



**TITLE: APPRAISING PERFORMANCE MANAGEMENT PROCESSES: A
CASE OF THE DIRECTORATE OF CUSTOMS AND EXCISE, MINISTRY OF
FINANCE, NAMIBIA**

By

ERICA H. B. SHAFUDAH

**Submitted in partial fulfilment of the requirements for
the degree of**

Master of Science

in the subject

LEADERSHIP AND CHANGE MANAGEMENT

at the

Leeds Metropolitan University

In collaboration with

Harold Pupkewitz Graduate School of Business

Polytechnic of Namibia

Supervisor: Dr. A. MACHANJA

LeedsMet Tutors: Dr. H. KERSHAW-SOLOMON

Dr. R. HOLDEN

April 2011

DECLARATION

Student ID: c7078170

I declare that this Research Report on **Appraising Performance Management Processes: A case of the Directorate of Customs and Excise, Namibia** is my own work, with assistance from my supervisor and colleagues. I further declare that sources used in this report have been acknowledged by means of references.

SIGNATURE

DATE

DEDICATION

This study is dedicated to my son Julian Panduleni-Omwene

“The ability of leaders to communicate organisational goals clearly and guide employees to focus their attention on achieving these goals is crucial to success”, Henry (2007: 338).

ACKNOWLEDGEMENTS

I would like to thank the Almighty God for his guidance throughout this work. I would further like to thank my local supervisor Dr. A. Machanja and my tutors from LeedsMet University, Dr. H. Kershaw-Salomon and Dr. R. Holden for their valuable contribution to this research. I am indebted to my Secretaries Ms. Eveline Matheus and Ms. Connie Brendell as well as my colleague Mr. Euan Davidson and my nephew Sadrag Shihomeka who provided valuable input to this study. To you, Mr. D. Padachi, those pictures are great! I should not forget those who rendered me their morale support at a time when I needed it most. To my family, I salute you for your understanding and your encouragement as that helped me to keep focussed my studies. I would like to express my heartfelt gratitude to all those who participated in the interviews and surveys I carried out during the course of this research. Thanks a million!

May God Bless you all!

ACRONYMS

DCE:	Directorate of Customs and Excise
BSC:	Balanced Scorecard
BURS:	Botswana Unified Revenue Service
IRBM	Integrated Results Based Management
KPI	Key Performance Indicators
KSU	Kansas State University
MoF:	Ministry of Finance
NPC:	National Planning Commission
O/M/As:	Offices/ Ministries/ Agencies
OP	Office of the President
OPM:	Office of the Prime Minister
PAS:	Performance Appraisal System
PMS	Performance Management System
PSPMSF	Public Service Performance Management System Framework
PMPM	Performance Management Process Model
USA	United State of America
SACU	Southern African Customs Union
WASCOM:	Wages and Salaries Commission
WCO	World Customs Organisation

ABSTRACT

This study explores ways of enhancing performance management processes at the Directorate of Customs and Excise (DCE) within the Ministry of Finance (MoF) of the government of the Republic of Namibia. It investigates critical factors that accelerate employee performance and exposes some of the challenges that hinder the effective implementation of performance management processes in DCE. It is important to explore performance measurements and strategies that could be employed by DCE in order to improve the performance management process.

This study adopted a hybrid approach; making use of both qualitative and quantitative methods. The multi-method research approach has been chosen taking into consideration two factors: the exploratory nature of the research area and how the DCE employees were deployed at various stations in the country as this makes it difficult for the researcher to physically conduct interviews at every station. Research techniques included one on one interviews and the use of questionnaire. Even though the study made use of both qualitative and quantitative methods and the corresponding techniques, the researcher did not apply hypothesis testing because of the exploratory nature of the topic.

