analysis.

### 6.7.1 Developing and Implementing PMS in the Department of Administration of Justice

When asked about the process of developing and implementing PMS in the department, interviewees responded by explaining how PMS was introduced. Table 6.2 below shows a summary of what interviewees said about developing and implementing PMS in the Department of Administration of Justice.

**Table 6.2 Developing and Implementing PMS in the Department of Administration of Justice**

'Best Practice' PMS (HRM) Process*	Results of PMS process*	Summary of Employees Views**
Observe internal and external environment Plan and design a PMS Act on PMS Review a PMS	Mission-Vision-Value statements. Departmental Goals and Objectives. Strategic Plan. Critical success factors. Key Performance Indicators. Annual Performance Plan. Setting of Performance Goals and Targets. PMS, strategic plan, annual performance plan review.	According to respondents within the department, the PMS Management Team developed and designed PMS with the assistance from the BNPC.  The Team used documents such the O&M Review of 1995, Situational Analysis survey of 1999 to facilitate in the PMS process.

Source: \* 'Best Practice' PMS (HRM). \*\*Interviews with two middle and two junior managers in the Department of Administration of Justice.

### 6.7.2 Mission-Vision and Value Statements

According the department's strategic plan of 2001-2010, mission- vision and value statements were developed by the PMS Management Team and PMS coordinator for the department, with the assistance from the Botswana National Productivity Centre

(DAOJ, 2001a). The Mission-Vision and Value statements were later communicated to senior and middle managers for comments and suggestions. Senior managers and PMS coordinator from head office briefed employees. Magistrates in their respective stations briefed lower managers and non-supervisory staff about the Mission-Vision and Value statements. This was pointed out by the M4 middle manager during the interview:

‘I think ever since PMS came into play, we have been briefed by the department, PMS coordinator and BNPC’.

As shown in Table 6.2 above, the department has a mission-vision and value statements. Two lower managers and one staff member in different stations reported that mission-vision statements were introduced in their respective stations in 1999 and 2001. Though lower managers and staff lamented they were not involved in the preparation of mission-vision and value statements.

### **6.7.3 Strategic Plan**

As shown in Table 6.2 above, interviewees informed the researcher that the PMS Management Team at the HCX prepared the strategic plan for the department. The department’s strategic plan also states that a PMS Team developed mission-vision statements for the department. The Organisation and Methods Review Report of 1995 and the Situational Analysis Survey of 1999 were used as a basis to develop the strategic plan for the department (DAOJ, 2001a). The middle managers at M4 magistrate court informed the researcher that the department had a strategic plan commencing 2001 to 2010 and the annual strategic plan. Copies of the strategic plan, objectives and goals for 2001/02, 2002/03 and 2001-2010 were made available to the

researcher during the annual judicial conference held in July 2002 in Botswana. The middle manager at M4 magistrate court said that 'all (managers) were seriously involved in the strategic plan preparation process' (Middle manager, M4 magistrate court). The middle manager further said that:

'The department made a strategic plan starting 2001-2010. We went through some steps of making PMS. We were involved. First middle managers, the magistrates and then this plan was communicated to lower staff'

The middle manager at M4 magistrate court further said as head of stations and managers, they are supposed to communicate the strategic plan to staff in their stations. One staff member in a magistrate court said that they were briefed about PMS and strategic plan by the PMS Coordinator and the Registrar of the High Court.

#### **6.7.4 Annual Performance Plan (APP)**

The HR manager (HCX) indicated during the interview that the main documents used to develop the annual performance plan for the department and stations were the strategic plan and Scheme of Service for the department. The HR manager further said that job descriptions were also used to develop annual performance plans. When asked about staff involvement in the preparation of annual performance plans in his section, the HR manager said:

'Annual performance plans are already prepared. I do not know where they were obtained. Annual performance plans for each staff member were in the annual performance plan for the department. We review and modify for next year'

The middle manager at M4 magistrate court said that main the objectives contained in the strategic plan were used to develop the annual performance plan. He said that APP for stations were developed by the PMS Management Team, and forwarded to head of stations throughout Botswana for discussion and comments. According to the middle

manager at M4 magistrate court, head of out stations (magistrates) are responsible for communicating the strategic plan, annual performance plan and key performance indicators to staff in their respective stations. Ideally, employees are supposed to comment on the draft annual performance plan, performance goals and targets. Once employees have commented on the draft annual performance plan, performance goals and targets, drafts with comments are sent back to head office for approval and feedback (M1 middle manager). The middle manager at M4 magistrate court informed the researcher that there were currently no individual performance plans at M4.

#### **6.7.5 Key Performance Indicators (KPI)**

It emerged during the interviews that different methods were used to develop key performance indicators. Three methods mentioned by interviewees include Specific, Measurable, Achievable, Realistic and Time bounded (SMART) technique, projects and activities in the strategic plan and group meetings. The middle managers at M1 magistrate court said that SMART technique was used to develop key performance indicators. As pointed out by the M1 middle manager during the interview:

*'We use SMART to develop key performance indicators. You have to be specific when developing key performance indicators. Be specific to be able to measure performance through key performance indicators'*

On the other hand, the HR manager (HCX) indicated that 'projects' were used as key performance indicators. The middle managers at M4 magistrate court said that they looked at activities they can do based on the department's strategic plan. The middle manager at M1 magistrate court informed the researcher that in his court station, group meetings were held where each section set their goals and targets 'subject to management checks'. According to junior managers at M1, key performance

indicators are assigned to each target for sections through meetings and presentations. This exercise is carried out once a year in a workshop or during staff meetings specifically called to set performance targets and review annual performance plans. The PMS Management Team at HCX produced draft key performance indicators and targets for the department and courts (HR manager, HCX).

#### **6.7.6 Performance Measurement**

According to the middle managers at M1 magistrate court, performance is measured through key performance indicators. The department's strategic plan had key performance indicators to measure performance of the department (DAOJ, 2001a and DAOJ 2002b).

#### **6.7.7 Setting of Performance Targets**

According to information obtained from respondents, different methods were used to set performance targets. The researcher was informed that each section set targets and goals in a workshop, where sections present 'their intentions, targets and achievements' (Junior Manager, M1). The junior manager at M1 magistrate court further said that the starting point for setting targets was critical activities, person responsible for the activity and key performance indicators. Setting of targets was followed by an agreement by each person that they will perform together with a time frame for achievement of each target. The middle manager at M1 magistrate court said that 'staff set targets at eighty percent achievement' (middle manager, M1). According to HRM manager (HCX), officers in the HRM section at the HCX are

assigned roles during review meetings and officers give dates of when targets will be achieved. The HR manager (HCX) further said that responsibilities for staff are sourced from job descriptions. The middle manager at M4 magistrate court indicated that targets are set once a year.

#### **6.7.8 Reviewing the Performance Management System**

Empirical evidence collected through semi-structured interviews and informal discussions suggests that the Department of Administration of Justice used five methods to review PMS (Table 6.3 below). The review methods used include meetings, annual judicial conference, progress reports (written), workshops and interviews. Semi-structured interviews and informal discussions revealed that PMS is reviewed at two levels, at the departmental and station level. At the departmental level, PMS is reviewed through meetings, interviews and during the department's annual judicial conference (Middle managers at M1 and M4, junior manager at M9). At the station level, PMS is reviewed through meetings, workshops and progress reports (written). Semi-structured interviews and informal discussions revealed that, senior and middle managers and PMS coordinator carry out PMS review (middle managers, M4; junior managers M4 and M6). One junior manager (M8) informed the researcher that she attended a PMS review interview in 2001 at head office. In other magistrate courts, for example M4 and M6, middle managers and junior managers indicated that the PMS coordinator carried out PMS review. The PMS Coordinator visited stations in order to assess progress in the implementation of PMS and annual performance plans (junior managers at M4 and M8). In other magistrate courts, for example, M11 and M3, PMS review was in written form, where the PMS Coordinator

sends letters to junior managers requesting progress report regarding implementation of PMS and annual performance plans. Yet in other stations, for example M1, PMS review was carried out through workshops. At M4 magistrate court, magistrates hold meeting to review the station's annual performance plan before the department's annual judicial conference (M4, middle manager). The M4 middle manager pointed out during the interview that:

'There are PMS review meetings. To review whatever we did or whatever we intend to do. Because there are annual performance plans for stations. So every three months they are reviewed to see whether what we intended to do in those three months was actually done. So I think it is effective at the moment because PMS is really a new thing. ... The annual performance plan is set once a year and reviewed three times a year. The review process, may be it's a new process. We review at the annual judicial conference'

**Table 6.3 PMS Review Methods: Department of Administration of Justice**

<b>PMS/SP/APP Review Methods: Department of Administration of Justice</b>
Annual Judicial Conference
Monthly and quarterly meetings
Written progress reports
Interviews
Workshops

Source: Semi-Structured Interviews and Informal Discussions, DAOJ, 2002.

As revealed by semi-structured interviews and informal discussions with employees in the Department of Administration of Justice, the process of PMS review basically involved the review of the strategic plan, annual performance plan, key performance indicators and performance targets. During the review process, planned goals and targets were measured against actual achievements. For example, at magistrate courts and the HR section at HCX. Reasons for non-achievement of goals and targets are discussed during the review meetings. As mentioned by the middle manager at M1 magistrate court, 'we review achievements and modify each year' (middle manager, M1). The HR manager (HCX) said that during review meetings, people are assigned tasks and in turn give an indication of expected dates of achievement of goals and targets.

### 6.7.9 Employee Involvement in PMS Process

Employees' were interviewed regarding their involvement in the PMS process because during informal discussions some employees raised issues regarding their involvement and non-involvement in the PMS process. The question was aimed at getting further understanding regarding the extent to which employees were involved in PMS process. Table 6.4 below is a summary of what emerged during semi-structured interviews and informal discussions with employees regarding their involvement in the PMS process.

**Table 6.4 Employee Involvement in PMS in the Department**

<b>'Best Practice' PMS (HRM)</b>	<b>Employees Views</b>
Mission-Vision Statements Strategic Plan Annual Performance Plan Key Performance Indicators Setting of Performance Targets Review of Annual Performance Plan PMS Review	On the overall, there was minimal involvement of lower managers and non-supervisory staff in the PMS process.  PMS Coordinator and PMS Management Team were fully involved in PMS process. Senior and middle managers were also fully involved in PMS process.  Ideally, involvement of employees at lower management and non-supervisory staff was limited to comments on the draft annual performance plan and performance targets.  In one magistrate court, for example M1, the middle and lower managers indicated that there was staff involvement in the development of annual performance plans, setting goals and targets.

Source: Semi-structured interviews and informal discussions, DAOJ, 2002

Table 6.4 above shows that on the overall, senior and middle managers were involved in the PMS process. Lower managers and non-supervisory staff involvement came in when, in some stations, for example M1 magistrate court, employees were asked to comment on the draft annual performance plan. As evident from views of lower managers, for example, in M4, M6, M11 magistrate courts, staff were not involved in the development of mission-vision and value statements. According to two middle managers (M4 and HCX) and two junior managers (M4 and M6), annual performance



plans for lower managers and non-supervisory employees were prepared on their behalf. The middle manager at M4 said that employees were not involved in the preparation of the station's annual performance plan, but employees were briefed about the plan. According to two lower managers at M4 and M6, the M5 magistrate court set performance goals and targets for staff. Some junior managers said that they know that mission-vision statements were there but they not were involved in the process of developing them, for example at M11, M4 and M6 magistrate courts. One lower manager at M4 magistrate court pointed out during the interview that:

'All sections had their plan drawn for them. We had to implement this plan. It was a plan for M4 magistrate court. Lower managers and junior staff were complaining that what was contained in the plan was not what they had agreed as their plan. It was not what they contributed. We rejected this plan because we do not know who prepared this plan... we want our own plan'

A different scenario emerged at the M1 magistrate court where the middle and junior manager indicated during the semi-structured interview that they involved employees at all levels in the preparation and review of the station's annual performance plan. According to the two managers, employees were also involved in setting of performance goals and targets for their respective sections. Employee involvement at M1 magistrate court was through workshops and staff meetings during which, employees presented and discussed performance goals and targets (middle managers and junior manager, M1). Lower managers and non-supervisory employee involvement in the review process was minimal as evident from the views of four junior managers in four different magistrate courts. Four junior managers at M11, M4, M6 and M2 magistrate courts lamented that in 2001, the PMS Coordinator reviewed the strategic plan and annual performance plans. However, two of the four junior managers (M4 and M6) said review by the PMS Coordinator was not successful because of disagreements over non-involvement of staff in the development of annual performance plans, setting of goals and targets. The middle and lower managers in

M1 magistrate court indicated that all employees were involved in the review of annual performance plan. Regarding the HR section at HCX, the HR manager lamented that all head of sections participated in review meetings. The picture emerging from the above analysis indicates limited involvement of junior managers and non-supervisory employees in the PMS process.

#### **6.7.10 Performance Management System Support**

PMS support refers to the assistance provided to the department and employees in order to facilitate the PMS process and activities. PMS support was categorised into internal and external assistance (Table 6.5). Internal support refers to assistance provided from within the department, for example, by the PMS Coordinator, management and colleagues. External support refers to PMS assistance by the government, Botswana National Productivity Centre (BNPC) and consultants from outside the department. The issue of PMS support was mentioned several times by respondents during informal discussions and interviews with employees in the department. There was thus, a need to further probe into the type and extent of PMS support provided internally by the department and externally. Table 6.5 below indicates that the main type of internal support provided to facilitate the PMS process was in the form PMS training and briefing. The major support accorded to employees was training of senior and middle managers in PMS and briefing of staff in PMS. The main source of external support was in the form of PMS training and workshop facilitation.

**Table 6.5 Internal and External Support to Facilitate PMS Activities in the Department**

Main Type of PMS Support Provided	Limited Support
<p><b><u>Internal</u></b>            Training in PMS of senior and middle managers.            PMS Briefing to staff.            PMS information mainly to managers.</p> <p><b><u>External</u></b>            Training in PMS of PMS Coordinator, Performance Improvement Coordinators, senior and middle managers.            Workshops Facilitation.            PMS Documentation.</p>	<p><b><u>Internal</u></b>            Communication and feedback.</p> <p>Training of lower managers and non-supervisory employees in PMS process and application of PMS at work.</p> <p>Inadequate facilities and equipment.</p>

Source: Informal discussions and semi-structured interviews, 2002.

### 6.7.11 Training in Performance Management System

The department has since 1999, when PMS was introduced, received internal and external support to facilitate PMS process and activities. According to Table 6.5 above internal PMS support to management and staff was mainly in the form of training and briefing in PMS. It emerged from semi-structured interviews and informal discussions with managers and staff that the PMS Coordinator and managers in the department briefed employees. New staff informed the researcher that they have not yet been briefed in PMS. Two middle managers in M1 and M4 said they were briefed about annual performance plan preparation. Approximately eight employees in different positions informed the researcher that the PMS Coordinator and the Registrar informed employees about the PMS and the department's mission-vision and value statements. Though some lower managers, administrative and clerical staff complained that they have not received adequate briefing in how to use PMS at work. At the M1 magistrate court, PMS training was through workshops, where participants were trained on how to prepare annual performance plans, set goals and targets for their respective sections (middle and junior manager at M1). Furthermore, the two managers at M1 said that they request the BNPC to facilitate in

their workshops. However, in some stations, for example, M11 and M3 magistrate courts, two junior managers said that they have not submitted progress report regarding PMS activities and annual performance plans due to 'lack of guidance on how to prepare them' (junior managers, M11 and M3). Regarding documentation in PMS, middle managers at M1 magistrate court indicated that 'there are a lot of documents' available (middle managers, M1).

#### **6.7.12 Resources**

Respondents in different court stations said shortage of financial, human and equipment hamper the PMS process, for example M1, M2 and M3 magistrate courts. The middle and junior manager at M1 magistrate court complained about shortage of resources in their station. The middle manager at M1 indicated they have resorted to planning with the resources they have. One junior manager in M2 magistrate court indicated that shortage of human resources had limited the station's ability to implement goals. One staff member at M3 magistrate court pointed out that shortage of equipment affected staff performance. According to some employees, interviews and discussions were held with, the fact that the PMS Coordinator left the department in July 2002 interrupted PMS process in the department (Performance Improvement Coordinators, HCX; HR manager, HCX; middle and junior manager, M1; middle managers, M4; one staff member, M9). The department has, since the departure of the PMS Coordinator, had two new PIC officers appointed to continue PMS activities in the department.

### **6.7.13 Communication**

Bureaucracy is one of the factors that can lead to communication problems in large organisations, particularly in the public sector. The majority of employees interviewed in the department expressed the general poor state of communication between the head office and out stations. For example middle managers at M1 and M4 complained about delay in feedback from HCX regarding draft annual performance plans. One middle manager in M4 and two lower managers at M4 and M6 magistrate courts expressed concern about delays in decision-making caused by the process of channelling communication to the HCX through the main administrative centre at M5. One lower manager said the HCX did not communicate with the stations regarding 'what to do with the mission-vision statements' (M13 magistrate court). On a positive note, one lower manager at HCY said that communication has improved in the department since PMS was introduced.

### **6.7.14 External Support**

The Botswana National Productivity Centre (BNPC) is the local consultant assigned by the government to train public officers in government ministries and independent departments in PMS activities. Middle managers (M4 and M1) and lower managers (M4, M6 and M11) indicated that the BNPC had briefed staff and trained some employees in PMS. Training from the BNPC was, for example, on how to prepare annual performance plans and how to set goals. The Performance Improvement Coordinators informed the researcher that they are currently being trained by the

BNPC in PMS process and PMS activities. In some stations, for example, M1 the BNPC was invited to facilitate in PMS workshops.

#### **6.7.15 Performance Management System Awareness**

The level of PMS awareness was generally high amongst management and junior managers and moderate for non-management employees in the department. As evident from semi-structured interviews and informal discussions held with staff in the department, majority of employees in lower management and non-supervisory positions said that though they were aware of, for example, the department's mission-vision statement, they had not been trained in how to apply PMS at work. New staff informed the researcher that they have not yet been briefed about PMS since joining the department. New employees who have not been briefed in PMS were officers who have been in the department for less than one year. Two members of staff at M3 and M9 magistrate courts informed the researcher that they heard about PMS at the Ministry of Education and University of Botswana where they used to work. One staff member heard about PMS through the national radio (M3 magistrate court).

#### **6.7.16 Performance Management System Status**

PMS status refers to the current state of PMS in the department and court stations at the time of this research. The two middle managers (M1 and M4), two junior managers (M1 and M4) and Performance Improvement Coordinators (HCX) interviewed were asked to indicate the status of PMS in their respective stations. This question was a follow up to responses in the self-administered questionnaire in which

some managers and employees had indicated that PMS was working in their station (M1 magistrate court). In other stations, for example M4 and M6 magistrate courts, some managers and employees implied that PMS was not working due to disagreements over preparation of annual performance plans, goals and targets. Semi-structured interviews were held with two middle managers and two lower managers at M1 and M4 court stations. Interviewees were asked to indicate the overall status of PMS in their respective stations. Data from informal discussions with employees and secondary sources were also used to have a clearer picture of the status of PMS in the two high courts and fifteen magistrate courts. It was interesting to note that interviewees described PMS status in terms of PMS activities in each station. PMS activities were described as mission-vision statement, strategic plan, annual performance plans, key performance indicators, performance goals and targets and PMS review. Table 6.6 gives an overall indication of PMS status in the two high courts and seventeen magistrate courts in the department. Data regarding the status of PMS at the two magistrate courts, which were not visited, (M16 and M17 magistrate courts) were obtained through telephone conversation with middle managers.

As mentioned earlier, PMS Management Team, PMS Coordinator, senior and middle managers, formulated PMS. PMS activities commenced with the development of draft mission-vision and value statements, goals, objectives; strategic plan and annual performance plan. The draft mission, vision and strategic plan were circulated to senior and middle managers for comments and suggestions. Ideally, drafts were also circulated to out stations to allow lower managers and no-supervisory staff to comment on. As mentioned by the middle manager at M4 magistrate court, it is the responsibility of managers in out stations to brief and communicate with staff on PMS

activities. However, there were some shortcomings in the process of communicating and executing PMS activities at out stations as shown by the analysis that follows. Table 6.6 below shows the overall status of PMS in the department at the two high courts and seventeen magistrate courts at the time of this research. Employees informed the researcher that overall progress regarding PMS activities in the department was disrupted by the departure of the PMS Coordinator in July 2002. The department has two newly appointed Performance Improvement Coordinators to continue PMS activities.

**Table 6.6 PMS Activities in two High Courts and Seventeen Magistrate Courts**

<b>PMS Activities</b>	<b>High Courts (2)</b>	<b>Magistrate Courts (17)</b>
Mission-Vision statements	There were limited activities at the two high courts. Activities were limited to review of strategic plan, APP and KPI.	At the fifteen (15) magistrate courts, PMS activities were limited to review of annual performance plan.
Strategic Plan	Major PMS activities took place at the annual judicial conference, during which senior and middle managers meet to review PMS, strategic plan and annual performance plan for the department.	Senior and middle managers participate in PMS review at the annual judicial conference.
Annual Performance Plan		
Key Performance Indicators	The review process entails review of strategic plan, evaluation of planned vs. actual achievements in the annual performance plan, and setting of new targets for the following year.	At two (2) magistrate courts, M4 and M6, indications were that PMS activities at junior level were halted by disagreements over non-involvement of lower managers and non-supervisory staff in setting of performance targets in the annual performance plan for employees.
Performance Targets		
PMS Review	Indications from informal discussions and interviews were that PMS activities were disrupted by the departure of the PMS Coordinator in July 2002. For example, educating staff in PMS.	Evidence collected from M1 magistrate court suggested PMS activities were taking place and staff were involved in the process of, for example preparation of performance plans and setting of targets for their respective sections/units.
Strategic Plan Review		
Annual Performance Plan Review	At the time of this research, the department had two new Performance Improvement Coordinators appointed to continue PMS activities.  The two Coordinators revealed that they were currently undergoing PMS training. They informed the researcher that they have commenced PMS training and briefing of staff in the department.	

Source: semi-structured interviews and informal discussions with employees, 2002.



### **6.7.17 Performance Management System Activities**

When looking at the level of PMS activities in all the courts in the department in Tables 6.6 above, there were indications that M1 magistrate court had some PMS activities and staff involvement in the process. PMS activities at the rest of the courts were generally low and limited to the review of PMS and annual performance plan which were carried out on quarterly and annually basis. The middle and junior manager (M1) informed the researcher during the interview that M1 magistrate court had developed and reviewed annual performance plan for 2001-2002. At the time of this research, M1 was developing annual performance plan and setting targets for 2002-2003. The M1 magistrate court used the department's strategic plan and annual performance plan to guide the development of the annual performance plan. The researcher was informed by the middle and junior manager that employees at M1 were involved in the development and review of the station's annual performance plan and targets. A different picture emerged at two magistrate courts (M4 and M6). It emerged from semi-structured interviews and informal discussions with one middle manager (M4) and three junior managers (M4, M6) that 'bureaucracy, control and poor communication' between M5; M4 and M6 magistrate courts had affected PMS activities. The three courts are located in one area and M5 is the main administration centre. Furthermore, interviews with lower and managers at M4 magistrate court revealed that lack of staff involvement in APP preparation and setting of performance targets contributed to limited PMS activities.

### 6.7.18 Challenges of Introducing PMS in the Department of Administration of Justice

According to the 'Best Practice' PMS (HRM) introducing a PMS in an organisation is usually associated with problems and challenges, particularly at the initial stages of adopting the PM system (IPM, 1992; Sparrow and Hiltrop, 1994; Armstrong and Baron, 1998). The Department of Administration of Justice was no stranger to these challenges. As shown in Table 6.7 below, semi-structured interviews with managers indicated that there were indeed some challenges. Interviewees were asked to inform the researcher about any challenges of introducing PMS in the department. Organisational structure and process, communication and PMS training emerged as the most frequently mentioned challenges of introducing PMS in the department.

**Table 6.7 Challenges of Introducing PMS in the Department**

Challenges of Introducing PMS	Most frequently Mentioned and Emphasised by Interviewees
Organisational: Structure, process and climate	1
Communication	2
Training	3
Commitment and Ownership	4
Resources	5
Attitude	6
Cynicism	7
Motivation	8

Source: Semi-structured interviews, 2002. Note: 1= most frequently mentioned, 8 = less frequently mentioned.

### 6.7.19 Organisational Structure, Process and Climate

According to Table 6.7 above, the major challenges of introducing PMS in the department were organisational and HRM related. Organisational structure, process and training in PMS were said to be the major factors affecting PMS. Interviewees at M4 pointed bureaucracy and control from HCX and M5 as main factors affecting PMS in the department. M5 is the main administration centre for three magistrate

courts located in one city. Middle managers at M1 magistrate court informed the researcher that limited time available for PMS activities impacted on PMS activities in the station. Furthermore, M1 middle manager said that the fact they work with various customers limits the flexibility of their work schedule to accommodate PMS activities. Two middle managers, for example, in M4 and M14 magistrate courts pointed out that their performance was affected by having to work with various customers and government departments such as attorneys, police and prisons and this procedure can sometimes cause delays in work.

#### **6.7.20 Commitment and Ownership**

Commitment and ownership was cited as another challenge of introducing PMS process in the department. Three middle managers (M1, M4 and HCX) said that commitment and ownership by top management poses a challenge to PMS implementation. One middle manager at M1 said that top managers must 'live PMS and theory must be preached and practiced.' Furthermore, middle manager at M4 magistrate court said that top managers 'must own and practice PMS'. Comments from one senior manager were that the department had a problem of 'glorifying PMS but practicing something else' (HCY). One middle manager was adamant that PMS will not work in the department 'as long as lawyers mindset was not changed'. He said that management in the department listened more 'if it is a legal issue... if it's not legal it's not important' (middle manager, HCX). The new Performance Improvement Coordinators felt that leadership was not interested in and committed to PMS. The two Coordinators further said top management view the current Coordinators as junior officers and this poses a problem for PMS. The departure of the PMS

Coordinator for the department was said to be another contributing factor. The HR manager at HCX, M4 middle manager and two Performance Improvement Coordinators raised concern about the vacuum left by the departure of the PMS Coordinator in July 2002. The department's PMS Coordinator left before this research was carried out. At the time of this research, the department had two new Performance Improvement Coordinators. The Performance Improvement Coordinators informed the researcher that they have started training and briefing managers and staff in PMS activities, including training staff on how to prepare annual performance plans. Though some managers and staff members doubted whether the new coordinators would have the same commitment and motivation as the previous coordinator.

#### **6.7.21 HRM Issues**

Motivation, limited resources and staff involvement was said to affect PMS in the department. Mainly lower managers and non-supervisory staff expressed concern over limited involvement in PMS activities as a factor affecting PMS implementation. For example, two lower managers at the HCX pointed out during an interview that:

'It is important that issues relating to pay and staff morale are attended to first before one can talk about PMS ...' 'Staff involvement is another key issue. Some staff feel left out in PMS, for example, not trained on how to prepare annual performance plans'

#### **6.7.22 Cynicism and Attitude**

Cynicism emerged as another factor affecting PMS in the department. Cynicism was reflected in comments by some employees, for example, one staff member at M9 magistrate court commented during an informal discussion that:

'PMS won't work as long as there is no teamwork and education at grass root level. The problem is that the PMS coordinator and management do not cascade it to junior staff. It will die like WITS if staff at grass root level are not educated so that PMS does not die a natural death as people get transferred, resign and retire'

Middle manager at M4 magistrate court said that 'PMS would die like work improvement teams (WITS) if top officers do not own and practice it'. On the other hand, middle managers at M1 and M4 said the fact that some people were cynical about change and people who do not want to change affected PMS. One middle manager lamented the problem of culture in the department, where employees without a legal background were not listened.

### **6.7.23 Factors that would Contribute to a Successful PMS**

When asked about factors that would contribute to a successful PMS in the department, interviewees identified organisational structure, process, training, commitment, ownership and motivation as major determinants of a successful PMS in the department. Table 6.8 below contains a summary of aspects interviewees said would lead to a successful PMS. Regarding organisational structure, process and climate, interviewees pointed out that improving organisational factors such as delay caused by bureaucracy and control would contribute to a successful PMS. In addition, interviewees informed the researcher that the process of having to work with a variety of customers such as lawyers, prosecutors, prisons and social workers affected PMS. Improving HRM related factors such as training in PMS, communication, ownership, commitment, would also contribute to a successful PMS. Motivation was said to be an important success factor as pointed by middle managers in M4 and M1. The two managers said staff at all levels in the department needed to work hard for PMS work.

The element of training in PMS and communication was echoed as a PMS success factor by middle and lower managers as well as non-supervisory employees.

**Table 6.8 Factors that will contribute to a successful PMS**

Factor that will contribute to PMS success	Most Frequently Mentioned and Emphasised Factor
Organisational structure, process and climate.	1
Training	1
Commitment and Ownership	1
Motivation	1
Attitude	2
Communication	2
Resources	2

Source: Interviews.

Note: 1= most frequently mentioned factor, 2 = least frequently success factor.

#### 6.7.24 Views about the Performance Management System

PMS outcomes were measured according to positive and negative statements expressed by interviewees regarding PMS in the department. Table 6.9 gives an indication of the positive and negative statements mentioned by interviewees' Table 6.9 suggests that employees expressed more negative than positive statements about outcomes of PMS in the department. The most frequently mentioned positive statements relate to communication, motivation and training. Positive statements were mainly about improvement in communication through regular meetings, training in PMS particularly training of managers, and employees' enthusiasms in PMS. The most frequently mentioned negative statements relate mainly to training, motivation, communication and organisational structure and process. Employees commented that poor communication between the head office and out stations as well as the fact that they had to work with a variety of customers affected staff performance and PMS in the department. The table shows that there were more negative statements about PMS than positive statements.

**Table 6.9 PMS: Positive and Negative Statements Expressed by Employees**

<b>PMS</b>	<b>Positive Statements Frequency of mention.</b>	<b>Negative Statements. Frequency of mention</b>
<b>Organisational</b>	<b>3</b>	<b>9</b>
Backlog of cases due to manpower constraints;	0	4
Need to recruit and retain trained staff;	1	5
High turnover of professional staff;	-	-
Lack of court facilities, office space and equipment;	1	3
Heavy workload;	0	4
Weak internal communication; *	7	8
Unattractive terms and conditions of service;	1	2
Low staff morale;	17	10
Untrained administrative and support staff and;	7	12
Lack of departmental performance plans	2	0
Lack of individual performance plans	0	4
Use of native language to explain PMS to unskilled employees.	2	
Application of PMS in every day life, even outside the office in private life.	2	
<b>Totals</b>	<b>38</b>	<b>57</b>

**6.7.25 Performance Management System Achievements**

PMS achievements referred to progress made as a result of introducing a PMS in the Department of Administration of Justice. As shown in Table 6.10 below, before 1999 the department did not have a mission-vision statement, strategic plan, annual performance plans, critical success factors, key performance indicators and targets. The introduction of a PMS has transformed the department in that the department now has a mission-vision and value statements (see Appendix F and G), strategic plan, key performance indicators and annual performance plans. The department has, since 1999, developed short-term strategic goals for 2001-2004, strategic objectives for 2001-2002, as well a long-term strategic plan for 2001-2010. In addition, the departmental reviewed the strategic plan and annual performance plans quarterly and annually.

**Table 6.10 Performance Management System Achievements: 1999-2002**

<b>'Best Practice' PMS Process</b>	<b>PMS Results</b>	<b>Before PMS (1999)</b>	<b>Actual: 1999-2002 High Courts (2)</b>	<b>Actual: 1999-2002 Magistrate Courts (17)</b>
<b>Observe</b>	Mission-Vision statement	×	√	√
	Departmental Goals and Objectives	×	√	√
<b>Plan/Design</b>	Strategic Plan	×	√	√
	Annual Performance Plan	×	√	√
<b>Act</b>	Key Performance Indicators	×	√	√
	Performance Targets	×	√	√
<b>PMS Review</b>	Performance Review	×	√	√

Source: DAOJ, 2001a, Interviews: 2002. Note: √ the department had, × the department did not have.

Table 6.11 shows PMS objectives from 1999 to 2004. These objectives were based on planned and actual achievements regarding PMS implementation (DAOJ, 2001a). Table 6.11 also shows planned and actual achievements in PMS by the department between the 1999 and 2002. PMS objectives were classified by the researcher into organisational and HRM objectives. By 2002, the department had a mission-vision and values statements, organisational goals and objectives, strategic plan and annual performance plans, key performance indicators, performance targets and reviews. Institutional planning refers to development planning, which was based on development and infrastructural projects linked to the National Development Plan (DAOJ 2002b; Somolakae et al., 1999). The department did not undertake performance planning, as was the case when PMS was introduced. Regarding HRM related achievements, the departments had not yet implemented quarterly performance appraisal and performance based pay system (Table 6.11). The researcher was informed by four managers (at HCY, M1, M4 and M12) that the appraisal and reward policies were under review by a committee in the department for recommendations to government. The department was developing a HRM strategy at the time of this research (DAOJ, 2002b).



**Table 6.11 Performance Management System Achievements: Planned versus Actual: 1999-2004**

<b>PMS Objectives (Expected)</b>	<b>Before 1999</b>	<b>Actual Achievements 1999-2002</b>	<b>Planned Achievements: 2002-2004</b>
<b>Organisational Objectives</b>			
Mission-Vision-Value Statements	×	√	√
Strategic Plan	Institutional planning	√	√
Annual Performance Plan	×	√	√
Key Performance Indicators	×	√	√
Performance Targets	×	√	√
Dates for targets	×	√	√
PMS/SP/APP Review	×	√	√
<b>Employee Objectives</b>			
<b>HRM</b>			
Annual Appraisal	√	√	√
Seniority, Merit based, inflationary pay	√	√	√
Quarterly Appraisal	×	×	√
Performance Based Pay	×	×	√
Internal and External Review	×	×	√
<b>Work Process/Task Performance</b>			
Individual performance plans*	×	×*	√
Setting of Individual Targets	×	×	√
Review Individual Performance plans	×	×	√

Source: Somolekae et al., 1999, DAOJ, 2001a, Semi-structured interviews and informal discussions, 2002. Note: √ the department had, × the department did not have. \*In the process of being developed.

## 6.8 Interviews with Users of Services Provided by the Department

The section that follows gives outline of semi-structures interviews held with users of service provided by the department. The interviews were based on the performance and service delivery of the department and the judiciary in Botswana. The section commences with a brief background of users followed by a discussion of themes that emerged from the interviews.

### 6.8.1 Brief Background of External Customers

Four users of services interviewed comprised prosecutors in the Police Department and three attorneys in private law firms. The interviews were conducted in order to gain more understanding of the judicial system and users' role in the Department of

Administration of Justice. The Police Department undertakes day-to-day prosecutions under the delegated authority of the Attorney General Chambers (Botswana Government, 1997b). Private attorneys play an important role in the judicial system in that they provide legal representation to members of the public and assist the courts in the administration of justice. Contact between prosecutors, private attorneys, judges and magistrates in the department occur in courts when cases are heard and justice is delivered (Botswana Government, 1995). Table 6.12 shows positive and negative statements expressed by interviewees' regarding the performance, independence and service delivery by the judicial system in Botswana.

**Table 6.12 Users Views: Performance of the Judiciary in Botswana**

Performance Factors	Institution	Positive and Negative Statements: Prosecutors and Attorneys (N=6)
Performance	High Court of Appeal	++
	High Courts	+-
	Magistrate Courts	-
	Customary Courts	-
	Police/Prosecutors*	-
	AG's Chambers	-
Independence and Impartiality	High Court of Appeal *	++
	High Courts *	++
	Magistrate Courts *	++
	Customary Courts	-
Service Delivery	High Court of Appeal	++
	High Courts	-
	Magistrate Courts	-
	Customary Courts	-

Source: Se-structured interviews 2002 and 2003. Note: \* Mentioned by more than one person.

Indications from Table 6.12 above are that interviewees expressed positive statements about the High Court of Appeal in all the three aspects of performance, independence and service delivery. When requested to give an overview on the performance and service delivery of the judiciary in Botswana, one attorney revealed that he was happy with the performance, independence and service delivery of the High Court of Appeal. He said that the High Court of Appeal was characterised by highly trained judges, professionalism, speedy service delivery, fairness and independence. He

further lamented that performance of the High Courts and Magistrate Courts was hampered by untrained administrative and support staff, and prosecutors not trained in law. These factors, contributed to slowness in service delivery and delay in justice delivery. As shown in Table 6.12 above, positive statements were expressed for the High and Magistrate Courts regarding independence and impartiality. However, interviewees' were negative about overall performance and service delivery of the high and magistrate courts. Regarding customary courts, the attorney who was asked to give an overview of the judiciary was not happy with performance of customary courts because of poor training of officers courts contributing to unfair justice and passing punishment without due consideration for human rights. An interview with prosecutors revealed that poor performance of prosecutors was due to inadequate training in law and the fact that experienced prosecutors were deployed on promotion. The researcher was informed that prosecution was the responsibility of the Attorney General Chambers and not the Police Department as was currently the case.

## **6.9 Summary**

Firstly, what has emerged from the qualitative evidence collected within the Department of Administration of Justice was that PMS process entailed identification of PMS needs using various documents and techniques to facilitate the process. The main documents used to identify PMS needs and assess the department's strengths and weaknesses were the Situational Analysis Survey of 1999, Organisation and Methods Review of 1995 and Scheme of Service. The specific, measurable, achievable, realistic and time bound (SMART) and strengths, weaknesses, opportunities and threats (SWOT) analytical techniques were used to facilitate PMS

formulation. The department's PMS Coordinator, PMS Management Team, senior and middle managers, formulated PMS. Evidence collected in the department suggests that the PMS Coordinator, senior and middle managers implemented PMS. The BNPC played a role in facilitating PMS formulation and implementation in the department. The HRM section did not play a major role in the PMS process. Evidence collected indicates that HRM section role in PMS was to organise facilities and projects for PMS. Facilities were referred to mean making logistical arrangements for example, meetings and workshops. HR projects were said to mean sourcing equipment, for example, computers. There were indications from the qualitative data that there was minimal participation of lower managers and non-supervisory staff in the PMS process.

Secondly, evidence suggests that there have been some achievements since PMS was introduced. The department had mission-vision and value statements, which were not in existence prior to PMS. In addition, the department had strategic plan, annual performance plan, performance indicators and targets with persons responsible. Evidence collected suggest that the PMS Management Team, PMS Coordinator and senior and middle managers, developed PMS and strategic vision, mission, objectives and performance plans for the high courts and magistrate courts to implement. Regarding PMS status and activities, evidence suggests that PMS activities at the high courts and magistrate courts mainly involved the implementation and review of annual performance plans, setting of performance targets and persons responsible. Senior and middle managers were involved in the review of PMS, strategic plan, departmental and out stations annual performance plans and set targets on a quarterly and annual basis. Ideally, employees at lower management and non-supervisory

positions comment on the annual performance plan and targets. However, it emerged from semi-structured interviews and informal discussions that this was not always the case in some court stations. Interviews with middle and lower managers revealed that bureaucracy; control and poor of communication had affected PMS process. In another court, for example M1 magistrate court, there was evidence of PMS activities and staff involvement in the process. For example, staff involvement in the review of annual performance plan and setting of targets for sections/units and the station.

Finally, qualitative evidence has revealed that the department used a variety of methods to review PMS, strategic plan and annual performance plan and that reviews were carried out quarterly and annual. Review methods used by the department include meetings, written reports, interviews, workshops and the annual judicial conference. It emerged that the major review took place at the annual review conference, which was attended by senior and middle managers in the department. Semi-structured interviews and informal discussions revealed that there were organisational and HR related factors that affected PMS process in the department. The factors that emerged were organisational structure, work process, communication, commitment, ownership, training, attitude, cynicism and motivation. Evidence collected from users of services suggests that users were happy with the aspects of independent and impartiality of the judiciary. It emerged that users were not happy with the performance and rapidity of service delivery of the high courts and magistrate courts. Users were not happy with a backlog of cases, untrained administrative and support staff, which leads to delays in service delivery as well as untrained prosecutors that service the department. The next chapter discusses and interpret results from quantitative and qualitative data analysis.

## CHAPTER 7

### FINDINGS AND INTERPRETATION OF RESULTS

#### 7.1 Introduction

This chapter discusses and interprets results from quantitative and qualitative data analysis. The chapter is divided into seven sections. The first section discusses and interprets results regarding the first research objective relating to the PMS existing in the Department of Administration of Justice. The second part addresses the second research objective regarding identifying gaps between 'Best Practice' PMS (HRM) and PMS existing in the department. The third section discusses the overall effectiveness of PMS and the department. The fourth section discusses results, summarises findings and discusses strengths and limitations of PMS existing in the department. The fifth section addresses the third research objective, which entails suggesting changes to reduce gaps between 'Best Practice' PMS and PMS existing in the department. The research objective regarding exploring the applicability of 'Best Practice' versus 'Best Fit' is discussed in section six. The last section is a summary of the chapter. The following section addresses the first research objective regarding the PMS existing in the Department of Administration of Justice. As noted in chapter 5 of this research, the 'Best Practice' PMS (HRM) framework was used to guide this research.