Despite inadequate tools to objectively measure staff performance, results showed the need for improvement on performance management processes in DCE. This study identified various critical factors to performance such as the alignment of DCE management plan to the MoF strategic plan; employee's attitude and competencies; clear rules, procedures and adequate office equipment. Results showed that appraisals of employees were not informed by neither their job descriptions nor by agreed performance measurements. The absence of an integrated performance management system constituted a major challenge to DCE. Furthermore, inadequate coaching and mentoring for employees below supervisors coupled with less involvement in the planning process constituted obstacles to effective performance in DCE. Most of respondents proposed, as a way forward, the development of a DCE strategic management plan and its corresponding performance management plan, with clear performance measurements.

CONTENTS	PAGE
TITLE	i
DECLARATION	i
DEDICATION	iii
ACKNOWLEDGEMENTS	iv
ACRONYMS	v
ABSTRACT	vi
CONTENTS PAGE	vii
Chapter 1: Introduction and Background of the Study	1
1.1 Introduction.....	1
1.2 Statement of the Research Problem	3
1.3 Aims and Research Objectives	4
1.4 Limitations of the Study	5
1.5 Importance of the Study and Potential Benefits	5
1.6 Structure of the Dissertation.....	6
Chapter 2: Literature Review	7
2.1 Introduction.....	7
2.2 Understanding Performance Management Processes	7
2.2.1 Defining Performance	7
2.2.2 Defining Management	8
2.2.3 Defining Performance Management	9
2.2.4 Defining Performance Management Processes.....	10
2.2.5 Defining Performance Measurement	11
2.2.6 Importance of Performance Management Processes	11
2.2.7 Contribution of Performance Management Processes to the Achievement of Employee and Organisational Levels	17
2.3 Elements of an Effective Performance Management Process.....	17
2.3.1 Planning.....	18
2.3.2 Organising	19
2.3.3 Leadership.....	19
2.3.4 Control	20
2.3.5 Performance Measurements and Evaluation	20
2.4 Critical Factors to Effective Performance Management Processes	22

2.4.1	Understanding Motivating Factors	23
2.5	Challenges to Effective Performance Management Processes	24
2.6	Strategies to Effective Performance Management Processes.....	25
2.7	Conclusions and Lessons for Possible Application to this Dissertation	26
2.7.1	Conclusions	26
2.7.2	Lessons	26
Chapter 3: Methodology and Methods		28
3.1	Introduction.....	28
3.2	Research Design	28
3.2.1	Research Philosophy	29
3.2.2	Research Approaches.....	30
3.2.3	Research Methodology	30
3.2.4	Data Collection Techniques	31
3.2.5	Sampling.....	33
3.2.6	Types of Errors	33
3.3	Administration of the Instrument	33
3.3.1	Interviews.....	33
3.3.2	Questionnaire	34
3.3.3	Data Analysis.....	34
3.4	Ethical Considerations and Dissemination of Information	34
Chapter 4: Analysis of Research Results		35
4.1	Introduction.....	35
4.1.1	Results of the In-depth Interviews.....	35
4.1.2	Results of the Questionnaire	37
Chapter 5: Discussion of Results, Conclusion and Recommendations.....		48
5.1	Introduction.....	48
5.2	Discussions	48
5.3	Conclusions.....	51
5.4	Recommendations	52
List of References		54

List of Tables and Figures

Figure 1: Performance Management Model	12
Figure 2: Performance Management Process Framework (adapted, OPM, 2005)	14
Table 1: Spangenberg’s Integrated Model of Performance	16
Figure 3: Four perspectives of the BSC	21
Figure 4: Saunder’s Research “Onion”	29
Table 2: Summary of Section B, Part 1.....	38
Table 3: Summary of Section B, Part 2.....	40
Figure 5: Summary of Section B, Part 2	41
Table 4: Responses to ‘Which of the following methods are used by DCE to recognise employee performance’	42
Figure 6: What motivational factors do you think will enhance employee performance in DCE?	42
Table 5: Responses to ‘How frequently are performance evaluations conducted?’	43
Table 6: Responses to ‘To what extent is your appraisal informed by your job description?’	44
Table 7: Responses to ‘How would you rate service delivery in DCE?’	44
Figure 7: Responses to ‘How would you rate service delivery in DCE?’	45
Table 8: Summary of Section D.....	46

Annexure:

Annexure 1: Permission Letter to Conduct Research	58
Annexure 2: Local Level Approval	60
Annexure 3: Letter to the Respondents.....	62
Annexure 4: Interview Guide	63
Annexure 5: Questionnaire	65
Annexure 6: Dissertation Supervision	75
Annexure 7: Research Proposal	77

Chapter 1: Introduction and Background of the Study

1.1 Introduction

In 1990, at the time of independence, performance management in Namibia public service was conducted using the Merit Assessment and Efficiency Rating Systems (OPM, 2005). Namoloh and Simataa (2000:3-6) stated that the Merit System was used to verify whether an employee qualified for promotion, by identifying an employee's leadership qualities and training needs. It was further stated that performance was measured on the basis of "incidents" that occurred during the reporting period. Namoloh, et al (2000:3-6) also states that the Efficiency System approach evaluated each manager's: attitudes, insights and leadership qualities. Despite its good intention, the system put more emphasis on attributes of employees instead of assessing the impact of those attributes on the attainment of the set organisation's objectives.

The Wages and Salary Commission (WASCOM) reviewed performance systems in the public service and recommended for the abolishment of the two systems mentioned above and these were replaced by the Performance Appraisal System (PAS), (OPM, 1995). The purpose of PAS was the systematic evaluation of individual public servants with respect to their performance on the job, Namoloh, et al (2000:5). According to OPM (2005), the PAS was suspended in 1998 since it did not adequately support the organisational culture of most government departments and also because the management was insufficiently trained on PAS prior to its implementation.

Realising the need for an improved performance management system in the Public Service of Namibia, the Prime Minister issued the following statement, "The performance management system for the whole public service is in the process of being re-designed. It is my hope that the new system will be able to help motivate our staff, ensure effective management and provide tools to objectively measure staff performance. We therefore need to move fast in implementing a performance management system framework and principles in order to improve performance in the public service" (OPM, 2005). As a way of following up on the above stated policy, the government of Namibia launched the Namibia Institute for Public Administration Management (NIPAM) in February 2011, (OPM, 2011).

Namibia's Ministry of Finance (MoF), through the Office of the Prime Minister, is one of the few government institutions that are running pilot projects aimed at implementing the new Public Service Performance Management System (PSPMS). MoF comprises of 1227 employees stationed in various regions of the country under the leadership of 32 senior managers and two (2) political heads (MoF, 2009). In the Namibian context, MoF is a big organisation and this formed the rationale for it to be piloted on the new PSPMS, (OPM, 2005).

At the time of this dissertation, the PSPMS was still in the pilot phase and MOF has already developed its Strategic Plan, (MoF, 2009). The Ministry's mission is to "develop and administer fiscal and financial policies that ensure macroeconomic stability, sustainable and equitable socio-economic development and its vision is to be a dynamic and reputable institution excelling in fiscal and financial management", (MoF, 2009).

It is envisaged that staff members of the MoF will achieve the ministry's vision and mission by living the values of integrity, loyalty, accountability and competency (MoF, 2009). The MoF comprises of seven directorates and twenty six divisions. Each directorate is expected to develop and implement strategic management and operational plans that incorporates the Ministry of Finance's strategic plans (OPM, 2005). However, due to lack of adequate technical support during the formulation of MoF's Strategic Plan and the unavailability of sufficiently skilled labour force contributed to the slow progress towards completely implementing the new public service performance management framework.

The above situation has made it difficult for one to clearly establish whether performance of various directorates and divisions of MoF is geared toward the attainment of the directorate's objectives and those of MoF. It is necessary to carry out a survey on how performance management processes are managed in various directorates and divisions of MoF. Here the researcher also reviews the motivational factors and the challenges faced by each directorate and division in the context of performance management processes.

In order to have an understanding of how the directorates of MoF were performing vis-à-vis their management and operational plans in the absence of a PSPMS, the researcher has chosen to focus the study on the performance management processes in the directorate of

DCE, which adequately represents the scenario in the other directorates of the Ministry of Finance. The rationale behind choosing DCE is that it is the biggest of all MoF directorates. The DCE has a compliment of 500 staff members; the majority of whom are deployed at the Namibian entry/exit points with the rest of them stationed at the Head Office, (MoF, 2009).