## **7.2 Research Objective 1: PMS existing in the Department of Administration of Justice**

According to the 'Best Practice' PMS (HRM), the core process of PMS involves 4 major cyclical stages (Figure 2.4 in chapter 2 depicts PMS core process). Following the core process would facilitate an organisation to identify PMS needs and formulate an appropriate PMS that meets organisational goals and objectives. The first process entails observing the internal and external environment of an organisation. The second phase involves planning and designing a PMS based on what was observed, while the third stage constitutes acting on a PMS based on what was planned and designed. The fourth process involves reviewing and evaluating a PMS in order to assess if it has addressed PM needs of the organisations and met intended goals and objectives of a PMS. The following sections discuss and interpret results regarding PMS process existing in the Department of Administration of Justice in Botswana.

### **7.2.1 Observing the Internal and External Environment**

The 'Best Practice' PMS (HRM) asserts that an organisation should observe the internal and external environment in which the organisation exists. The environment is observed in order to assess if the environment supports the organisation in achieving intended goals and objectives, as well as supportive of a PMS (Olve et al., 2000). The main elements to consider when observing the internal and external environment include organisational roles, aims, objectives, mission, vision, values, structure, systems and work processes, HR policies and practices, culture and external customers needs and bench marking with an 'ideal' PMS (depicted in Figure 2.6 in chapter 2). The questionnaire for managers contained questions on the PMS process

in the department (see Appendix C). Evidence collected from the Department of Administration of Justice indicates that to a certain extent, the department observed the internal and external environment.

Empirical evidence collected through the survey questionnaire for managers, supports the view that the department observed the internal and external environment. For example, 52 per cent of managers felt that department's mission and vision were reviewed and that the department examined customers' needs and expectations (60 per cent of managers) (Chapter 5, Section 5.5.). Managers surveyed indicated that the department observed the internal environment by assessing for example, functions, values, mission, objectives, strategy and goals of the department before formulating a PMS. In addition, the department assessed its strengths and weaknesses as indicated by 45 per cent of managers surveyed. Evidence collected through interviews and secondary sources suggests that the department used various techniques including seminar, workshops, specific, measurable, achievable, realistic and time framed (SMART), strengths, weaknesses, opportunities and threat (SWOT) analysis, survey reports and external consultants to facilitate identification of performance management needs and to formulate PMS (Chapter 6, Section 6.7, Within-Case Analysis). According to secondary sources obtained from the department, the department had established a PMS Management Strategy Team, chaired by a Judge. The PMS Team was responsible for drafting the mission-vision-values and the strategic plan, with assistance from a consultant from the BNPC (DAOJ, 2001a).

Data collected through secondary means suggests the department consulted external customers and stakeholders to ascertain their needs and aspirations (DAOJ, 2001a).



Furthermore, 60 per cent of managers surveyed indicated the department examined external customer needs and expectations before designing a PMS. According to the DAOJ (2001a), external consultation was achieved through a stakeholder conference held in July 2000. Internal consultation was held through workshops throughout the 19 courts in the country (DAOJ, 2001a). Though almost half of non-management staff surveyed indicated that they were never consulted during the planning of a PMS (48.2 per cent) and development of mission-vision statements (46.7 per cent), 46.7 per cent of staff indicated that they were consulted during the development of a strategic plan for the department (Chapter 5, Section 5.6.3). Managers were undecided when asked to indicate whether employees at all levels were consulted during the planning and designing of PMS (37 per cent). Though 42.1 per cent of managers said staff comments were incorporated into PMS (Chapter 5, Section 5.5). As indicated by Long and Franklin (2004), stakeholder input and integration into the organisation's policy making process is valuable because it strengthens the policy and enhances responsiveness and focuses resources on key concerns of the organisation's services. Long and Franklin (2004) noted that stakeholder input also improves successful implementation since stakeholders perceive they have ownership of the policy or programme.

Another important component of observing the external environment is to identify a 'Best Practice' or 'ideal' PMS, particularly PMS used by similar organisations, as well as a PMS model which has proven to be effective and efficient (Olve et al., 2000, Armstrong and Baron, 1998). According to Olve et al., 2000; Armstrong and Baron, 1998; and Gibb, 2002; identifying best practice PMS in the external environment includes benchmarking with ideal PMS and establishing its appropriateness. Evidence

collected through secondary sources supports the view that the department benchmarked ideal PMS in other public organisations, for example, PMS in the USA and public sector management practices in New Zealand (DPSM, 2002; DAOJ, 2001a). The department benchmarked effectiveness and performance with regional and international justice departments. According to the department's strategic plan, the department aspires to 'enhance efficiency and effectiveness in the provision of world class service and deliver the best service equivalent to that which can be obtained in the first world' (DAOJ, 2001a, p.10 and p.26).

The 'Best Practice' PMS (HRM) suggest that organisational systems and process should be assessed in order to identify strengths and weaknesses. Observing organisational systems and processes before planning and designing a PMS would enhance successful implementing and efficiency of the PM system. Organisational systems and process to observe involves assessing HRM and organisational factors including structure, leadership, culture, management style, work processes, resources, competence, capabilities, as well as programmes and processes for managing, monitoring, measuring and reviewing performance (Olive et al., 2000; Armstrong and Baron, 1998). It is also necessary to review systems of appraising and rewarding performance, as well as developing performance skills. Assessing organisational systems and process for strengths and weaknesses completes by identifying and suggesting new systems and procedures for improvement (Armstrong and Baron, 1998). Evidence collected from the department suggests that organisational systems and processes were examined before planning and designing a PMS. This was supported by 44.8 per cent of managers who indicated the department's strengths and weaknesses were assessed during planning and designing of a PMS (Chapter 5, Table

5.6). Evidence from interviews and secondary sources indicate that the department used strengths, weaknesses, opportunities and threats (SWOT) analysis, which identified weaknesses in 'service delivery, poor HRM systems, and limited access to information technology' (DAOJ, 2001a, p.6). The department had strengths in areas of 'physical access to a transparent court system and overall organisational capability to deliver on the vision and the mission' (Ibid.). Organisational threats included 'erosion of discretionary powers, erosion of public confidence and loss of trained staff to the private sector owing to budgetary constraints' (Ibid.). Areas of opportunities identified included 'constitutionally guaranteed independence, a stable political environment and respect on the part of the executive and legislative branches of judicial decisions' (Ibid.). In addition, the Situational Analysis Survey of 1999 and SWOT analysis revealed that the department should improve 'leadership and organisational planning, as well as PMS training and implementation, IT, performance measurement, reward policy and systems for monitoring and rewarding performance' (Ibid.).

The 'Best Practice' PMS (HRM) emphasises the importance of integrative approach to developing and implementing PMS in an organisation. Evidence collected from the department suggests that, though organisational systems and processes were assessed for strengths and weaknesses, PMS was implemented before the organisational, HRM policies and procedures were revised and finalised to ensure that they suite the philosophy of a PM system. This was evident from views of managers and non-management staff in the department regarding organisational systems and process factors. Managers indicated during the semi-structured interviews that the department, at the time of this research, used outdated system of appraising and rewarding staff

(Chapter 6, Section 6.7.26, Interview with two middle managers and two performance improvement coordinators in the department). Indications from the survey were that majority of staff in the department were not happy with factors relating to performance and performance management. For example, a high proportion of non-management staff felt that the current appraisal and reward system needed to be revised to make it appropriate for staff in the department (75.2 per cent). Half of employees surveyed felt that there was poor communication between senior managers and junior staff. Non-management employees surveyed indicated that work environment was not positive (41.1 per cent), facilities were not adequate (55.1 per cent) and the department's policy was not flexible (38.4 per cent). Non-management staff felt the department's management style was not supportive and involving (38.3 per cent) and that the conditions of service were not supportive of high performance (41.9 per cent) (Chapter 5, Section 5.6.7, Table 5.45).

### **7.2.2 Planning and Designing a PMS**

Planning and designing a PMS is the second stage in the PMS process. The 'Best Practice' PMS (HRM) suggests that organisations should plan for resources required to implement, operate and sustain a PMS (Armstrong and Baron, 1998). Planning for resources entails assessing the adequacy of financial; HR and availability of time to attend PMS related matters. Planning also entails assessing methods to monitor, review and evaluate PMS. It is equally important that a timetable is prepared for employees covered by PMS, indicating when and how PMS will be introduced is planned at this stage. In addition, employee training in PMS has to be planned to ensure that there is a timetable for who, when, how, staff will be trained and as well as

who will conduct PMS training. PMS is designed once resources required are assessed and adequately planned for. Empirical evidence collected from the department suggests that to a certain degree, PMS was planned and designed on what was agreed. For example, 42.1 per cent of managers surveyed indicated that PMS was planned and designed according to what was agreed. There were indications from the survey data that the department had also budgeted for PMS as indicated by 42.1 per cent of managers surveyed. On the other hand, 45 per cent of non-management employees felt that facilities and equipment required to assist staff performance were not adequately planned and budgeted for. Almost half of managers surveyed felt that the department did not plan for support staff required for PMS. Furthermore, about 60 per cent of managers and 45 per cent of non-management staff indicated that time away from office to attend PMS matters were not planned for. Almost 40 per cent of managers were ambivalent when asked to indicate whether the department carried out a cost-benefit analysis regarding resources for PMS (39.5 per cent). Evidence collected from non-management staff suggests that the department did not plan for some aspects to facilitate PMS. For example, 57.2 per cent of non-management staff felt the department did not adequately train staff in PMS. In addition, non-management staff indicated that employees were not adequately briefed before PMS was implemented (42.9 per cent). Employee participation and involvement in PMS formulation was minimal, as evident from 47.3 per cent of non-management employees who indicated that staff comments were never incorporated into PMS. Furthermore, 50 per cent of non-management staff indicated that their unit and section was not represented in PMS Task Force or Team.

### **7.2.3 Factors that affect Performance and Performance Management in the Department**

There are a variety of factors that can affective the PMS process in an organisation. These include contextual factors such as structure, systems, leadership, work processes, culture, job design and technology (see Figure 2.6 in chapter 2). Organisations have, therefore, to consider contextual factors when formulating, designing or implementing a PMS. Evidence collected from the department suggests that non-management employees felt that the department implemented PMS before finalising an HRM strategy that would attend to factors that affect performance and performance management (Chapter 5, Table 5.45). Non-management staff felt that factors particularly relating to leadership, training, communication, appraisal, reward, procedure and organisational climate affected performance and performance management. For example, though 36.6 per cent of non-management employees agreed that the department's mission-vision, strategic plan, and objectives were clearly communicated to all staff; half of non-management employees surveyed felt that there is poor communication between senior and junior staff. Slightly more than a third (33.1 per cent) of non-managers believed that the department's culture encouraged and supported high performance and high quality of work. Nevertheless, a third of non-managers disagree the department's culture embraced change (31.3 per cent).

Regarding leadership factors, 39.3 per cent of non-managers felt the department's management style was not supportive and involving and that management team was not committed (34.3 per cent). Furthermore, 45.5 per cent of non-managers felt that

there is lack of openness, trust and respect in the department. Whereas 43.8 per cent of non-management staff acknowledged the existence of a training plan, 58 per cent disagreed that the department provided appropriate training and induction course for new and existing staff. Non-managers felt that the department's policy was not flexible (38.4 per cent), and the work environment was not positive (41.1 per cent). Over 70 per cent of non-managers agreed that the current appraisal and reward system should be revised to make it appropriate for staff in the department (75.2). Evidence collected suggests that 41 per cent of non-managers disagreed that the conditions of service are supportive for high performance. In addition, 55.1 per cent of non-management staff surveyed felt that the department did not have adequate facilities to support staff performance. The above suggest the existence of a variety of organisational and HRM factors that have affected performance and performance management in the department. The major factors include appraisal and reward systems (70 per cent), training (58 per cent), facilities and equipment to support staff performance (55 per cent). Other factors include leadership, communication, work environment, conditions of service and lack of trust and respect.

#### **7.2.4 Acting on the Performance Management System**

Acting on a PMS is when PMS is made operational and the process is made to work (Armstrong and Baron, 1998; Gibb, 2002). The 'Best Practice' PMS (HRM) suggest that departments, units and sections implement PMS based on guidance from HRM department or PMS Coordinators (Armstrong and Baron, 1998). Armstrong and Baron (1998) suggest that introduction of PMS in an organisation commences with documented briefing, followed by oral briefing. According to Armstrong and Baron

(1998), employees are normally briefed regarding training they will receive in PMS, date for introducing PMS as well as procedures for evaluating PMS. The two authors further suggest that the HR department could undertake PMS briefing, as well as an external consultant, line managers, PMS coordinators and project teams. Empirical evidence collected from the department suggests some employees were trained and briefed before PMS was implemented. This view was supported by 36.8 per cent of managers surveyed (Chapter 5, Section 5.5.4, Table 5.7). In contrast, 42.9 per cent of non-management staff felt that employees were not adequately briefed before PMS was implemented. Furthermore, 67.2 per cent of non-management staff surveyed disagreed that employees received adequate training in PMS.

Evidence collected from the department suggests that the PMS Coordinator played a significant role in the PMS process. For example, slightly more than half of managers ranked the PMS Coordinator as the most important person in driving PMS (52.6 per cent). Over 70 per cent of managers indicated that the PMS Coordinator was always involved in PMS planning, designing and PMS implementation. Indications from managers surveyed were that HRM Unit, as well as Task Force, Team leaders, line managers and staff played a role in PMS process. Though their role was not as significant as the PMS Coordinator (Chapter 5, Section 5.5.5). The role of the PMS Coordinator, Teams, senior and middle managers was further emphasised in interviews and informal discussions held with managers and staff in the department. Managers and staff interviewed informed the researcher that these groups played a crucial role in formulation, implementing and reviewing PMS in the department (Chapter 6). The Botswana National Productivity Centre was said to have played a role in facilitating PMS process in the department. Indications were that the HRM



section in the department did not play a major role in PMS process. The 'Best Practice PMS (HRM) advocates that the HRM department, unit or section play an important role in PMS process, particularly a guiding, facilitating and supportive role (Armstrong and Baron, 1998). Evidence collected indicates that HRM section role in PMS was, for example, to organise facilities and projects for PMS, including arranging for venues for meetings, workshop and sourcing equipment, supplies and computers for the department. Indication from the interviews and informal discussions with managers and staff revealed that there was minimal participation of junior managers and staff in the formulation and implementation of PMS. The section that follows discusses results regarding the fourth stage of PMS process, which is the monitoring, reviewing and evaluating a PM system. As suggested by various authors, PMS is a continuous and cyclical process, which encourages the culture of learning and development.

### **7.2.5 Monitoring, Reviewing and Evaluating the PMS**

According to the 'Best Practice' PMS (HRM), there are various methods that organisations can use to monitor, review and evaluate PMS. The major methods identified in the 'Best Practice' PMS (HRM) include cost-benefit analysis, questionnaires, attitude surveys and group discussions (Armstrong and Baron, 1998; Gibb, 2002). The purpose of evaluating and reviewing PMS is to assess whether PMS has met intended goals and objectives, identify effectiveness and efficiency of the system, and identify areas for improving the existing PMS. Under the 'Best Practice' PMS (HRM), an organisation evaluate and review PMS based on various methods, which were identified and agreed during the formulation, planning and designing PM

system. Evidence collected from the Department of Administration of Justice suggests that the department identified methods to review PMS during the planning and designing of PMS. This evidence was supported by almost half of managers surveyed, indicating that methods to review PMS were identified during the planning and designing of PMS (47.1 per cent). The major methods used by the department to review PMS were team discussions; formal feedback and informal feedback. The annual judicial conference was identified as another method used by the department to review PMS (Chapter 5, Table 5.21). Evidence collected suggests that senior and middle managers, including the PMS coordinator in the department reviewed PMS on a quarterly and yearly basis (Chapter 5, Section 5.5.9). Qualitative evidence has revealed that in addition to reviewing PMS, the department's strategic plan and annual performance plan were reviewed. Review methods used by the department include meetings, written reports, interviews, workshops and the annual judicial conference. The results of this research suggest that the major PMS review process takes place at the annual review conference, which is attended by all senior and middle managers in the department. Cost benefit analysis, attitude surveys and questionnaire were the least methods used by the department to review PMS.

Indications from the qualitative and quantitative results were that there was minimal participation from lower managers and junior staff in the review process. For example, 47.3 per cent non-management staff pointed out that they had never participated in a PMS review. Interviews and discussions with lower managers and staff revealed that senior and middle managers, as well as the PMS Coordinator reviewed PMS, strategic plan and annual performance plan (Chapter 6). There were indications from the survey that the department made some changes after reviewing

PMS. For example, a third of managers surveyed indicated that recommendation from the PMS review was that the department should continue with but improve existing PMS. Some managers indicated that the department's objectives and performance indicators were changed after PMS review (Chapter 5, Table 5.22). There are some studies that support the finding that performance indicators can be changed over time. For example, Sinclair and Zairi (1995) suggested that critical success factors (CFS) and key performance indicators (KPI) might be consistent or change over time. Other organisations, for example the USA Department of Justice (DOJ) changed key performance indicators over time as they were reviewed and refined (DOJ, 2001).

Concerning the external review process in the Department of Administration of Justice, there were indications that the department had an external review system, where customers assessed services delivered by the department. Though it emerged from semi-structured interviews and informal discussions with some managers that the external review process was not yet well established in the department (Chapter 6). There were indications that the external review process was for example, in some stations, characterised by minimal or lack of regular review and feedback regarding assessment of service delivery data received from external customers.

'Best Practice' PMS (HRM) suggest that the PMS cycle could take up to five years to complete. For example, results of a survey of organisation in the UK revealed that it could take up to 5 years for the PMS cycle to be completed (Armstrong and Baron, 1998). Empirical evidence collected from the Department of Administration of Justice indicates that PMS was formulated, planned, designed and implemented over a two-year period (Chapter 5, Table 5.18). The following section interprets and discusses

results regarding the PMS framework existing in the Department of Administration of Justice.

### **7.2.6 PMS Framework existing in the Department**

There are various frameworks that organisations can use to base their PM systems on. These frameworks use single, financial, multiple financial and non-financial perspectives. The frameworks include: Key Performance Indicators (KPI), Balance Score Cards (BSC), European Foundation for Quality Management (EFQM) and Best Value (Armstrong and Baron, 1998; Olve et al., 2000; Boyne et al., 2002; Gibb, 2002; Radnor and Lovell, 2003). Empirical evidence from the department suggests that the department used Key Performance Indicators (KPI)-framework to base PMS. This evidence was supported by for example, 60 per cent of managers surveyed who indicated the department used customer satisfaction, number of cases handled (57 per cent), average time on a case (55 per cent), number of complaints (50 per cent), on time delivery (50 per cent) as key performance indicators. Table 7.1 shows the key performance indicators actually used by the department (also see Chapter 5, Table 5.25). The findings from this research indicate that the department had key results areas as well as key performance indicators with targets and persons accountable attached to targets. According to the DAOJ (2001a), the department's strategic plan has key results areas classified into 3 major areas entailing:

- 'Public Confidence, Dispute Resolution, Independence and Impartiality;
- Accessibility and Affordability, Customer Service and Satisfaction.
- Customer Satisfaction, and Accessibility and affordability' (DAOJ, 2001a Annex 1).

The key result areas for the department are categorised into:

- Goals,
- Objectives, and
- Key performance indicators (DAOJ, 2001a, Annex 1).

The Annual Performance Plan has key result areas categorised according to:

- Objectives,
- Activities,
- By who,
- Start,
- Finish, and
- How will we know performance indicator' (DAOJ, 2001a, DAOJ, 2002b, Annex 2).

**Table 7.1 Key Performance Indicators used by the Department**

<b>Key Performance Indicators (KPIs)</b>
<b>KPIs</b>
Reduction of Complaints about conduct of judicial officers
Reduction of complaints and criticism on conduct of Deputy Sheriffs (%)
Reduction of complaints against judicial officers regarding diversity issues (%)
% Of traffic cases resolved within target (%)
% Increase of cases completed within target (%)
% Increase in number of litigants (%)
% Increase in customer satisfaction index (%)
Cases registered within target (%)
Rate of retrials on procedural or technical grounds (%)
Reduction on case reversal on procedural or technical grounds (%)
75 % of cases disposed of within 6 months in all courts (%)
100 % implementation of planned activities (%)
Independence and Transparency of decisions
Policy and Structural reforms
% Increase in court utilisation by target group (%)
% Of reduction in distance travelled between target communities and court (%)
Efficient and accurate management of information system
% Increase in internal customer satisfaction rating with process (%)
Number of courts with facilities for people with disabilities (no.)
Timely completion, approval and resourcing of HR Strategy
Turnover rate within industry average
30 % target on women in decision-making authority achieved (%)

Source: DAOJ, 2001a; DAOJ, 2002b.

### **7.2.7 DAOJ: Partnerships and Benefits from partnerships with Other Organisations**

According to Armstrong and Baron (1998), organisations establish partnerships, relations and networks with other organisations, agencies, government, stakeholders and customers. Partnerships are an important component of management and a PMS (Armstrong and Baron, 1998; Olve et al., 2000; Gibb, 2002). These authors argue that it is important that organisations assess partnerships in order to evaluate how the organisation would benefit from them. Once organisations have examined partnerships and the value of partnerships, they are incorporated into PMS in order to strengthen the organisation in its quest to improve performance and effectiveness (Armstrong and Baron, 1998). Evidence obtained from managers surveyed revealed that the Department of Administration of Justice had partnerships with government, law firms and the Botswana National Productivity Centre. For example managers surveyed ranked partnerships with government, law firms and Botswana National Productivity Centre as the most important in the department (Chapter 5, Table 5.35). Some managers indicated that partnerships with some of these organisations affect performance of employees and the department. For example some managers said partnerships with government departments such as Prisons, Prosecutors and social workers as well as private attorneys affected their performance, and that managers work according to the availability of the accused, attorneys and witnesses.

The above section discussed findings regarding the PMS process existing in the Department of Administration of Justice. The findings suggest the department, to a certain degree, followed the core process of observing, planning and designing, acting and reviewing PMS. The findings also demonstrate that the department had a Key

Performance Indicator PMS. Qualitative evidence also supported these findings. The following section addresses the second research question regarding identification of gaps between 'Best Practice' PMS (HRM) and PMS existing in the department.

### **7.3 Research Objective 2: Identify gaps between 'Best Practice' PMS (HRM) and PMS existing in the Department of Administration of Justice**

Several gaps were identified between the 'Best Practice' PMS (HRM) and PMS existing in the department. These gaps include: the lack of linking the department's strategic goals and objectives with individual goals and aspirations; HR strategy not integrated into PMS; inadequate planning for some resources, for example, support staff required for PMS and planning for time to attend PMS activities; lack of training employees in PMS; minimal involvement and participation of junior managers and non-management staff in PMS process. These gaps are discussed individually in the section that follows.

#### **7.3.1 Gap 1: Department's vision, strategic goals were not linked to individual goals and aspirations**

Findings from this research suggest that the department's mission; vision, goals and strategy were not linked to individual goals and aspirations. Though indications from the survey results were that the department had, at the time of this survey, developed draft individual performance plans and targets. As pointed out by Boxall and Purcell (2003), most criticism about models emphasising alignment of HRM with competitive strategy is that they overlook employee interest. For example, in the case of department findings suggest that though the department had strategic goals and

objectives, they were not linked to individual goals and aspirations. Indications from the survey were that employees felt that their interests were not taken into account when the departmental goals and objectives were set. Employees, particularly junior managers and non-management staff, felt that employee goals and interest, for example through involvement in setting of their own goals and targets, motivational issues relating to appraisal, reward and recognition for high performance as well as terms and conditions of service, were not considered in the PMS process.

### **7.3.2 Gap 2: HRM Strategy not integrated into PMS**

Evidence collected from the department suggests that though HRM policies and practices were reviewed during planning and designing of PMS, PMS was implemented while review of HRM policies and development of HR strategy were in progress. The review of HRM policies and development of a HR strategy for the department were carried out simultaneously with PMS implementation. Evidence collected suggests that the department had established a committee to review HRM related matters, including the review of performance appraisal, performance reward and scheme of service in order to make HRM compatible to PMS philosophy. The research has revealed that at the time of this survey, the department was in the process of developing a HR strategy (DAOJ, 2001a). The findings from this research suggest though the department assessed HRM policies and practices during PMS planning and designing, PMS was implemented before HR strategy was updated and integrated into PMS. PMS was therefore, implemented based on outdated HRM policies and practices. For example, the department was still using once a year employee appraisals. Some of the non-management employees indicated that they have not been



appraised in the previous year. Employees also indicated that they were not satisfied with the current systems of appraisal and reward as well as the terms and conditions of service in the department. There was no evidence of HRM appraisal techniques such as quarterly appraisal, timely communication of feedback practiced in the department, as suggested by the 'Best Practice' PMS (HRM) (Armstrong and Baron, 1998; Bratton and Gold, 2003). Though there was evidence of external review by users of services provided by the department, the external review system was not well established. For example, some managers who indicated that the department had an external customer review process mentioned some weaknesses in some courts such as customer feed back data on service delivery not assessed regularly.

Evidence collected from the department suggests that the HRM strategy was in the process of being developed. Results from this survey therefore, suggest the departure from 'Best Practice' PMS (HRM) and PMS existing in the department was that the department's HRM strategy was not, at the time of this survey, integrated into PMS. As stated by Boxall and Purcell (2003), varying HRM practices with strategy is important so that HRM strategy fits the internal and external environment. The importance of being responsive and changing HRM policy to 'fit' the environment, coherence, and 'positive bundles of HR policies' was emphasised by various authors in the literature (for example, McDuffe, 1995; Armstrong, 2001; Boxall and Purcell, 2003). 'Positive bundles' include for example, HR policies that promote high performance by appraising, rewarding and recognising high performance in order to motivate superior performance.

### **7.3.3 Gap 3: Limited Employee Participation and Involvement in PMS**

Findings from this research indicate that there was minimal participation and involvement of junior managers and no-management staff in the PMS process in the Department of Administration of Justice. Junior managers and non-management staff revealed that though they were briefed about PMS, there was limited involvement in the PMS process. As pointed out by Haruna (2003) in his study of civil service reforms in Ghana, reforms should be broadened and carefully adapted to cultures and community values of collaboration, consultation and consensus. Long and Franklin (2004) found that the key factor in the implementation of the Government Performance Results Act of 1993 (GPRA) in USA federal agencies was involvement of internal and external stakeholders. This study revealed limited involvement of junior staff in PMS process in the department.

### **7.3.4 Gap 4: Training and Development in PMS**

According to the 'Best Practice 'PMS (HRM), training employees in how to apply PMS at work is an important aspect of the PMS process. Employees have to be trained for example, in how to plan, monitor and manage work. Furthermore, employees need to be trained in how to set their own objectives, and set their own performance targets. Findings from this survey suggest employees, particularly junior managers and non-management staff, indicated limited training in PMS. Though senior and middle managers have been trained and involved in PMS process, there were indications that managers required training in how to apply PMS at work. For example, training in how to prepare, plan, manage, monitor and review their own

performance and performance of staff under their supervision. Findings from this research also suggest that managers required training in applying PMS at work and managing the PMS process, particularly junior managers who indicated during the survey that they lacked skills and knowledge in PMS, for example in PMS review process.

### **7.3.5 Gap 5: Planning and Designing a PMS**

Though managers and staff surveyed felt that the department had adequately planned and budgeted for PMS, evidence collected from some managers and employees suggests that some aspects of PMS were not adequately planned and budgeted for. For example, managers surveyed indicated that support staff required for PMS, as well time away from the office to attend PMS activities were not planned for. Nevertheless, indications from secondary source suggest that the planning for resources to support PMS activities, for example, IT, equipment, infrastructure, improvement in work processes, was in progress at the time of this survey (DAOJ, 2001a, DAOJ, 2002b). The results from this survey, therefore, indicate that though department had adequately planned for some resources required for PMS, indications were that the department did not adequately plan and budget for staff required for PMS and time to attend to PMS activities. This, therefore, suggest a slight departure from 'Best Practice' PMS (HRM) regarding adequately planning for resources required to maintain, operate and sustain a PMS. Research by Radnor and Lovell (2003) regarding the adaptation of balance scorecards (BSC) in the Bradford (UK) National Health Trust (NHS) revealed that focus group felt that adopting BSC into the existing PMS would put a strain on resources, for example, extra finance, effort and

time for BSC implementation. This finding supports results of this research that the department did not adequately plan for example, schedule time to allow staff to attend PMS matters and meetings.

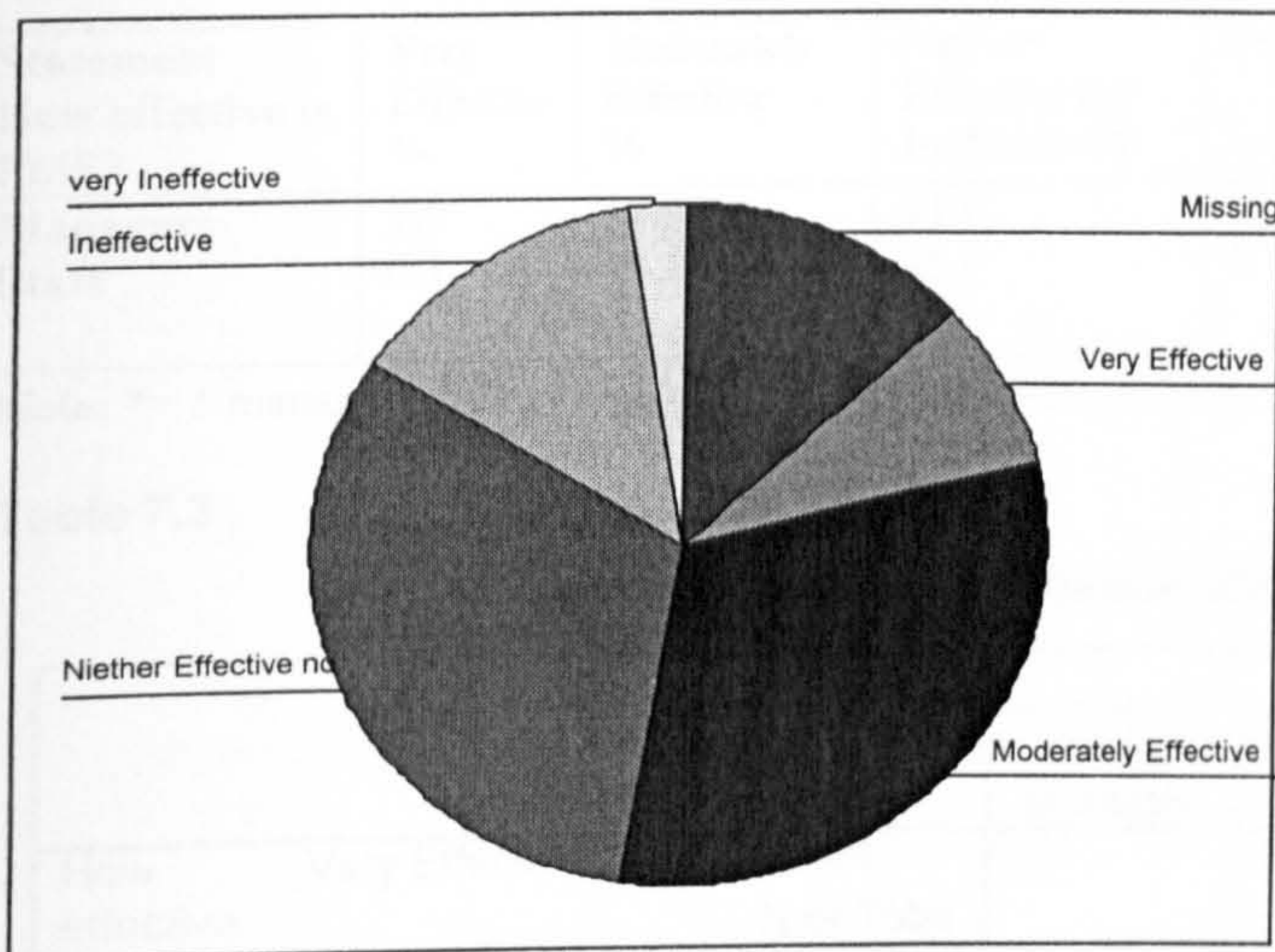
### **7.3.6 Gap 6: Acting on a PMS**

Though evidence collected from the department suggest that the department acted on PMS based on what was agreed and planned, findings from this research imply the Department of Administration of Justice acted on PMS without integrating HRM strategy into PMS; without linking department's strategic goals with teams and individual goals and aspirations; had not adequately planned for some resources, for example support staff for PMS and time to attend to PMS activities. The department used a 'Top-Down' approach to PMS, which impacted upon wider involvement and participation of junior managers and non-management staff in the PMS process. As pointed out by Long and Franklin (2004), the key factor in implementing a policy or programme is the approach. Long and Franklin assert that the approach can be 'centralised', 'decentralised' or a 'mixed', consisting of 'top-level' policy guidance and 'bottom level' administrative expertise. Gibb (2002) maintains that KPI based PMS is related to a 'top-down' strategic management in the private sector and 'value for money' initiatives in the public sector. The KPI-Based PMS in the Department of Administration of Justice was 'top-down' in that PMS was initiated from the top. The process commenced with the sensitisation of leadership, training and involvement of senior and middle managers in the PMS process. However, the top-down approach by the department was jeopardised by the limited participation of junior managers and non-management staff in the PMS process.

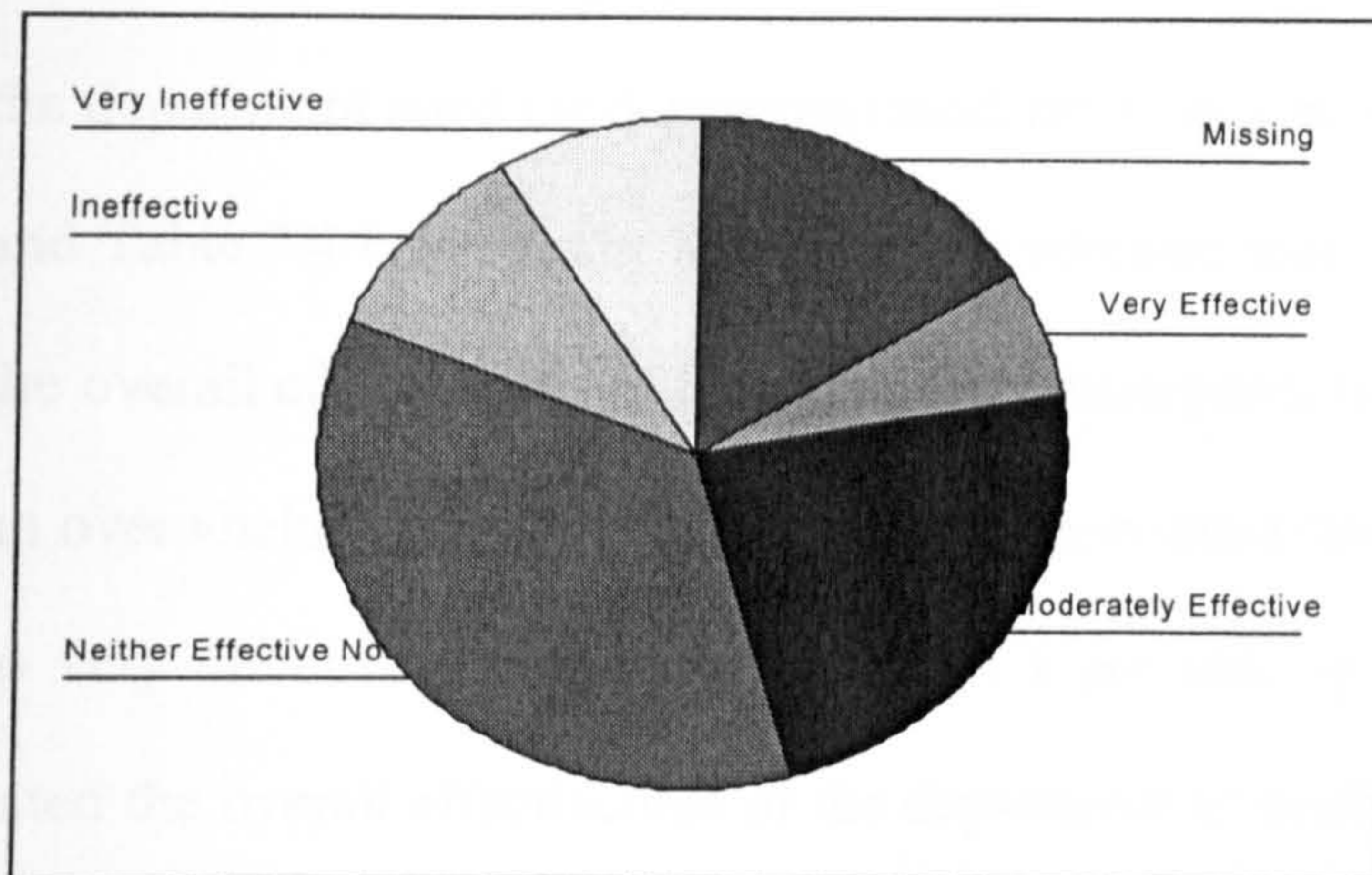
#### 7.4 Overall Effectiveness of PMS and the Department of Administration of Justice

The results of the survey show that on the overall, senior and middle managers were positive about the effectiveness of PMS in the department (Table 7.2). There were indications that lower managers' judgement regarding PMS effectiveness was more positive than middle managers (Table 7.3 and Figure 7.2). Non-management employees were slightly less positive than managers (Table 7.2 and Figure 7.3).

**Figure 7.1. Management: Effectiveness of Performance Management System in the Department**



**Figure 7.2 Non-Management Staff: Effectiveness of Performance Management System in the Department**



**Table 7.2 Effectiveness of Performance Management System in the Department**

Statement	Very Effective %	Moderately Effective %	Neither Effective nor Ineffective %	Ineffective %	Very Ineffective %	Cumulative % (#)
How effective is PMS?						
<b>Managers</b>	7.9	31.6	31.6	13.2	2.6	86.9 (33)*
<b>Staff</b>	6.3	23.2	35.7	9.8	8.9	83.9 (94)**

Note: \*= 5 managers did not respond, \*\*= 18 employees did not respond to this question.

**Table 7.3**

**How effective is PMS \* position Crosstabulation**

			position			Total
			Senior Manager	Middle Manager	Supervisor	
How effective is PMS	Very Effective	Count			2	2
		% of Total			6.9%	6.9%
	Moderately Effective	Count	1	5	5	11
		% of Total	3.4%	17.2%	17.2%	37.9%
	Niether Effective nor Ineffective	Count	1	6	3	10
	% of Total	3.4%	20.7%	10.3%	34.5%	
Ineffective	Count		3	2	5	
	% of Total		10.3%	6.9%	17.2%	
very Ineffective	Count			1	1	
	% of Total			3.4%	3.4%	
Total	Count	2	14	13	29	
	% of Total	6.9%	48.3%	44.8%	100.0%	

Regarding the overall effectiveness of the Department of Administration of Justice, findings from this research suggest an overall positive rating of effectiveness by

employees and users of services provided by the department (Table 7.4). The survey results indicate that employees in the departments and users of services provided by the department rated the department moderately to very effective (Figures 7.4, 7.5, 7.6 and Table 7.4 below). The survey results revealed that 71 per cent of managers rated the overall effectiveness of the department moderately to very effective. Furthermore, an overwhelming 81.1 per cent of external customers rated the department moderately to very effective. On the other hand, 41.1 per cent of non-management employees rated the overall effectiveness of the department as moderate to very effective (Table 7.4). There were indications that lower managers were more positive about the overall effectiveness of the department than senior and middle managers (Table 7.5). Lower managers were also more positive about the effectiveness of PMS than senior and middle managers. In his study of PMS in primary schools in England (UK) Brown (2003) was surprised by the extent to which some leaders and management were embracing performance culture that has been 'forced' upon them. In this study, junior managers in the Department of Administration of Justice were more positive towards PMS despite their limited involvement in the PMS process.

**Table 7.4 Is the Department effective?**

Statement	Very Effective	Moderately Effective	Neither Effective nor Ineffective	Ineffective	Very Ineffective	Cumulative
On the overall, is the department effective?	%	%	%	%	%	%(#)
<b>Managers*</b>	18.4	52.6	15.8	7.9	2.6	97.1(37)
<b>Non-Management staff**</b>	12.5	28.6	18.8	12.5	8.0	80.4 (90)
<b>External Customers***</b>	13.5	67.6	5.4	5.4	-	91.9 (68)

Source: Quantitative Survey, 2002 and 2003.