DCE's main goals are to collect revenue, to protect society from being exposed to illicit trade in illegal substances, facilitate legal movement of goods and people, to facilitate trade whilst exercising appropriate controls, and to advance Namibia's interest regionally and internationally (Customs and Excise Charter, 2002).

This study is further driven by World Customs Organization's (WCO) Namibia mission report of 2010 which stated that although business is running as usual at the DCE, some of the ongoing activities are not aligned to the MoF's strategic plan and are not documented anywhere. WCO Mission Report (2010) calls the development of a strategic management and the corresponding operational plan clearly indicating performance measurements metrics.

Various researches that have been carried out in the area of performance management are reviewed in Chapter 2. However, apart from considering WCO mission reports of 2006 and 2010 on DCE's organisational structure and human resources issues, this research is unique in that it also focuses on performance management processes. Though a number of scenarios related to the area of performance management and service delivery in the public sector were covered for instance in South Africa's Public Sector Water Affairs and Forestry Department (Hudson M. Maila, 2006).

1.2 Statement of the Research Problem

The top managers in the MoF realised the possibility of improving performance of some its directorates and divisions' employees by incentivising the most productive employees and plucking out the dishonest characters and rampant cases of misconduct as evidenced in DCE (MoF, 2009). Such cases normally lead to low staff morale (WCO, 2010). Some stakeholders, using the suggestion boxes pestered at the MoF offices throughout the country, have registered their disgruntlement with poor service delivery at some DCE offices.

New public service performance management system often take long to be effectively implemented and during that time most government institutes would be relying on the old public service staff rules and general staff salary increment as a way to keep the government employees motivated. Besides, whenever trade and workers' unions have reached salary increase agreements with the government, all workers, irrespective of whether they are highly productive or not, will have their salaries adjusted to higher levels. However, the problem is that negotiated pay increases are not linked to employee performance, government may end up highly rewarding non-performing employees (OPM, 2005). This research is attempting to provide answers to the following five related questions:

- How do performance management processes in DCE contribute to the attainment of its objectives and those of the MoF?
- What constitute critical factors to effective performance management processes in DCE?
- What performance measurements and evaluation systems are used in DCE?
- What are some of the challenges to effective performance management processes in DCE?
- Which strategies are employed or could be employed by DCE for effective performance management processes?

1.3 Aims and Research Objectives

The primary aim of this study is to appraise performance management processes in the DCE. In order to achieve this, the following sub-objectives are outlined:

- Assess performance management processes that contribute to the attainment of the organizational goals.
- Determine critical factors to effective management processes in DCE.
- Examine existing performance measurements in DCE
- Identify challenges to effective performance management processes in DCE
- Identify strategies that are used or that could be used in DCE to effectively manage performance management processes.

1.4 Limitations of the Study

Brynard, P.A. and Hanekom S.X.(1997:11) states that research should be manageable in order to focus on a specific problem taking into account available time, finance, sample size and the abilities of the researcher.

Even though the study has adopted a combined research method, statistical methods based hypothesis testing is not carried out in this research and the research only focuses reviewing of the performance management processes and suggesting of possibly highly rewarding alternative approaches. The results obtained in this research would serve as a basis for future studies on this topic.

Due to time constraint, the scope for the study had to be limited to only the DCE in the MoF and thus not all factors that may influence performance will be identified.

1.5 Importance of the Study and Potential Benefits

There are many publications on performance management processes in the public sector. However, this dissertation is the first one done on the DCE and it is very important to all DCE stakeholders as it assists them to get a clear understanding of how the DCE performance management processes are implemented. It will particularly be beneficial to top managers in the MoF, the DCE managers and employees, other MoF directorates as well as other stakeholders.