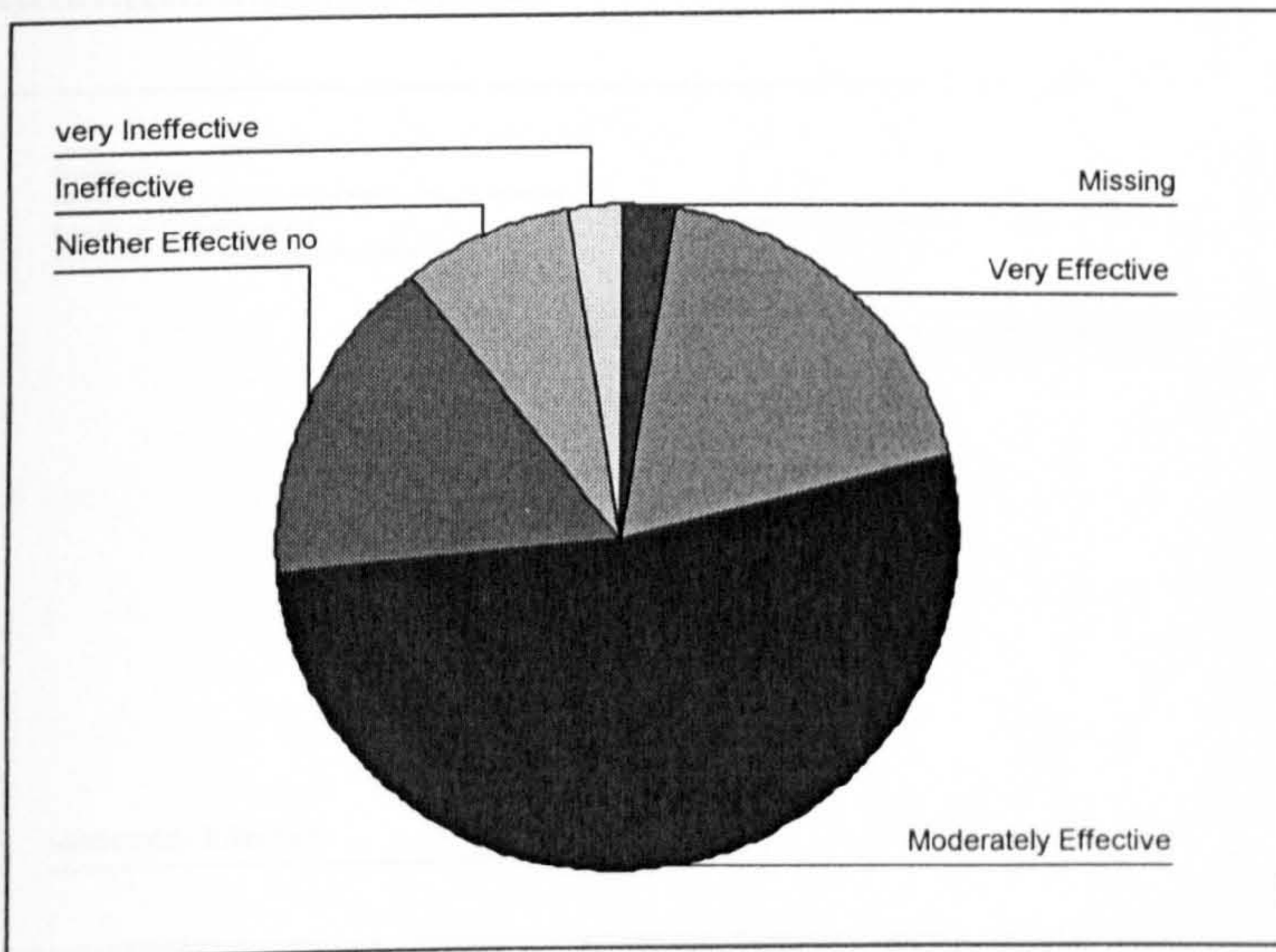
Notes: \*=1 manager did not respond, \*\*=22 staff did not respond, \*\*\* 6 external customers did not respond to this question.

**Table 7.5 Cross Tabulation Management: Effectiveness of the Department**

On the overall is the department effective \* position Crosstabulation

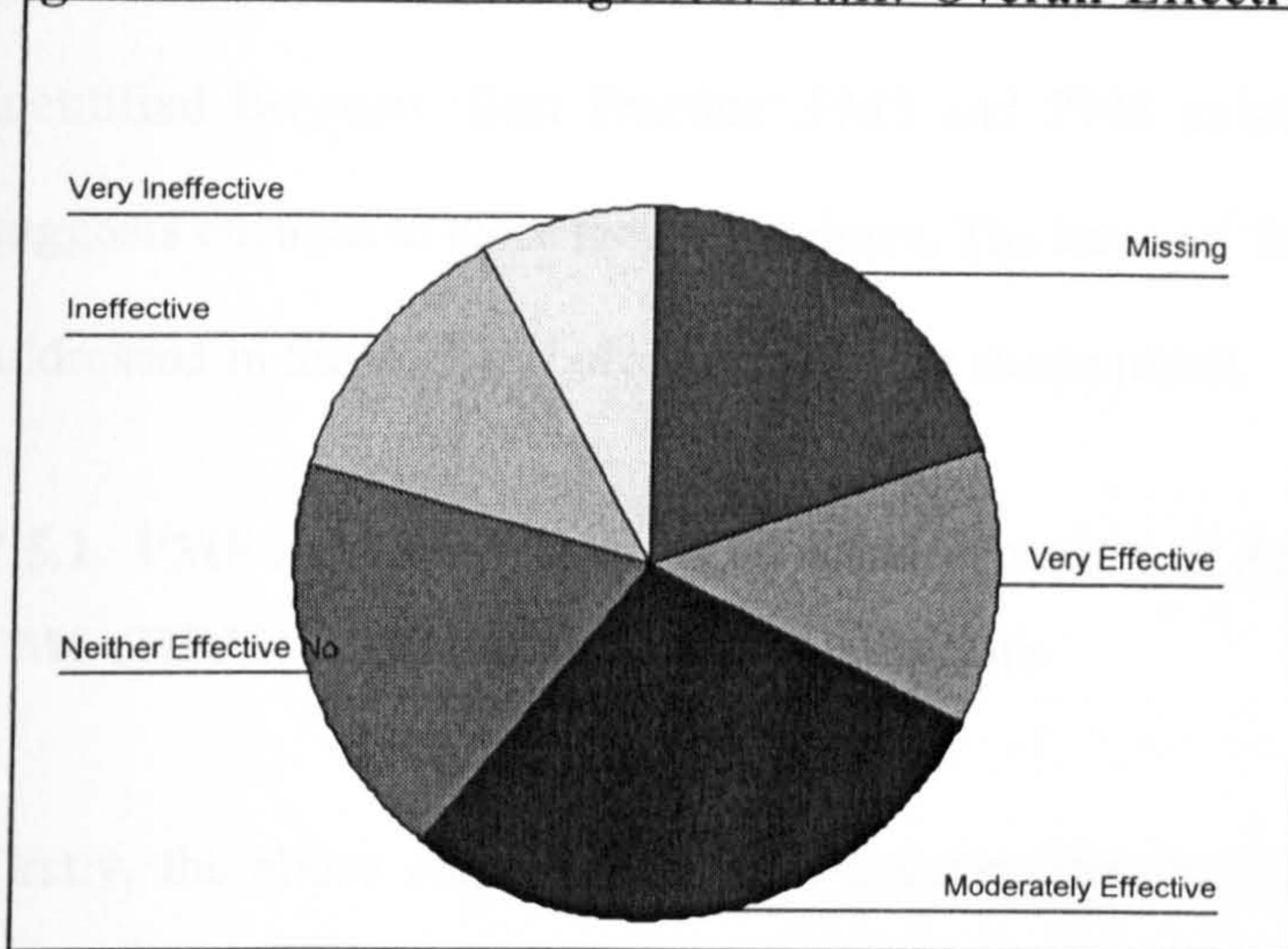
			position			Total
			Senior Manager	Middle Manager	Supervisor	
On the overall is the department effective	Very Effective	Count	1	3	2	6
		% of Total	3.0%	9.1%	6.1%	18.2%
	Moderately Effective	Count	3	7	8	18
		% of Total	9.1%	21.2%	24.2%	54.5%
	Niether Effective nor Ineffective	Count		2	3	5
	% of Total		6.1%	9.1%	15.2%	
	Ineffective	Count		1	2	3
	% of Total			3.0%	6.1%	9.1%
	very Ineffective	Count		1		1
	% of Total			3.0%		3.0%
Total	Count		4	14	15	33
	% of Total		12.1%	42.4%	45.5%	100.0%

**Figure 7.3 Management: Overall Effectiveness of the Department of Administration of justice**

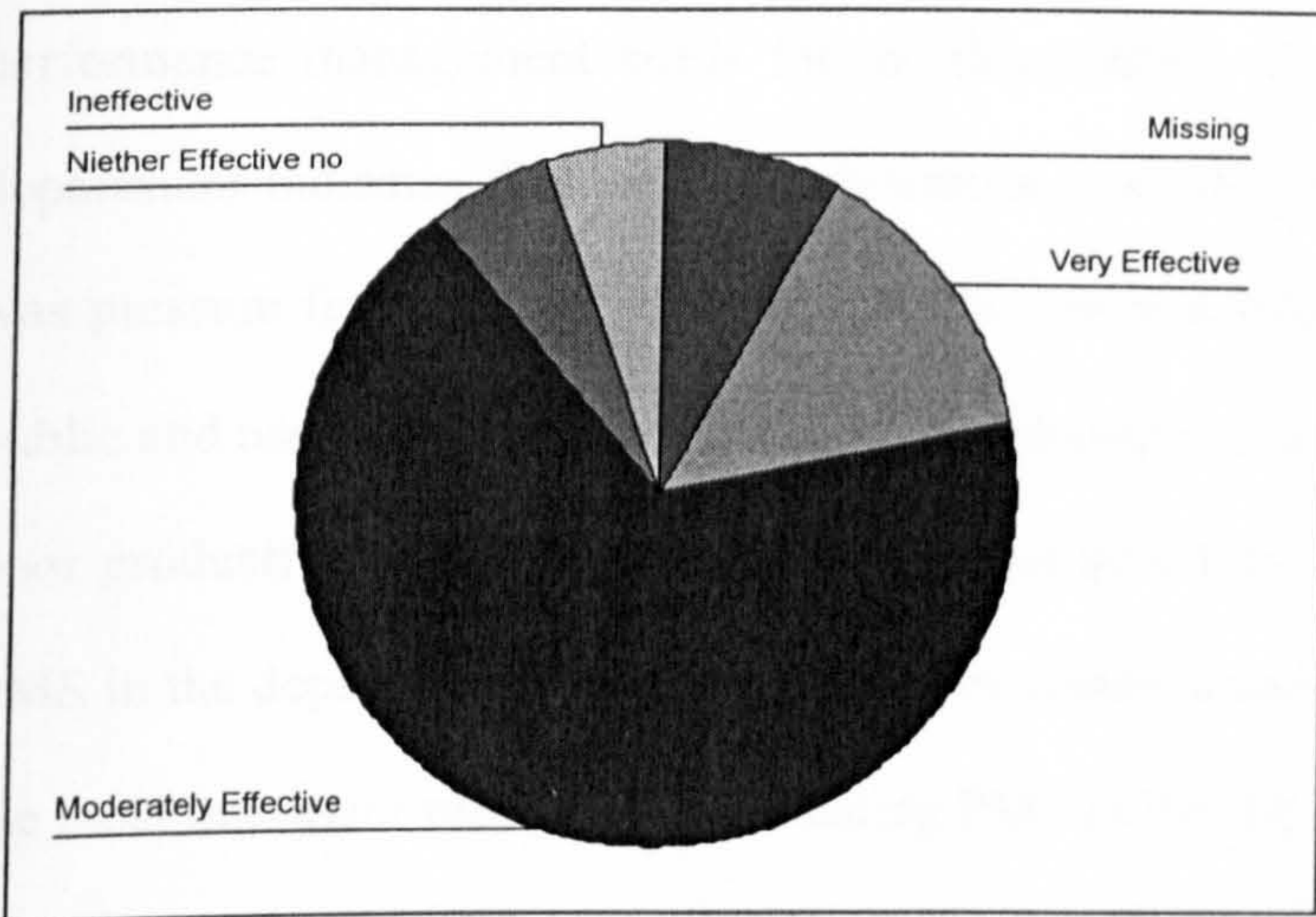




**Figure 7.4 Non-Management Staff: Overall Effectiveness of the Department**



**Figure 7.5 Users of Services: Overall Effectiveness of the Department of Administration of Justice**



### 7.5 Discussion of Results and Summary of Findings

The section that follows discusses the results and re-addresses all the main research objectives. The section starts by examining if the research objectives regarding the process of PMS in the Department of Administration of Justice were answered. Furthermore, the sections re-examines contextual factors that have affected the PMS

process and framework in the department. Thirdly, the section discusses the gaps identified between 'Best Practice' PMS and PMS existing in the department and suggests changes to close these departures. The issue of 'Best Practice' vs. 'Best fit' is addressed in this section before findings are summarised.

### **7.5.1 PMS in the Department of Administration of Justice: The 'Best Practice' PMS (HRM) Process and Contextual Factors**

Firstly, the above empirical evidence suggests that the department had, to a certain degree, followed the 'Best Practice' PMS (HRM) of observing, planning and designing, acting on and reviewing PMS. The results of this research suggest that the department observed the internal and external environment in order to identify performance management needs for the department. Evidence collected from the department indicates that the major determiner for adopting PMS in the department was pressure from the external environment. For example, increased demand by the public and users of services for better service delivery as well as complaints regarding poor productivity, slow delivery of service and accountability, led to introduction of PMS in the department. Results of the survey demonstrate that (chapter 5, Table 5.5), the most important reasons for introducing PMS in the department were improvement in service delivery and increasing productivity. Research by Radnor and McGuire (2004) indicated that reasons for introducing PMS in the public sector in the UK included modernisation of government services and improve public services as well as reinforce accountability. A study by Radnor and Lovell (2003) regarding BSC adaptation into existing PMS in the Bradford health zone (UK) revealed that BSC was introduced in order to improve health and health services in the Bradford health economy area. Similar reasons were behind the introduction of PMS in, for example

UK public organisations where PMS was introduced in improve public services and reinforce accountability (Radnor and Lovell, 2003; Radnor and McGurie, 2004; Brown, 2003). In developing countries such as South Africa and Ghana, PMS was introduced in order to improve governance and effectiveness of public institutions (Curtis, 1999; Haruna, 2003). Findings from this research suggest the department used various techniques, to help identify PMS needs and facilitate formulation of PMS. For example, analytical techniques such as specific, measurable, achievable, realistic and time bound (SMART) and strengths, weaknesses, opportunities and threats (SWOT) were used in order to identify strategic goals, objectives as well as assess strengths and weaknesses of the department. In addition, various surveys and review reports were used to help identify PMS needs and formulate PMS in the department. The major surveys and reports used include the situational analysis survey of 1999, Organisation and Methods Review report of 1995 and Scheme of Service for the department. Findings from this research suggest that the department's performance was benchmarked with regional and international justice departments. For example, the department aspired to improve efficiency and effectiveness in providing world-class service.

Secondly, findings from this research suggest that though the department planned and designed PMS according to what emerged from the observation of the internal and external environment, evidence suggest HRM strategy was not integrated into PMS. The department formulated, planned, designed and implemented PMS without integrating an HRM strategy that would support the PMS philosophy. According to the 'Best Practice' PMS (HRM), HRM policies and practices should be able to support a PM system. Findings from this research therefore, suggest that the

department acted on PMS without an HRM integrated into PMS. The department was using dated HRM policies and practices. Though it emerged during the survey the department was in process of developing a HR strategy. The department had also set up a committee to review the schemes of service for the department, appraisal and reward policies in light of PMS philosophy.

Thirdly, findings from this research indicate that there were contextual factors that affected performance management and PMS process in the department. The contextual factors were mainly related to organisational and HRM related factors regarding structure, negative work climate, leadership, resources, culture, inflexible policy, work processes, resources, lack of openness and trust, commitment, attitude, cynicism, poor communication, training, appraisal and reward. As mentioned earlier on, these contextual factors have affected PMS existing in the department. For example, some managers felt that hierarchical structure of the department lead to poor communication and delay in decision-making. Some managers felt that work process where they have to work with other stakeholders such as attorneys, police and health affected their performance. The major factor raised by employees was that the department's schemes of service, and appraisal and reward systems were not appropriate and needed to be revised.

Finally findings from this research suggest that the department used a variety of methods to review PMS. The 'Best Practice PMS (HRM) suggest different methods including attitude surveys, cost-benefit analysis, interviews, written reports, oral reports and informal meeting. Findings from this research suggest that the department used the annual judicial conference as the main technique to review PMS. In addition,

the department reviewed, evaluated and updated the vision-mission, strategic plan, annual performance plan and performance targets during the judicial conference. As indicated by Flapper et al., (1996), once PMS has been defined and implemented, it has to be taken care of to ensure that it remains relevant for the organisation. Flapper et al., point out that PMS, KPIs, targets can be changed for a variety of reasons including changes triggered by the internal and external environment. The Department of Administration of Justice changed PMS as the internal environment changed, for example, some key performance indicators and targets revised as strategic objectives and targets were achieved. For example, during the judicial conference, the department reviewed and changed objectives such as structural changes relating to building of new offices and courts, availability of IT facilities and equipment such as internet and laptops for judges.

Results from this research indicate that the Department of Administration of Justice, in addition to the annual judicial conference, used written reports, interviews and meetings to review PMS, annual performance plans and set new performance targets. One of the weaknesses revealed by this research in the review process was that the department's review process was limited to senior and middle managers. In addition, weaknesses in review process include some managers, particularly junior managers, not being able to carry out regular review of PMS and submit written review reports due to lack of skills and knowledge in PMS review. There were also indications that the department had an external review system, in which the public and users of services evaluated the services provided by the department. Findings from this research suggest that the external review system was not well established, for example, there were indications that external review did not take place at some court

stations and in some cases customer evaluation forms were not assessed regularly. Despite shortcomings in the department's PMS review process, one of the strengths of the reviews was that the annual judicial conference involved and engaged senior and middle managers in PMS process and the review of the overall performance of the department.

### **7.5.2 Key Performance Indicators (KPI)-Based PMS**

Findings from this research suggest that the Department of Administration of Justice had a Key Performance Indicator (PKI) - Based PMS. The KPI-Based PMS emerged during the mapping of PMS process and framework existing in the department. As mentioned in detail in the literature review, there are a variety of PMS frameworks organisations can select to facilitate the formulation of a PMS. Various frameworks include key performance indicators (KPI), Balance Scorecards (BSC), total quality Management (TQM), Best Value (BV) and EFQM (Armstrong and Baron, 1998, Olve et al., 2000, Gibb, 2002; Radnor and Lovell, 2003). Findings from this research indicate that the PMS existing in the department was a KPI-Based PMS. Furthermore, findings from this research suggest the department used a 'Top-Down' approach to introducing PMS in the department. This evidence was supported by wider involvement and participation of senior and middle managers in the PMS process. As suggested by Gibb (2002), KPI based PMS can start with 'top-down' strategic management in the private sector and value for money in the public sector. Molleman and Timmerman (2003) state that PMS commences with 'top-down' process where objectives are derived from organisational objectives. While Long and Franklin (2004) suggest that policy or programme implementation can be centralised,

decentralised or mixed approach. The process of implementing the KPI-Based PMS in the Department of Administration of Justice was top-down approach. Results suggest that PMS was initiated from the top, where leadership was sensitised, management educated and trained in PMS, and the department's objectives were derived from organisational objectives. Results demonstrate that there was a PMS Management Team responsible for formulating PMS in the department. The PMS Team worked closely with the PMS coordinator for the department and with facilitation from an external consultant. As suggested by Hart (1992) regarding the command style of strategic management process, leadership or a small top team drives strategy and the role of top management team is to provide direction. As shown by the results of this survey, the Department of Administration of Justice used departmental mission, vision, strategic aims and objectives to develop critical success factors, key performance indicators and to set targets. In the Department of Administration of Justice, PMS was initiated from the top, with top management sensitisation, education, training and involvement in the PMS process.

### **7.5.3 Key Performance Indicators-Based PMS: Strengths and Weaknesses**

The KPI-Based PMS existing in the Department of Administration of Justice had some strengths and weaknesses. The department used the KPI-Based PMS to facilitate the identification of performance needs and formulating a PMS through PMS process. The major positive outcomes from the KPI-Based PMS include: the ability of the department to develop vision-mission statements; strategic aims and objectives with key results areas and key performance indicators; annual performance plans; and performance targets with persons responsible for targets. Another strength of the KPI-

based PMS was that the top-down approach enabled PMS to be developed at the strategic level. The department had mission, vision statements, short and long term strategic objectives and annual performance plans. The strategic objectives and annual performance plans and targets were designed to measure the overall performance of the department and sections/units within the department. As suggested by Flapper et al., (1996), the department's the strategic objectives and targets were at the strategic level.

The positive aspects about the KPI-Based PMS were that employees felt that PMS had benefited the department in terms of improving management skills; improving quality of service; as well as encouraged, supported teamwork and teambuilding. Employees were positive regarding the overall effectiveness of the department. For example, on the overall employee's rated the department moderately to very effective. Though employees were less positive regarding effectiveness of PMS in the department. Findings from this research suggest that users of services provided by the department were happy with the overall performance of the department. Users of services were happy with performance of the judiciary, particularly in the areas of independence, impartiality, responsiveness, human rights and court facilities. In addition, a high proportion (81 per cent) of users of services provided by the department rated moderately to very effective the overall effectiveness of the department. Results from this research suggest that the department consulted customers and stakeholders, including users of services to ascertain their needs and expectations from the department. This is an indication of the department's willingness to be responsive to the needs of external customers as suggested by 'Best Practice' PMS (HRM). Though needs of internal customers were not yet met through



an integrative HR strategy. Evidence obtained from the Department suggests that the department and employees have benefited from a PMS in one way or the other. As shown in Table 7.6, managers surveyed in the department indicated that PMS had benefited the department in terms of developing mission-vision statements, strategic and annual performance plans. Non-management staff felt that PMS had benefited the department in terms of encouraging teambuilding and teamwork. Managers felt that PMS had improved management skills in the department. On the other hand, non-management staff indicated that PMS had made them more productive, motivated, were committed to work, improved performance rating and helped plan work better.

**Table 7.6 PMS Benefits in the Department of Administration of Justice**

<b>PMS Benefits</b>	<b>Per Cent</b>	<b>PMS Benefits Positive &amp; Negative</b>
<b><u>Internal Benefits: Positive</u></b>		
<b>Benefits to the Department and Managers</b>		
Developing the Department's clear mission-vision and strategic plan	68.4	Positive
Setting of specific goals and achievable targets	65.6	Positive
Develop clearly defined key performance areas and measures	59.6	Positive
Integration of strategic goals, HRM policies and performance improvement initiatives	42.1	Positive
PMS has improved management skills development	42.1	Positive
PMS is bureaucratic and time consuming	36.8	Positive
<b><u>Benefits to Non-Management Staff</u></b>		
More productive	35.8	Positive
Committed to work	35.8	Positive
Improved performance rating	30.4	Positive
Help plan work better	37.6	Positive
<b><u>Benefits to Department: Non-Management Staff</u></b>		
Encouraged and supported teamwork and teambuilding in the department	40.0	Positive
<b><u>Internal Benefits: Negative</u></b>		
<b>Managers</b>		
Aims of department are well communicated to staff	47.3	Negative
Staff setting challenging goals	36.9	Negative
Improvement in communication between senior managers and junior staff	39.6	Negative
<b><u>Benefits to Non-Management Staff: Negative</u></b>		
Setting of performance goals		
Not fully understanding PMS concept	34.0	Negative
<b><u>Benefits to Department: Non-Management Staff: Negative</u></b>		
Improved appraisal system and process	41.9	Negative
Improved communication and consultation between senior management and senior staff	37.5	Negative
	39.3	Negative

Source: DAOJ, Quantitative Data: 2002.

There were indications that the KPI-Based PMS had positive effects in some aspects of external performance (Table 7.7). For example, a high proportion of users of services provided surveyed were happy with the overall performance of the judiciary, particularly factors relating to independence, impartiality, professionalism, human rights issues, standards and facilities of the judiciary (Table 7.7). However, users were not happy with the rapidity of service delivery by the department.

**Table 7.7 PMS Outcomes: Internal and External in the Department**

<b>PMS Outcomes</b>	<b>Per Cent</b>	<b>PMS Outcomes Positive &amp; Negative</b>
<b>Internal Outcomes: Employees</b>		
<b>Departmental: Positive</b>		
Improve quality of service (managers)	31.6	Positive
<b>Employees: Positive</b>		
Motivates management and staff (non-management staff)	32.2	Positive
<b>Departmental: Negative</b>		
Leadership has improved (managers)	41.6	Negative
Leadership has improved (non-management staff)	36.6	Negative
Management and staff are motivated by PMS	28.9	Negative
<b>External Outcomes: Users of Services</b>		
<b>Performance of the Judiciary: Positive</b>		
Satisfied with the performance of the DAOJ	60.0	Positive
Public officers in DAOJ are committed to quality service delivery	56.7	Positive
I have confidence in the judicial system	70	Positive
Judiciary does not neglect human rights	82.5	Positive
Judiciary protects the public from criminals	69.6	Positive
Judiciary is responsive to global changes	60.8	Positive
Judiciary meet international standards	58.1	Positive
Judiciary provide user-friendly court environment	58.1	Positive
<b>The Judicial System</b>		
Judiciary is independent and impartial	84.4	Positive
Judges are free to deliver justice without fear and favour	82.4	Positive
All customers of the judiciary are treated equally	55.4	Positive
Violence against women, and children is acknowledged	83.8	Positive
Judiciary acknowledged rights of young offenders	81.0	Positive
Judiciary interprets laws, independently, consistently and fairly	79.7	Positive
<b>Outcomes of the Judicial System: Positive</b>		
The public has confidence in our judicial system	55.4	Positive
Judiciary aims to satisfy public needs	78.0	Positive
The Police and the courts are doing their best to reduce crime	75.6	Positive
Judiciary resolves disputes transparently, consistently and professionally	74.3	Positive
<b>Outcomes of the Judicial System: Negative</b>		
Court system handles cases within reasonable speed	64.9	Negative
Sentencing reduces future criminal behaviour	39.2	Negative

Source: DOAJ: Quantitative Data: 2002.

However, there were shortcomings regarding the KPI-Based PMS existing in the Department of Administration of Justice (Table 7.6 above). For example, both management and non-management employees' felt that PMS had not helped staff set performance goals and targets. In addition, majority of non-management employees indicated that PMS had not improved HRM related factors in the department, for example, communication, appraisal and reward system, training and induction. As research by Radnor and Lovell (2003) revealed, though BSC could not quickly improve service efficiency compared with existing PMS, it offered significant benefits including meeting government expectations and targets, enhanced transparency, clarity and accountability and involvement/support for staff.

One of the weaknesses of the KPI-Based PMS existing in the department of Administration of Justice was the limited participation and involvement of junior managers and non-management staff in the PMS process. Though the top-down approach to the KPI-Based PMS had benefited the department at the organisational/strategic level, indications from findings were that PMS had not yet cascaded to the operational level. Non-involvement of junior and non-management staff made staff react to PMS as a strategy imposed from above. Some employees, particularly junior managers and non-management staff felt that PMS was formulated and implemented at the head office with minimal input from junior staff. A study by Radnor and Lovell (2003) support this, where some employees at the Bradford Health Zone (NHS) felt that implementation of BSC was imposed from above. Indications from this research were that the KPI-Based PMS was not yet operational at the lower or functional level of the department to guide the daily activities of staff. For example, managers indicated that PMS had not helped staff set challenging goals,

non-management staff felt that PMS had not helped staff set performance goals. Findings from this research revealed that users were not happy with the rapidity of service delivery of the department. In addition, users of services were not happy with untrained administrative and support staff in the department and untrained prosecutors who service the department.

Regarding PMS activities, evidence collected from the department suggests that PMS activities at the high courts and magistrate courts were limited to implementation and review of annual performance plans, as well as setting of performance targets. Findings from this research suggest that senior and middle managers reviewed PMS, strategic plan, annual performance plans and set departmental performance targets on a quarterly and annual basis. There were also indications from this research that ideally, employees at lower management and non-supervisory positions commented on draft annual performance plan and targets. However, evidence from this research suggests that this was not always the case in some court stations. For example, in two magistrate courts, interviews with middle and lower managers revealed that bureaucracy, control and poor channels of communication had affected PMS activities. In one magistrate court, the research revealed some level of involvement of junior officers in the PMS activities, for example, involvement in the review of the court station's annual performance plan and setting of targets for sections/units and individuals in the station.

The above results from quantitative and qualitative research suggest the Department of Administration of Justice, to a certain degree, followed the core process of the 'Best Practice' PMS (HRM), which entails observing, planning and designing, acting

on and reviewing PMS. The results from this research suggest the PMS existing in the department was KPI-Based PMS. Furthermore, findings from this research suggest the department used a 'Top-Down' approach to PMS. Though authors such as Sinclair and Zairi (1995), Radnor and Lovell (2003) argue that strategy development and goal deployment is the responsibility of senior management, input from employees is equally essential in order to achieve 'buy in' to the process. Radnor and Lovell (2003) suggest that involving employees at all levels instead of initiatives staying at the strategic level would enhance implementation. This research suggests that the KPI-Based PMS in the department was still at the strategic level and had not yet cascaded to the operational level.

This research has identified gaps in the KPI-Based PMS existing in the Department of Administration of Justice, which were discussed in detail in section 7.3. The major departures from the 'Best Practice' PMS (HRM) include: the department acting on PMS without integrating HR strategy into the PM system; department's vision, strategy and goals not linked to teams and individual goals and aspirations; inadequate employee training and development in PMS; and lack of wider involvement and participation of junior managers and staff in the PMS process. Contextual factors that affected performance management and PMS process in the department include: delays in decision making caused by organisational structure, leadership that is not committed to PMS, negative work climate, culture, inflexible policy, work processes. HRM related factors that have affected PMS in the department include: inappropriate conditions of service; appraisal and reward system; poor communication; and inadequate training, particularly in PMS. The section that follows examines the fourth research objective regarding suggesting changes to reduce gaps between the KPI-

Based PMS existing in the Department of Administration of Justice and 'Best Practice' PMS (HRM).

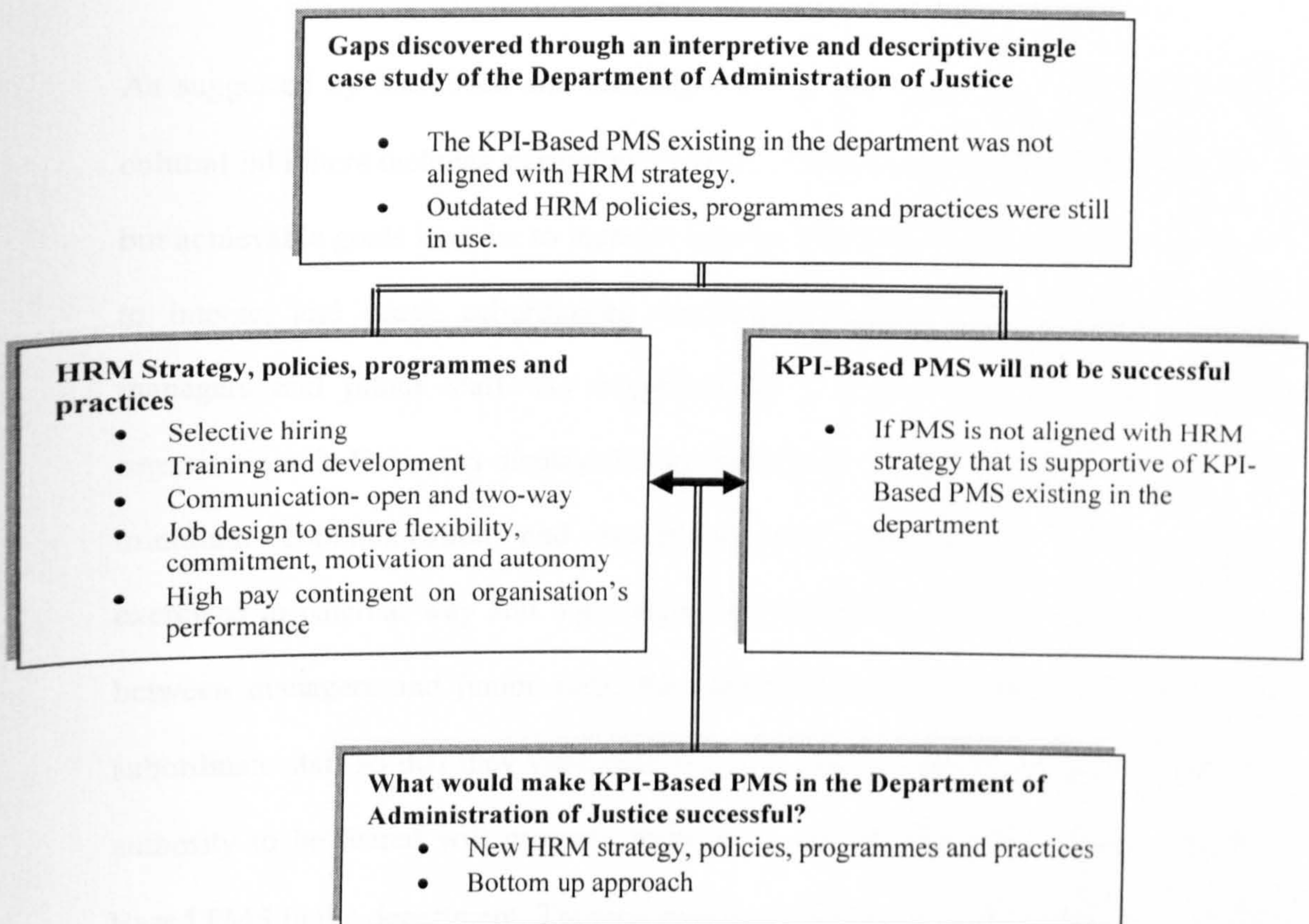
### **7.6 Research Objective 3: Suggestions to reduce Gaps Between 'Best Practice' PMS (HRM) and KPI-Based PMS in Department of Administration of Justice**

Attempts at closing gaps between 'Best Practice' PMS (HRM) and the KPI-Based PMS existing in the Department of Administration of Justice include: an integration of HRM strategy into PMS; linking department's vision, strategy and goals with teams and individual goals and aspirations; train and develop staff in PMS; a bottom-up approach to PMS that would entail wider involvement and participation of junior managers and junior staff in PM; experience and information sharing in PMS between senior, middle managers lower managers, junior staff and regular PMS meetings and a contingency approach to PMS.

The major factor that would reduce the gap between 'Best Practice' PMS (HRM) and PMS in the department would involve the integration of HRM strategy into existing PMS in order to enhance KPI-Based PMS existing in the Department of Administration of Justice (see Figure 7.6). Having a HR strategy will facilitate the department, for example, in the ability to attract and retain professional staff such as magistrates and judges by having appropriate terms and conditions of service that are compatible with the PMS philosophy. A HR strategy would also assist the department attain 'best fit' between employees needs regarding motivation, training and development through HRM policies and practices strategy linked to the department's vision and strategic aims and objectives. Linking department's vision, strategy and goals with teams and individual goals and aspirations will reduce

departure from 'Best Practice' PMS. As noted by Boxall and Purcell (2003), the most crucial element in employee management is to align managers and workers interest. Boxall and Purcell (2003) suggest that it is equally important to align organisational interest with employee interest. Aligning the Department of Administration of Justice vision and strategic goals with employee goals and aspirations can be achieved through HR strategy.

**Figure 7.6: The importance of aligning PMS with HRM strategy, policies and practices**



Another crucial factor that would enhance the KPI-Based PMS in the department would be training and developing managers and staff in PMS. Training managers and employees in for example, the development of individual performance plans, setting

of own performance goals and targets would reduce the gap between 'Best Practice' PMS (HRM) and KPI- Based PMS existing in the department. Training and developing managers in inter-personal and communication skills would enable managers to be effective, for example, in giving timely and constructive feedback, coach, mentor and develop staff under their supervision. Training managers to be effective managers and managing the PMS process is essential in the PMS process (Radnor and McGuire, 2004) as opposed to management by crisis (Merdonca and Kanungo, 1996) would enhance KPI-Based PMS in the department.

As suggested by Merdonca and Kanungo (1996), systematic approach to minimise cultural inhibitors includes starting by training employees in setting specific, difficult but achievable goals in order to increase internal locus of control. Training managers to interact and coach subordinates would also reduce power distance between managers and junior staff. As suggested by a study by Hope (2002), public organisations in Botswana displayed organisational culture that was characterised by minimum communication and non-participative management style, authority exercised in paternal way and high respect for authority figures. Reducing distance between managers and junior staff, for example between judges, magistrates and subordinate staff so that they view each other as colleagues as opposed to figures of authority to be feared will promote team work and improve effectiveness of KPI-Based PMS in the department. Training managers to mentor, coach, train and develop individual staff would enhance HR policy and practices in the department. Furthermore, training senior and middle managers to appreciate the integrative and strategic value of HRM policies and practices of monitoring, reviewing, appraising and rewarding performance would enhance the success of KPI-Based PMS in the



department. Developing managers on PMS and training them how to apply PMS to manage, monitor, measure and review performance and effectiveness of employees, teams and the departments would reduce the gap between 'Best Practice PMS (HRM) and KPI-Based PMS existing in the department. Changing the attitude of managers towards PMS and HRM policies and practices would minimise gaps between 'Best Practice' PMS (HRM) and PMS existing in the department. Training and developing employees at all levels would also promote commitment, support and ownership of PMS.

The poor state of communication between the department's head office and out stations, managers and non-management staff was indicated as one of the factors that affected PMS in the department. Training and developing managers in communication and inter personal relations would improve communication in the department. Additionally, communication could be improved through consultative and experience-sharing workshops and conferences particularly for junior managers and non-management staff. Experience and information sharing in PMS between senior, middle managers lower managers; junior staff and regular PMS meetings would also improve communication, strengthen teamwork and enhance KPI-Based PMS existing in the Department of Administration of justice.

A Bottom-up approach to PMS that would entail wider involvement and participation of junior managers and junior staff in PMS would reduce the gaps between 'Best practice' PMS and KPI-Based PMS existing in the department. As revealed by this research, the introduction of PMS in the department commenced with the sensitisation of leadership followed by training of PMS coordinator, senior and middles managers.

There were indications from this research that the PMS coordinator received training in the PMS process and drove the PMS process in the department. The department received external assistance in the developing PMS. The assistance was from the Botswana National Productivity Centre. PMS was therefore, initiated, introduced, formulated and designed from the top, through sensitisation and training of leadership, the PMS coordinator, senior and middle managers. Though the top-down approach had the advantage of sensitising and educating leaders and managers about the PMS and expected changes that would follow. The disadvantage was that PMS had not, at the time this research, reached staff at operational level. Reducing the gap between 'Best Practice' PMS (HRM) and IKP-Based PMS existing in the department would therefore, entail a bottom-up approach. A bottom up approach would enable staff at operational level to learn, and adapt to PMS, appreciate PMS value to them and the department as whole.

The bottom-up approach that entails wider involvement of staff in PMS could commence by training and developing operational staff in PMS process. As suggested by Radnor and Lovell (2003), implementation at different levels within an organisation would allow buy in by employees and minimise the risk of employees viewing BSC as a top-down imposition. Boxall and Purcell (2003) advocate that organisations that have multiple, mixed model of strategic management process are more likely to be superior performers. Hart (1992) argues that a participative type of strategic management allows for managers to act as facilitators, empower and enablers, while employees role become that of participators, learners and improvement through self-evaluation by agreed criteria.

Flexibility regarding PMS implementation at magistrate court level will also facilitate adaptation at operational level of KPI-Based PMS in the department. Flexibility for example, in preparation of annual performance plans; setting of targets, reviewing PMS will allow PMS to be adapted to suite context specific to high courts and magistrate courts. Additionally, flexibility would promote bottom-up participation as well as encourage the culture of learning and regular PMS usage by employees at operational level.