The study relied on employees from the directorate giving authentic responses that may help managers to improve on weak areas indicated in the findings. The DCE is quite critical in terms of revenue collection and the role it plays in the facilitation of trade which is one of the priority areas of the Southern African Customs Union (SACU), to which Namibia is a member. Even though most of the cited literatures were from non-African countries, the reviewed literature has broadened the researcher's understanding of the research topic.

A well managed employee performance management system helps to foster a better working relationship between the employees and their employers. Such a relationship is conducive to improving the quality and quantity of deliverables.

1.6 Structure of the Dissertation

The dissertation is divided in five Chapters. Chapter 1 gives an introduction and background information about the area of study. This chapter also presents the research problem, aims and objectives, limitations and the importance of the study. Chapter 2 mainly explores various literatures related to performance management processes. In Chapter 3, the methodologies that were used are highlighted. The chapter also explains why specific methodologies were chosen for this research. Besides, the outlining some the methodologies used in this research, Chapter 3 also presents the research design and data capture methods used in this research. Chapter 4 deals with data analysis and presentation and interpretation of the results from both a qualitative and a quantitative point of view. Finally, Chapter 5 discusses the results, and provides a general review of the successes and failures made in the research. This chapter also outlines some conclusions and recommendations made during the research process.

Chapter 2: Literature Review

2.1 Introduction

Literature review is a process that empowers readers with a lot of information and knowledge, it can however be argued that such a process can be challenging as one has to integrate viewpoints of various authors in order to come up with a new viewpoint. (Brynard, et al 1997: 54) stated that “a researcher should always try to follow the last mentioned action, as this is the path to the creation of “new” knowledge”.

2.2 Understanding Performance Management Processes

2.2.1 Defining Performance

Maila (2006) stated that performance implies the action of doing things that is using things, attending to conditions, processing, communicating and achieving results. Performance is the actual work that is done to ensure that an organisation achieves its mission. In summary, performance encompasses inputs, conditions, processes elements, outputs, consequences and feedback.

According to Maila (2006), the end product of performance should be measured against four elements that are: quantity, quality, cost or risk factors and time. The idea of measuring the end product is fully supported as it can be argued that a product can be in any form that is good or bad, hence the need to have it measured.

Botswana Unified Revenue Service (BURS, 2002) states, performance shall mean the standard of performance required by BURS related to an employee's output measured in terms of quality and quantity. In addition, it shall mean the behavioural standards and competencies adopted by BURS. The OPM (2005) defined performance as actions, behaviour and/or inputs by a staff member contributing to the achievement of results.

While the researcher acknowledges the above definitions, she argues that application of the definitions should be treated with a provision that the output of that action is positive to the

organisation. In the researcher's own definition, performance means an action by an employee that has produced an output relevant to an employee or organisation's goals.

2.2.2 Defining Management

Management means to give direction, lead, control, govern, rule over, whilst a manager is an official who manages or controls- a person who has in his hands the general leadership of an enterprise or of a division (Bryman, 1984:78 as cited in Brynard, et al 1997).

Vaughan-Jones (2009), defined management as a process of achieving organisational goals through engaging in the four major functions (planning, organising, leading and controlling).

Cleland (1994:39-40) described management through the major management functions that are planning, organising, motivation, directing and controlling. Mayor (2005: 246) identified planning, organising, directing, controlling and motivating as roles of individual project manager, an improvement on the definition by Vaughan-Jones as it has added motivation as a manager function.

The description of the major activities/functions of the manager as planning, organisation, command, coordination and control put for the first time the management process into the context of major activities or functions (Fayol, 1949, pp.3-6). These management functions have been condensed to four, namely: planning, organising, leading and controlling, (Robbins 2003). What comes out clearly from the literature is that planning, organising and controlling are common in the description of the management process or the functions of management.

The researcher has made use of these concepts while cognisant of the fact that the usage of majority-based viewpoint can only be made if the viewpoint is proven by means of scientific investigation (Brynard, 1997: 54), however this research will not be able to prove that due to time constraint.