Though this research has revealed a variety of departures from 'Best Practice' PMS (HRM) and contextual factors affecting PMS in the Department of Administration of Justice, integrating HR strategy into PMS is the major factor would strengthen the KPI-Based PMS. The major factors to consider would entail a holistic and integrative HR strategy that would motivate employees at all level in order to provide timely and quality service to external customers who are expecting value for money service from the department. As advocated by Bramley (1991), organisational effectiveness entails achieving goals, increasing resourcefulness, satisfying customers and improving internal process. Having a HR strategy that is integrated into PMS would facilitate the department achieve its strategic goals, becoming effective and resourceful as well as satisfying internal and external customers needs and expectations. The importance of having HRM strategy, policies and practices that were supportive of a PMS and an HRM strategy that is organisational specific were emphasised in the literature reviewed. The crucial element of aligning PMS with HRM strategy is depicted in the conceptual map depicted in Figure 2.11 in chapter 2 of this thesis. The section that follows discusses the issues relating to 'Best Practice' versus. 'Best fit' approach to PMS.

## **7.7 Research Objective 4: 'Best Practice' versus 'Best Fit'**

The results from this research suggest that despite the Department of Administration of Justice using the 'Best Practice' PMS (HRM) process and KPI-Based PMS from the various best practice PMS frameworks available, there were departures from 'Best Practice' PMS (HRM). For example, major departures from the best practice were the lack of integration of HRM strategy into PMS, lack of link between the department's vision, strategic goals, aims and objectives with individual and team goals and aspirations. There was evidence to suggest that organisational and HRM related contextual factors had affected PMS process in the department. For example structure, commitment, culture, cynicism, communication, appraisal, pay, fairness, trust, openness, motivation, climate, terms and conditions of service in the department.

As pointed out by Gonzalez and Tocarante (2004), best practice approach advocates for universal application of HR policies and practices that have an effective on business performance regardless of context in which they are applied. Moreover, 'Best Practice' HR includes factors relating to selective hiring, extensive training, high pay for high performance, performance related pay, employee security, decentralised decision making as well as participation in decisions and authority (Pfeffer, 1998; Armstrong and Baron, 1998; Armstrong, 2001; Boxall and Purcell, 2003). On the other hand, 'Best-fit' approach advocates that contextual factors matter and that the key to effective HRM lies in finding the appropriate, strategic fit and coherent combination of policies and practices (Boxall and Purcell, 2003; McCourt and Ramguttty, 2003; Gonzalez and Tocarante, 2004 and others). For example, research by Gonzalez and Tocarante (2004) regarding best practice application in

organisations in Spain found that organisations surveyed applied different HRM practices depending on the value and uniqueness of the job. Gonzalez and Tocarante also believed that best practices were not applied to all jobs but were accompanied by other practices. A study by Long Franklin (2003) revealed that the implementation of government performance results reform policy by federal agencies surveyed in the USA was not standardised. This indicated, as argued by Long Franklin (2003), the problem with 'one size fits all' approach to implement strategic management initiatives in the USA federal agencies.

Boxall and Purcell (2003) argue that national context matters and that national context should be embedded into best practice to ensure best fit taking into consideration internal, regional and national customs, cultural values, norms, management style, laws, regulations as well as the political context. The best-fit approach, which takes into account contextual factors in both developed and developing countries, as evident from the literature reviewed, was emphasised by various academics and practitioners. Studies have shown that contextual factors matter in developed countries (Applebaum, 1994; Taira, 1993; Wever, 1995; Towers, 1997; Armstrong and Baron, 1998; Armstrong, 2001; Boxall and Purcell, 2003; Long and Franklin, 2004). Studies have also suggested that context matters in developing countries (Merdonca and Kanungo, 1996; Curtis, 2003; Haruna, 2003; Hugue and Yep, 2003; McCourt and Ramguttu, 2003). As argued by Boxall and Purcell (2003), best practice should be applied, varied and adapted to suite the national context. Therefore, this research proposes a 'best fit' approach to suite the context specific to the KPI-Based PMS in the Department of Administration of Justice in Botswana.

Though 'Best Practice' PMS (HRM) prescribes that organisations should integrate HR strategy into PMS. Results from this research demonstrate that though, to a certain degree, the Department of Administration of Justice followed the 'Best Practice' PMS process, what actually emerged was that PMS was implemented simultaneously with the development of a HR strategy. The critical factors the department considered during the process of PMS was to assess the internal and external environment, including assessing the appropriateness of HRM policies and practices for PMS, and developed mission-vision and value statements as well as strategic objectives and goals for the department. The department achieved this through the KPI-Based PMS. KPI-Based PMS was one of the variety of 'Best Practice' PMS frameworks. The department had applied the principles of best practice to guide the PMS process and framework to formulate, design and implement the KPI-Based PMS. However, as evident from the results of this research, there were some contextual factors that affected the PMS in the department. This finding demonstrates that context matters, as argued by a variety of authors (Boxall and Purcell, 2003 and others). Consideration of contextual factors identified in this research would enhance the KPI-Based PMS existing in the Department of Administration of Justice.

The result suggest that the Department of Administration of Justice used the 'Top-down' approach to KPI-Based PMS. One of the shortcomings of the 'Top-Down' approach was lack of wider involvement of junior managers in the PMS process in the department. This research suggests the 'Bottom-up' approach entailing wider involvement, participation and consultation with employees; particularly junior managers and non-management staff in the department would enhance KPI-Based

PMS in the department. As noted by various authors, the bottom up approach would enhance 'buy in' and encourage ownership of the process (Sinclair and Zairi, 1995; Radnor and Lovell, 2003).

## **7.8 Summary**

The purpose of this chapter was to discuss and interpret findings from quantitative and qualitative evidence collected within and outside the Department of Administration of Justice. Findings from this research suggest the Department of Administration of Justice, to a certain degree, followed the core process of the 'Best Practice' PMS (HRM), which entails observing, planning and designing, acting on and reviewing PMS. The results from this research suggest the PMS existing in the Department of Administration of Justice was KPI-Based PMS. Furthermore, the department used a 'Top-Down' approach to KPI-Based PMS. Though the top-down approach enabled development of KPI-Based PMS at the strategic level, one of the shortcomings was the lack of wider involvement of junior managers and junior staff in the PMS process. Having a HRM strategy and a bottom up approach would enhance the KPI-based PMS existing in the department. The next chapter concludes and summarises research key results and findings, revisit and reflect on research objectives, outline implications of this research and suggest areas for future research.

## CHAPTER 8

### CONCLUSIONS, RECOMMENDATIONS AND IMPLICATIONS

#### 8.1 Introduction

This chapter summarises and concludes findings from this research. The first objective of this research was to investigate the PMS existing in the Department of Administration of Justice in Botswana. The second objective was to identify gaps between 'Best Practice' PMS (HRM) and PMS existing in the department. The third objective was to suggest changes to reduce gaps between 'Best Practice' PMS (HRM) and PMS existing in the department. The fourth objective was to explore the applicability of 'Best Practice' PMS (HRM) in the context of a developing country. This research aims to contribute to the body of knowledge and advancement in the debates regarding 'Best Practice' PMS (HRM) versus 'Best Fit'. The first section of this chapter gives a brief background to the research problem. The second part summarises the research strategy and methods adopted in this research. The third section outlines key findings from this research. The fourth section outlines limitations of this research, while the fifth section discusses implications of the findings and the contribution to HRM theory and practice made by this research. The sixth section suggests areas for future research focus and the final section comprises conclusion and summary.



## **8.2 Research Problem**

This research aims to contribute to the body of knowledge and advancement in the debates regarding 'Best Practice' PMS (HRM) versus 'Best Fit'. The research explored the applicability of 'Best Practice' PMS (HRM) in the Department of Administration of Justice in Botswana, in the context of a developing country. According to the 'Best Practice' PMS (HRM), the core process of PMS entails observing the internal and external environment of an organisation; planning and designing a PMS; acting on the PMS; and reviewing the PMS. The 'Best Practice' PMS (HRM) advocates that following the core process of PMS would allow an organisation to identify performance management needs and develop appropriate PM systems. There are various frameworks that organisations can select to formulate, design and implement appropriate PM systems. These frameworks include: Key Performance Indicators (KPI); Balance Score Cards (BSC); Total Quality Management (TQM); European Foundation of Quality Management (EFQM); and Best Value (BV). Furthermore, there are various contextual factors that affect PMS, including: organisational systems and structure, work processes, leadership, culture, policy, and HRM related factors.

The research aims to contribute to gaps identified in the literature reviewed regarding research in 'Best Practice' PMS (HRM). The gaps identified in the literature include the fact that vast amount of research is concentrated in developed countries as opposed to developing countries. Previous research was mainly conducted in the private sector and the PMS (HRM) approaches, processes and frameworks suggested were designed for application in private sector organisations. Furthermore, past

research has concentrated on performance measurement, particularly the use of Balance Scorecard (BSC) frameworks in the private sector. PMS research in the public sector is also mainly based on the education and health services in developed countries, for example in the UK education and national health services, as opposed to public organisations responsible for delivery of justice. PMS is a new concept in Botswana and was introduced in government ministries and independent departments in 1999 in order to alleviate problems related to service delivery, effectiveness, efficiency, low morale and lack of accountability of public organisations. The government has over the years, as the economy grew and the public sector expanded, introduced various reform initiatives in order to improve performance and service delivery of public organisations. However, past initiatives such as job evaluation and work improvement teams imported from outside were not as effective as expected (discussed in detail in chapter 3). PMS was, therefore, introduced in 1999 as the latest performance improvement strategy in all public sector organisations, including the Department of Administration of Justice. The department was selected because of its importance in Botswana regarding its responsibility for issues relating to the constitution, human rights, safety, reliability, stability, independence and impartiality of the judiciary and gaining confidence and respect inside and outside the country. PMS was introduced in the department as the latest strategy to improve performance, accountability, motivation, effectiveness and efficiency in the department. The department was selected because it was ahead of other government departments in implementing PMS.

Since PMS is a new concept in Botswana, the descriptive case study will provide in depth knowledge and further insight into the PMS process, framework and the

contextual factors affecting PMS in the Department of Administration of Justice. The public sector plays a significant role in the economy of Botswana through employment and provision of development programmes and social services by various government ministries and independent departments. The Department of Administration of Justice is one of the independent arms of government responsible for maintaining stability and social justice by providing justice fairly and promptly. The department had performance and service delivery problems, as did other government ministries and departments. The department had performance and HRM related problems including: of backlog of cases due to staff shortages; high turnover of professional staff because of unattractive terms and conditions of service; lack of court facilities and office space; a weak appraisal system; and weak internal communication. In addition, the public and users of services provided by the department were complaining about the delay in justice delivery, for example the accused spending too long in prisons awaiting trial. PMS was therefore, introduced to alleviate the department of problems related to performance, accountability, staff motivation, effectiveness and efficiency.

This research, therefore, intends to contribute to gaps in literature by investigating the 'Best Practice' PMS (HRM) in a different and unique developing country environment, in a public sector organisation. This research aims to contribute by firstly, investigating PMS existing in the Department of Administration of Justice in Botswana, secondly, identifying gaps between 'Best Practice' PMS (HRM) and PMS existing in the department and thirdly suggesting changes to reduce gaps between 'Best Practice' PMS (HRM) and PMS existing in the department. Additionally,

contextual factors that affected the application of the 'Best Practice' PMS (HRM) in the department will be investigated.

### **8.3 Research Methods**

This research adopted a descriptive single-case study approach in order to gain in-depth understanding regarding PMS existing in the case under investigation. Purposeful sampling technique was applied to select the department as case in the public sector in Botswana. Empirical evidence was collected within and outside the department through self-administered questionnaire, semi-structured interviews, informal discussions and secondary data sources. Self-administered questionnaires were used in order to map out and discover the PMS existing in the department. Semi-structured interviews, informal discussions and secondary data sources were used in order to complement the survey questionnaire, obtain different views, as well to enrich and clarify data collected from the case. Semi-structured interviews were used in order to probe further and gain in depth understanding and meaningful insights into PMS issues that rose from the survey questionnaire. This research used qualitative methods for further understanding of the PMS process, framework and contextual factors in the department. Additionally, qualitative method was used for triangulation purposes and to strengthen the case under investigation. Empirical evidence was collected within the department in order to investigate the PMS process, identify gaps between 'Best Practice' PMS (HRM) and PMS in the department and suggest changes to reduce gaps. Empirical evidence was also collected from users of services provided by the department. The inclusion of the users of services was to explore whether PMS

had improved performance and services delivery by the department. Descriptive statistics in SPSS version 11.0 and content analysis were used to analyse data.

The research used the 'Best Practice' PMS (HRM) process, and framework to guide data collection and analysis. Research questions were generated from the themes that emerged from the literature regarding 'Best Practice' PMS (HRM) processes, frameworks and contextual factors. Empirical evidence collected from the department through quantitative and qualitative means was compared with the 'Best Practice' PMS (HRM) processes and frameworks in order to identify gaps between the two, and suggest changes to close the gaps. Taking contextual factors into account that affect the relevance of 'Best Practice' PMS (HRM) in the Department of Justice were investigated in this research.

#### **8.4 Key Findings**

The first objective of this research was to investigate PMS existing in the Department of Administration of Justice. Firstly, findings from this research suggest that the department had, to a certain degree, followed the 'Best Practice' (PMS (HRM) core process when formulating, designing, implementing and reviewing PMS. Regarding the first stage of 'Best Practice' PMS (HRM) involving observing the organisation's environment, results suggest that the department had observed the internal and external environment in order to identify performance management needs. This evidence was supported, for example, by 52 per cent of managers surveyed who indicated that the department's mission and vision statements were reviewed and external customers expectations were reviewed (60 per cent). There were indications

that one of the determinants for adopting PMS was pressure from the external environment. For example, there was increased demand by the public and customers for better service delivery as well as complaints relating to poor productivity, slow delivery of service and lack of accountability in the department. Results from this research suggest the department used various techniques, to assist identify PMS needs and facilitate formulation of PMS. An example of such technique was the use specific, measurable, achievable, realistic and time bound targets (SMART). A further technique used was strengths, weaknesses, opportunities and threats (SWOT) analysis in order to strategic goals, assess the position of the department. In addition, various surveys and review reports were used to help identify PMS needs and formulate PMS in the department. The major department's surveys and reports used were the Situational Analysis Survey of 1999; Organisation and Methods review of 1995; and the scheme of service for the department (Chapter 6). Results from this research suggest that the department benchmarked its performance with regional and international justice departments. For example, the department stated in the strategic plan that it intended to provide quality service equivalent to that in the first world.

Regarding the second stage of 'Best Practice' PMS (HRM) process which entails planning and designing a PMS, results from this research suggest that to a certain degree, the department planned and designed PMS based on what was agreed during formulation of PMS by the department. This was supported by 42 per cent of managers surveyed in the department. However, there was evidence to suggest that the department did not adequately plan for some resources required for PMS. For example, 45 per cent of non-management staff felt that the department did not adequately plan and budget for facilities and equipment required to assist staff

performance. Additionally, 60 per cent of managers and 40 per cent of non-management staff indicated that time to attend PMS activities, for example to attend PMS meetings, was not adequately planned for. Staff training in PMS was another factor that employees felt that department did not adequately plan for, with 57 per cent of non-management staff indicating this.

Concerning the third stage in the 'Best Practice' PMS (HRM) process of acting on a PMS, results from this research suggest that the department acted on PMS without integrating a HR strategy that would support the PMS philosophy. Though the department assessed the HRM policies and practices when observing the internal environment, evidence suggests the department implemented PMS without integrating an HRM strategy into PMS. This finding was supported by a study by McCourt and Ramgutty (2003) who found that one of the factors contributing to strategic HR not practiced in Mauritius was because it was not widely known and there was lack of strategic framework in the public sector. According to the 'Best Practice' PMS (HRM), HRM policies and practices should be able to support a PM system. This research suggests that the department acted on PMS without having an appropriate HR strategy and integrating HR strategy into PMS. Strategic integration in the Department of Administration of Justice would entail alignment of employee management processes and objectives with the overall strategic vision and objectives of the department.

In relation to the fourth stage in the 'Best Practice' PMS (HRM) process of monitoring, reviewing, and evaluating the PMS, findings from this research suggest that the department used a variety of methods to review PMS. The 'Best Practice

PMS (HRM) suggest different methods including attitude surveys, cost-benefit analysis, interviews, written reports, oral reports and informal meetings. Results from this research suggest that the department used the annual judicial conference as the main technique to review PMS. Additionally, the department reviewed, evaluated and updated the vision-mission, strategic plan, annual performance plan and performance targets during the judicial conference. Findings from this research indicate that the department, in addition to the annual judicial conference, used written reports, interviews and meetings to review PMS, changing annual performance plans and setting new performance targets accordingly. One of the limitations of the internal review process revealed by this research was that the department's review process was limited to senior and middle managers. For example, the review process had minimal involvement of junior managers and non-management staff. This evidence was supported by 47 per cent of non-management staff surveyed. There were other factors affecting the review process in the department, for example, some junior managers indicated during interviews and discussions that they were not able to carry out regular reviews of the PMS and submit written review reports due to a lack of skills and knowledge in PMS review.

There were indications that the department had an external review system, in which the public and customers evaluated the services provided by the department. Results from this research suggest that the external review system was not well established, for example, there were indications that some courts did not have the external review system in place, whereas in some court stations external review data received from customers was not assessed regularly. Despite shortcomings in the department's PMS review process, one of the strengths of the review process was that the annual judicial



conference involved and engaged senior and middle managers in PMS process and the review of the overall performance of the department.

Regarding the 'Best Practice' PMS (HRM) framework used by the department, findings from this research suggest that the Department of Administration of Justice had a Key Performance Indicator (KPI) - Based PMS. The KPI-Based PMS emerged during the mapping of the PMS process and framework existing in the department. As mentioned in detail in the literature review, there are various 'Best Practice' PMS frameworks organisations can select in order to base their PMS. Frameworks include key performance indicators (KPI), Balance Scorecards (BSC) and Total Quality Management (TQM). Additionally, results from this research suggest the department used a 'Top-Down' approach to introducing PMS in the department. The system was initiated and introduced from the top, with sensitisation of senior managers, followed by training and wider involvement and participation of senior and middle managers in the PMS process. Findings from this research suggest limited involvement and participation of junior managers and non-management staff in the PMS process in the department. There were indications of limited involvement in the PMS process by junior managers and non-management staff. Junior employees indicated this during, for example semi-structured interviews and informal discussions.

Results from this research indicate that there were contextual factors that affected performance management and the PMS process in the department. The contextual factors include organisational and HRM related factors. Organisational structure and systems factors were identified that affected PMS, for example some managers' felt that bureaucracy led to delay in decision-making and poor communication in the

department. Some employees indicated that senior managers were not adequately committed to PMS. Whilst other employees, particularly non-management staff felt that managers did not allow employee involvement in the PMS process. Some managers indicated that systems of work where they had to work with customers, such as attorneys and police in adjudication of justice affected their performance. Performance of managers was effected by, for example attorneys failing to turn up for trial, the prisons department not releasing the accused for trial or unavailability of witnesses. Furthermore, non-management staff indicated that a lack of trust and openness, alongside negative work climate affected PMS in the department.

HRM related factors identified were particularly related to unattractive terms and conditions of service, a weak appraisal and reward system, poor communication and inadequate training in the PMS. Managers and non-management staff surveyed in the department indicated that the major challenges in introducing PMS in the department were mainly HRM related factors. For example, lack of communication by managers, resistance to change by some managers, lack of motivation, and inadequate training staff in the PMS and staff shortages. Organisational structure and system factors were also mentioned as challenges, for example, too much centralisation, working with a variety of customers, lack of ownership, support and commitment. Non-management staff stated that lack of office accommodation and equipment as some of challenges of introducing PMS in the department. Employees indicated factors that would make PMS work in the department would include improved structure and work processes; a better work climate; improved motivation; commitment from management; ownership of PMS by staff; better communication and training staff in PMS. These results demonstrate that HRM related factors emerged as the major factors affecting PMS in

the department. Research by Long and Franklin (2004) support this finding regarding challenges of implementing government reforms, where fourteen USA federal agencies surveyed indicated a lack of systems alignment, lack of resources, uncertainty and cultural challenges such as resistance to change as challenges of the government performance results policy.

The second objective of this research was to identify gaps between the 'Best Practice' PMS (HRM) and the PMS existing in the department. The gaps identified by this research in the KPI-Based PMS existing in the department include: lack of integration of HRM strategy into PMS; departmental vision, strategy and goals not linked to individual and teams goals and aspirations; lack of wider involvement and participation of lower managers and junior staff in PMS; and lack of training and development of managers and staff in PMS. Additionally, there were contextual factors that affected performance management and the PMS process in the department. The contextual factors include organisational factors relating to bureaucracy, work processes, culture, lack of trust and openness, negative work climate; a lack of commitment, support and ownership by senior managers. HRM related factors include unattractive conditions of service, weak appraisal and reward system, weak internal communication and inadequate training PMS.