In comparing management to leadership activities, the researcher noted that leadership activities has to do with: dealing with change; developing a vision and setting a direction for an organisation; formulating a strategy; aligning stakeholders with the organisation's vision, motivating and inspiring employees; and recognising and reward success. Management

activities include planning and budgeting, implementing strategy, organising and staffing to achieve strategy; and controlling behaviour and problem solving to ensure strategy is implemented, Henry (2008: 143).

The research supports the contemporary definition of management provided by Mayor especially that he has added motivation to the definition, a factor that contributes to effective performance management.

2.2.3 Defining Performance Management

OPM (2005) defines performance management as: “ongoing communication process between staff and supervisor/managers for getting better organisational results. It involves: (a) establishing clear expectations and understanding about performance and the results to be achieved; (b) identifying essential areas of performance as relating to the mission and objectives of the O/M/A; (c) developing realistic and appropriate performance criteria; (d) giving and receiving feedback about performance; (e) conducting constructive performance assessments; and (f) planning continuous development of staff to sustain and improve performance so that individual, unit and organisational human capital is optimised”.

Performance management is a system for integrating the management of organisational and employee performance (Williams, 2002 as cited by Maila, 2006:13).

Performance management is defined as “the systematic process by which an agency involves its employees, as individuals and members of a group, in improving organisational effectiveness in the accomplishment of agency mission and goals”, this was obtained through (U.S. Office Personnel Management, (Undated)

Botswana Unified Revenue Services (BURS, 2002) states that performance management is a joint responsibility between managers who carry out the assessments and the staff whose performance they are assessing. It is essential that this process is carried out objectively, openly and honestly.

The researcher has found some common words to arrive at this definition: performance management is a continuous process between staff and supervisors agreeing on the activity to

be performed, how it should be measured and within what period, with an aim to accomplish a goal at employee and organisational level.

2.2.4 Defining Performance Management Processes

Performance management process was defined as “a continuous process where supervisors and employees work together to establish objectives (goals), monitor progress toward these objectives and assess results”. With this process, employees receive regular feedback and coaching which is a vital development process for all employees (KSU, 2009).

According to Cornell University (2010), the first element of performance management process that must be effectively executed is specifying the required levels of performance and identifying goals to be achieved.

The researcher understands from the above definitions that performance management processes is a continuous (non-stop) process that underscores the need for supervisors and employees to work together in determining the organisation and employee’s goals and determining performance standards required to achieve those goals.

The researcher views performance management processes as a continuous negotiation process that calls for effective communication (Acuff, 2008:6). It is a process that requires that calls for identification and prioritisation of goals, defining what constitutes progress towards goals, setting standards for measuring results and tracking progress towards goals. It further calls for exchanging feedback among the components, reinforcing goal oriented activities and intervening to create improvement when needed. The performance management process places greater importance on the methods used to achieve results.

This study recognises that there is a thin line between the definition of management processes and the description of management functions which then points to the conclusion that these two concepts could be used interchangeably.

2.2.5 Defining Performance Measurement

Balanced scorecard originally developed as tool for performance measurement at the organisational level and has been expanded to include critical success factors (Kaplan and Norton, 1993 as cited in MoF, 2009).

It is recognised by the researcher that the definition of performance measurement underscores the need for output/ product to be measured, (Maila (2006). Emphasis on measuring output is fully supported by this study as it could assist managers to determine whether or not the employee's output contribute to the attainment of the set goals.

The researcher's contribution to the definition of measurement is that this process is aimed at determining strategies necessary to the realisation of the organisation's objectives, as they appraise how far one is from attaining the set goal. The process calls for assessment of results and provision of honest feedback to either strengthen progress or remedy non progress.

2.2.6 Importance of Performance Management Processes

Flanagan and Finger (1998:154) stated that most performance improvement processes consist of agreeing on the standards or expectations by managers and staff: monitoring progress; recognising; achievement and reviewing the performance displayed with recognition and review featuring in the maintenance plan. It is imperative that supervisor and employee agree upon and understand each other's expectations of the job. This is the foundation upon which the entire performance management process will be built. The challenge is that both supervisor and employee have to possess negotiating skills as they are required to agree on each other's expectation of the job.

According to Cornell University (2010), the main purpose of performance management process is to develop people and improve performance by clarifying goals and coaching regularly. A secondary purpose is to provide honest and accurate formal evaluations to support rewards for performance practices.

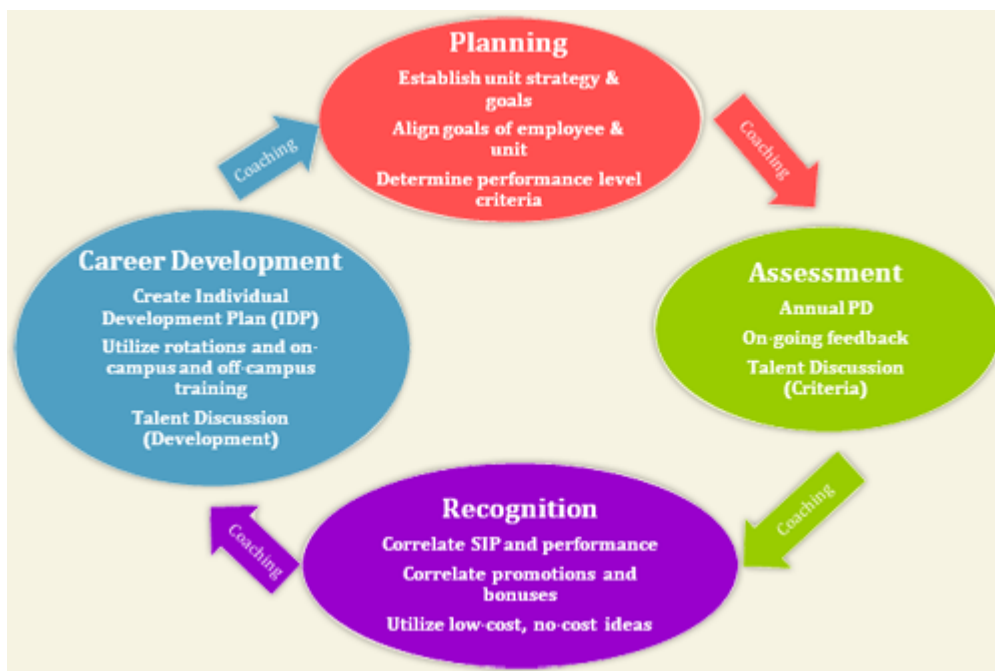
Performance management processes is important as it entails planning employee performance, facilitating the achievement of work related goals and reviewing performance

as a way of motivating employees to achieve their full potential in line with the organisation's objectives, (Swanepoel et al, 1998 as cited Maila, 2006:8).

The researcher deducing from the literature above concluded that performance management process was important as it entails planning employee performance, agreeing on standards, monitor and evaluate performance with a view to facilitating the achievement of work related goals. The process is further important as it allows for a two way feedback aimed at supporting rewards or punishment for performance practices.

The literature has provided useful performance management model frameworks as presented and described in Figure 1.

Figure 1: Performance Management Model



(Source: Cornell University, 2010)

This model is a cycle that comprises of four major components; namely planning, assessment, recognition and career development. It is argued that the model recognises the importance of coaching as it connects each stage of the Model.

Flanagan and Finger (1998:153) stated that “coaching is a key step in building an effective team, but it cannot be done offhandedly or haphazardly. Schedule periodic coaching sessions,