Despite the above departures from the 'Best Practice' PMS, the KPI-Based PMS existing in the department had some strengths. The positive outcomes from the system included the department using the KPI-Based PMS to identify its performance needs and formulating a PMS through a systematic process. Additionally, the department had developed vision-mission statements, strategic and annual performance plans with

key results areas and key performance indicators and performance targets along with persons responsible for these targets. These are all indications of some positive effects of the KPI-Based PMS in the department. Results also suggest that on the overall, though employees were ambivalent about outcomes of the PMS, they were positive regarding the overall effectiveness of the PMS and the department. This was supported by the overall rating of the PMS and the department by employees as moderately to very effective. The research findings suggest that users of the services provided by the Department of Administration of Justice were happy with the overall performance of the department. Users of services also were happy with the performance of the judiciary, particularly in the areas of independence, impartiality, responsiveness, human rights and court facilities. In addition, external customers rated the department as moderately to very effective. However, there were indications that external customers were not satisfied with the rapidity of service delivery by the department. Additionally, users of services were dissatisfied with untrained administrative and support staff and untrained prosecutors who service the department.

The third objective of this research was to suggest changes to reduce gaps between 'Best Practice' PMS (HRM) and PMS existing in the department. The first suggestion to reduce the gaps between 'Best Practice' PMS (HRM) and the KPI-Based PMS existing in the Department of Administration of Justice is the integration of HRM strategy into PMS. Integrating HR strategy into PMS would enable the department's strategic vision and goals be aligned to HRM policies and practices such as recruitment, selection and retaining, training, appraisal and reward. McCourt and Ramguttty (2003) concluded in their study of strategic HR in Mauritius public sector

by suggesting that strategic integration is not only viable but a practical priority for African organisations. Strategic integration in the Department of Administration of Justice would entail alignment of employee management process and objectives with the overall strategic objectives of the department. Furthermore, linking the department's vision, strategy and goals with team and individual goals and aspirations is another important element that would reduce gaps between 'Best Practice' PMS (HRM) and PMS in the department. As pointed out by Merdonca and Kanungo (1996), making subordinates aware of the job's potential contribution to departmental goals is essential. Encouraging a performance development culture, as suggested by Radnor and Lovell (2003), would further enhance the KPI-Based PMS in the department.

The third suggestion was that a 'Bottom-Up' approach to PMS with wider involvement and participation of junior managers and junior staff in PMS process will reduce the gaps between 'Best Practice' PMS (HRM) and the current systems in the department. The 'Top-Down' approach has had a positive impact at the strategic level, for example, by helping the department develop a mission-vision and strategic plans and targets. This was achieved through direction of the department's PMS Management Team, PMS coordinator, senior and middle managers. A 'Bottom Up' approach would facilitate cascading PMS processes to staff at operational levels in the department. As suggested by Boxall and Purcell (2003), multiple approaches to strategy making are likely to lead to superior performance. Moreover, a 'Bottom Up' approach would enable staff buy-in, and reduces cynicism and moderates the view that the PMS was imposed from above. Radnor and Lovell (2003) supported the buy-

in as one of the factors for the adoption of balance scorecards into PMS at the Bradford National Health Services (UK).

Fourthly, improving communication between head office and out stations, as well as between managers and subordinates would further reduce gaps between 'Best Practice' PMS (HRM) and PMS in the Department of Administration of Justice. Communication can be improved by training managers to encourage two-way communication and in providing constructive and timely feedback to subordinates. Two-way communication and constructive feedback would minimise, for example, disagreements over individual performance goals and targets as was evident in some Magistrate Courts in the department. Communication could also be improved through consultative and experience-sharing workshops and conferences for senior, middle and junior managers, as well as between managers and non-management staff. Regular PMS meetings, as indicated by staff surveyed in the department, would further enhance the PMS existing in the department. Lewy and Dumeé (1998) support the view that a successful implementation and use of the PMS can be achieved when managers have intensified awareness of the importance of the PMS. Awareness can be achieved by managers in the Department of Administration of Justice communicating the benefits of PMS to junior staff through regular PMS meetings. Additionally, communication by line managers would intensify PMS awareness in the department and cascade the system to the operational level. Regular communication will also enhance trust and openness between management and junior employees.

The fifth suggestion was that training and developing staff in PMS, for example, in preparation of individual performance plans and setting of own individual

performance goals and targets would reduce the gap between 'Best Practice' PMS (HRM) and the current system. Additionally, training senior and middle managers to appreciate the integrative and strategic value of HRM policies and practices of monitoring, reviewing, appraising and rewarding performance would enhance the success the system in its current form. As evident from this research, the attitude of some managers towards the PMS was that it was an administrative burden to them and that PMS belonged to administrative departments. Research by Radnor and Lovell (2003) support this finding, where respondents in the Bradford Health Zone (UK) felt that adopting BSC into existing PMS would be costly and time consuming.

As supported by Radnor and Lovell (2003), managing the PMS process and being effective managers are essential. Training managers in HR skills, for example magistrates and court administrators in the Department of Administration of Justice, would enable line managers manage and to own HR, for example in McCourt and Ramguttty (2003). Developing managers in PMS and training them how to apply the PMS to managing, monitoring, measuring and reviewing the performance and effectiveness of employees, teams and the departments would also reduce the gap between 'Best Practice' PMS (HRM) and the system developed by the department. Furthermore, training and developing managers in monitoring goals and targets, communicating failure to achieve goals and giving accurate, timely and constructive feedback would enhance the KPI-Based PMS in the department. Training managers in interpersonal skills will also promote relations in the department that are based on trust, openness and mutual understanding between managers and subordinates. Mollman and Timmerman (2003) supported this view.

The last suggestion to reduce gaps between 'Best Practice' PMS (HRM) and PMS existing in the department is related to the attitude of managers towards PMS and HRM strategy. Changing the attitude of managers, for example by encouraging managers to build the PMS into their daily activities, would minimise managers viewing the system as an administrative core and time consuming process. Additionally, the ability of managers to build the PMS into their daily activities and motivate staff to do likewise would promote and develop commitment and ownership of the PMS. Radnor and Lovell (2003) supported this view. De Waal (2003) demonstrated that paying attention to behavioural factors such as managers' attitudes, organisational culture, managers understanding and PMS alignment are essential for successful implementation and use of key performance indicators, critical success factors or balance scorecard based PMS.

The fourth and final objective of this research was to explore the applicability of 'Best Practice' PMS (HRM) in the context of a developing country. The results from this research indicate that despite the fact there are a variety of Best Practice' PMS (HRM) for organisations to use, the Department of Administration of Justice only applied a 'Best Practice' PMS (HRM) to a certain degree. Results of this research demonstrate that the department to a certain extent, followed the 'Best Practice' PMS (HRM) process of observing, planning and designing, acting on and reviewing the PMS. Additionally, the department used the KPI framework to base its PMS. Although the Department of Administration of Justice used the KPI-Based PMS from the various PMS frameworks available, this research identified some gaps between 'Best Practice' PMS (HRM) and the KPI-Based PMS in the department. For example, the research revealed that despite the department observed its internal and external



environment, HRM strategy was not integrated into PMS. Results of the survey suggest the lack of link between the department's vision, strategic goals, aims and objectives with those of individual and team. Additionally, there was evidence of organisational and HRM related contextual factors that affected PMS process in the department. For example employees indicated that the system was affected by factors such as bureaucracy, work process, lack of commitment by managers, cynicism, poor communication, weak appraisal, unattractive pay and conditions of service, lack of trust and openness and a negative work environment.

The 'Best Practice' approach advocates universal application of HR policies and practices, for example as stated by Gonzalez and Tocarante (2004). 'Best Practice' HR includes factors relating to selective hiring, extensive training, high pay for high performance, performance related pay, employee security, decentralised decision making and participation in decision and authority, for example Pfeffer (1998). On the other hand, 'Best-Fit' approach advocates that contextual factors matter and that the key to effective HRM lies in finding the appropriate, strategic fit and coherent combination of policies and practices for the organisations. The view was supported by for example, Boxall and Purcell (2003) and McCourt and Ramguttty (2003). Other researchers, for example, Gonzalez and Tocarante (2004) demonstrated that best practice application in organisations surveyed in Spain applied different HRM practices depending on the value and uniqueness of the job. Gonzalez and Tocarante believed that best practices were not applied to all jobs but were accompanied by other practices.

Context matters and there were problems with the one fits all approach to implementation of management initiatives. A study by Long and Franklin (2003) demonstrated that implementation of government performance results policy by USA federal agencies surveyed was not standardised. Boxall and Purcell (2003) support the view that national context should be embedded into best practice to ensure best fit. Best fit takes into consideration internal, regional and national customs, cultural values, norms, management style, laws and regulations as well as the political context (Boxall and Purcell 2003). Various studies have shown that contextual factors matter in developed countries, for example, Armstrong and Baron, 1998; Boxall and Purcell, 2003. Research has also demonstrated that contextual factors matter in developing countries for example, Haruna (2003) and McCourt and Ramguttty (2003). The 'Best Fit' approach would enhance the KPI-Based PMS in the Department of Administration of Justice in Botswana. Where, for example, contextual factors such as management that is involving, communicating, open and committed are considered into PMS in the department.

The above results from this research demonstrate that the Department of Administration of Justice followed the Best Practice' PMS (HRM) process to a certain degree. The 'Best Practice' PMS (HRM) process prescribes that organisations should follow the four cyclical stages of observing, planning and designing, acting on and reviewing PMS. The holistic and integrative approach was emphasised by 'Best Practice PMS (HRM). The critical factors the department considered during the process of formulating PMS was to assess the internal and external environment, including assessing the appropriateness of HRM policies and practices for PMS. Additionally, the department developed a mission-vision and value statements and

strategic objectives, goals and targets along with persons responsible. The department had applied the principles of 'Best Practice' to guide the PMS process and framework and to formulate, design and implement the KPI-Based PMS.

However, as is evident from the results of this research, there were some departures from best practice PMS. Additionally, there were contextual factors that affected the PMS process in the department, particularly factors relating to organisational structure, poor communication, unattractive conditions of service and reward and a weak appraisal system. The major departure from 'Best Practice' PMS (HRM) was the lack of integration of HRM strategy into PMS. Results from this research suggest that the department acted on PMS simultaneously with the development of a HR strategy. Integrating the HR strategy is the major factor that would strengthen the KPI-Based PMS. A holistic, integrative and bottom up approach to PMS would enhance the KPI-based PMS in the department. Having a HR strategy that would motivate employees at all levels to provide timely service to external customers who are expecting value for money service from department would be valuable. A new HR strategy that is context specific to the department would promote motivational levels of employees at all levels and in addition, enhance a 'Bottom Up' approach that would widen involvement of staff at operational level. Findings from this research have added value to research and debates regarding best practice versus best-fit PMS (HRM), particularly that best practice PMS can be applied in the context of developing country such as Botswana. Additionally, this research has discovered that KPI-Based PMS couldn't be successful without appropriate HRM policies, programmes and practices. This is a contribution to HRM theory in that new and appropriate HRM policy and practices are essential to support PMS philosophy and a

variety of frameworks adopted to improve management of people at work (see Figure 7.6 in Chapter 7).

## **8.5 Limitations of this Research**

As indicated in the methods chapter, the researcher was aware of the advantages and limitations of a single-case research strategy. One of the advantages of a single case study is the in-depth knowledge and understanding regarding the phenomena under investigation. One the greatest threat to case study research is generalisation and external validity (Bryman, 1989; De Vaus, 2001; Yin, 2003). However, as noted in the methods chapter, the inductive approach to research puts less emphasis on the need to generalise. Whereas positivist research is more concerned with taking large samples to proving/disproving theories and make generalisations, phenomenological research is interested in context, meanings and the likelihood that ideas and theories generated in one setting would be applicable in another setting (Easterby-Smith et al., 1991). The empirical evidence collected in this study was specific to the Department of Administration of Justice in the context of a developing country such as Botswana. Findings from this research regarding the KPI-Based PMS can only be generalised to other departments of justice or organisations in a similar context.

The study applied a combination of quantitative and qualitative methods of data collection and analysis to different views and for triangulation and robustness of data regarding PMS process in the Department of Administration of Justice. Although the research is descriptive in nature, as stated by Boxall and Purcell (2003), descriptive studies help explain what organisations actually do. The aim of this research was to

contribute to knowledge and debates regarding 'Best Practice' versus 'Best-Fit' PMS (HRM). Multiple sources of evidence allowed for triangulation and strengthening of the case study and enabled the researcher to capture the reality of PMS in considerable detail. The use of self administered questionnaire enabled collect evidence at various hierarchical levels of the department allowed the researcher to obtain first hand views and experience of employees regarding 'Best Practice' PMS (HRM).

## **8.6 General Implications**

The aim of this research was to contribute to knowledge and debates regarding 'Best Practice' PMS (HRM) versus 'Best Fit' in the Department of Administration of Justice. The research objectives were to investigate PMS existing in the Department of Administration of Justice, identify gaps between 'Best Practice' PMS (HRM) and PMS existing in the department and suggest changes to reduce the gaps. Additionally, the research aimed to investigate the applicability of best practice PMS in the context of a developing country such as Botswana. The findings demonstrate that to a certain degree, the department followed the 'Best Practice' PMS (HRM) process to formulate, plan and design, implement and review the KPI-Based PMS in the department. This research has identified strengths regarding the KPI-Based PMS existing in the Department of Administration Justice. One of the positive outcomes of the KPI-Based PMS was that it enabled the department to identify its PMS needs and developed mission, vision statements, strategic objectives, key performance indicators and targets with persons responsible.

The findings provide a robust and enhanced understanding of the PMS process, frameworks and contextual factors that affect designing and implementing a PMS in a public organisation, in a developing country. The research has uncovered that the Department of Administration of Justice had a KPI-Based PMS framework. The department formulated, designed and implemented a KPI-Based PMS by following, to a certain degree, the cyclical process of observing, planning and designing, acting on and reviewing a PMS.

The descriptive case study approach provides in-depth and enriched results in understanding the applicability of the 'Best Practice' PMS process. The gaps identified between 'Best Practice' PMS (HRM) and PMS existing in the department provide an opportunity for academics and practitioners to further research and compare results from this research with research in other developing countries. Results from this research would enable academics and practitioners to improve on existing PMS processes, frameworks and help integrate contextual factors that affect PMS in public organisations, particularly in justice departments. The research findings have provided the context under which 'Best Practice' PMS (HRM) can be applied in a public organisation in a developing country such as the Department of Administration of Justice in Botswana.

The implication from this research are that though there a variety of 'Best Practice' PMS (HRM) available for organisations to use, there are contextual factors that affect the design and implementation of best practice PM systems. The 'Bets Fit' or contingency approach is valuable for practitioners who would want to apply 'Best Practice' PMS, particularly in developing countries where PMS is a new concept.

A single case study approach combining both quantitative and qualitative data collection and analysis methods has enabled an in-depth understanding of the PMS process, framework and contextual factors. According to 'Best Practice' PMS, a holistic, integrative and strategic view of PMS is important, for example in Armstrong and Baron (1998) and Armstrong (2001). As supported by various academics and practitioners, PMS should be viewed as an integral component of HRM and business strategy, and not in isolation of context, processes and the environment in which PMS operates.

Understanding context and balancing different organisational facets is important to allow effective change, for example, in Radnor and McGuire (2004). Radnor and McGuire (2004) suggest that PMS is not about frameworks or pyramids but about understanding organisational elements such as strategy, people and organisational design for performance management to be achieved in the public sector. Results of this research indicate that integrating HR strategy into PMS would enhance the KPI-Based PMS in the department. Additionally, this research has demonstrated that organisational and HR factors such as structure and leadership that is committed, reward and conditions of service, openness and trust, communication and training and development in PMS are important. Best-Fit also support that contextual factors matter. This research would prove useful for comparative purposes.

This research provides a valuable resource for academics and practitioners in terms of enabling comparison of findings with other developing countries. In addition, this study offers learning opportunities for other departments of justice in particular and public organisations in general, in developing countries that would like to emulate and

adopt the 'Best Practice' KPI-Based PMS according to their context. The descriptive approach was appropriate to enable the researcher gain in-depth understanding regarding PMS existing in the Department of Administration of Justice. Results from this research would be invaluable to researchers to take larger number of cases, investigating 'Best Practice' PMS (HRM) models and contextual factors influencing the successful and effective application of such models in Botswana in particular and developing countries in Africa, in general.

The research has contributed to the HRM theory by discovering that the KPI-Based PMS can work provided the HRM strategy, policies and practices are aligned with the PMS. The research has discovered through an interpretive and descriptive single case that there were gaps between 'Best Practice' PMS (HRM) and KPI-Based PMS existing in the Department of Administration of Justice. Closing gaps through HRM policies and practices that are modern and supportive of the KPI-Based PMS (HRM) would enhance PMS in the department. The crucial elements of managing people through appropriate HRM strategy was emphasised in the literature reviewed (see Figure 2.11 depicting a conceptual map in Chapter 2 and Figure 7.6 in the Chapter 7). The KPI-Based PMS existing in the department would be effective once modern HRM policies and practices are aligned with PMS. The research has discovered that a KPI-Based PMS based on conventional HRM policies and practices that were bureaucratic, inflexible and controlling would render the PMS in the department ineffective.

The research has discovered that the KPI-Based PMS (HRM) can work in the context of a developing country. However, having contemporary HRM policies and practices



that are context specific, aligned and supportive of KIP-Based PMS (HRM) would make the PMS successful. The KPI-Based PMS (HRM) existing in the department will not work if not aligned with modern HRM strategy.

The gaps were discovered through a descriptive single case study of the Department of Administration of Justice in Botswana. The research used an interpretive and inductive approach to discover the gaps in the KPI-PMS existing in the department. The research also discovered that the applicability of the 'Best Practice' PMS (HRM) depended on modern HRM strategy and people management policies and practices that were supportive of and aligned to the PMS. These gaps were discovered through the use of multiple methods of survey questionnaires, semi-structured interviews, informal discussions and secondary sources obtained within and outside the department. This discovery is an invaluable contribution to HRM theory in that the results from this research demonstrated that modern HRM theory matters and should be integrated into techniques, programmes, policies and practices related to management of people at work.

## **8.7 Future Research Focus**

The following section outlines future research focus.

### **8.7.1 Multiple- Case Approach**

Future research should broaden the case study in order to increase the generalisation of results and findings to other organisational settings. Future research should include

multiple cases of public organisations in Botswana in order to generalise findings beyond the Department of Administration of Justice. Future research should also widen the cases to include private organisations in Botswana in order to allow for comparison between the public and private sector organisations. Future research could also use a different approach by taking a larger sample size to statistically test the 'Best Practice' PMS (HRM) theory, the KPI-Based PMS framework and other PMS frameworks as well as contextual factors that influence PMS in public sector in Botswana.

### **8.7.2 Longitudinal Study**

This study suggests that future research should apply longitudinal approach in order to explore the internal PMS processes, frameworks and usage. Longitudinal studies investigating the internal and external outcomes regarding KPI-based PMS in the Department of Administration of Justice and 'Best Practice' PMS (HRM) in public and private organisations in Botswana would be valuable as PMS is a new concept in Botswana and longitudinal study would enable the Department of Administration of Justice in particular and other government ministries and independent departments in Botswana to improve on existing PM systems. Furthermore, governments of other developing countries can learn from Botswana on the process, frameworks and contingency factors affecting successful and effective formulation, designing and implementation of KPI-Based PMS. Longitudinal surveys will enable other public organisations not only to improve existing PMS process, frameworks and usage but also improve performance, accountability, efficiency and effectiveness of individuals, teams and public organisations through a holistic and integrative approach to PMS.

## **8.8 Summary**

This research investigated the applicability of 'Best Practice' PMS (HRM) in a public organisation in the context of Botswana, a developing country. The research used a descriptive single case study for in-depth investigation of the 'Best Practice' PMS (HRM) process, framework and contextual factors that affected PMS in the Department of Administration of Justice. Results from this research suggest that the department had to a certain degree, followed the 'Best Practice' PMS (HRM) to observe, plan and design, act and review PMS. The department used a 'Top-Down' approach to develop the Key Performance Indicator (KPI)-Based PMS. However, integrating the HR strategy into PMS, having HRM policies, programmes and practices appropriate for the PMS and introducing 'Bottom Up' approach would enhance the KPI-Based PMS existing in the department.