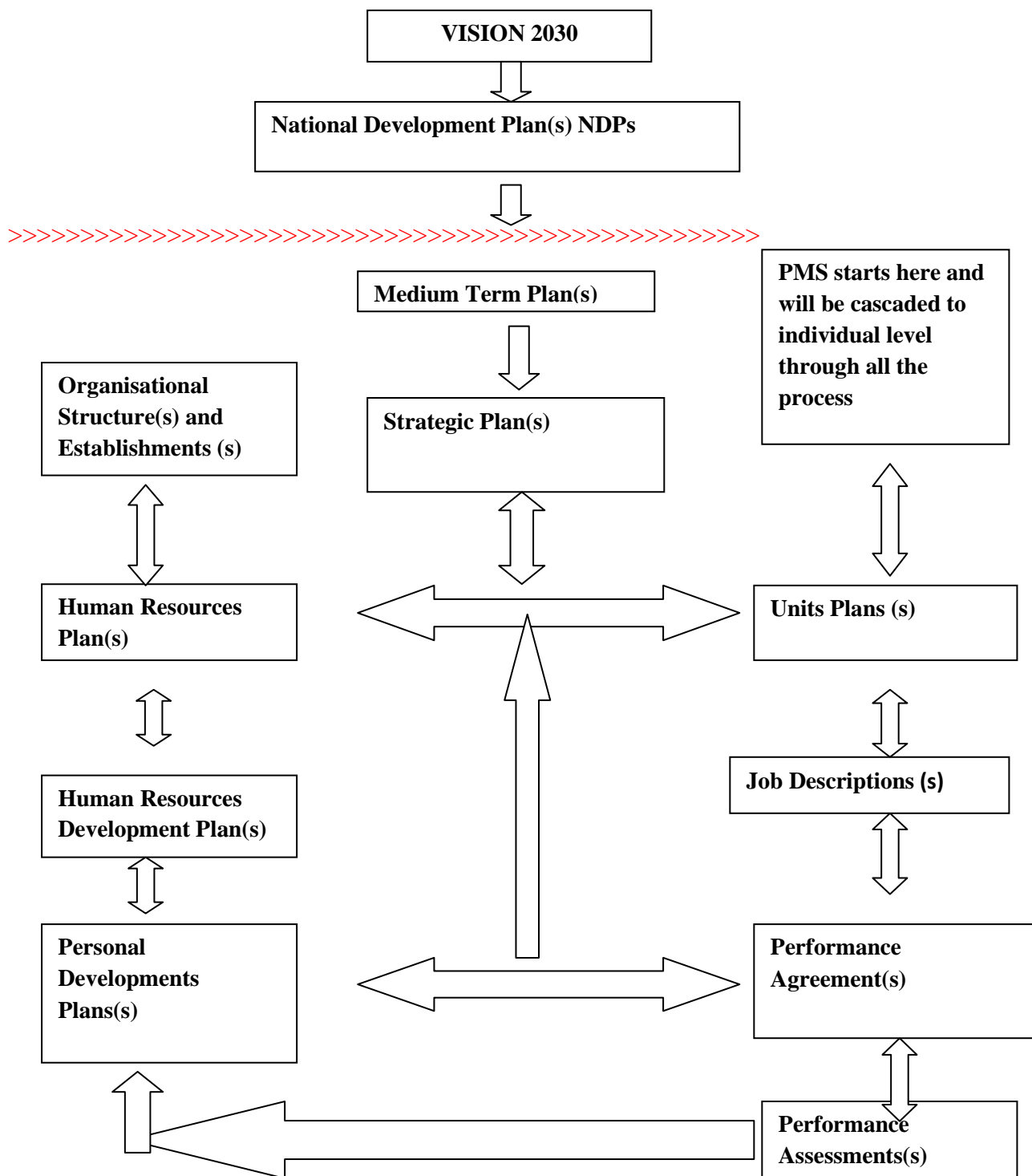
if you do not, you risk letting your fire fighting activity crowd the obligation out". Another important feature of this Model is that it calls for the alignment of employee' goals to those of the unit/organisation during the planning phase.

The advantage of this model is that it has increased the researcher's understanding of the importance of performance management processes in that they contribute to employee's career development.

It can, however, be argued that the Model does not show in its graphic form its linkage to the strategic business goals. This may be because the Model is designed for an educational institution therefore; its application outside the University scope needs to be further enhanced.

Another Model considered in the review was the new PSPMS referred to in the introduction Chapter and envisaged the link between strategic planning and implementation of government and departmental policies at all levels of the organisation.

Figure 2: Performance Management Process Framework (adapted, OPM, 2005)



The Framework outlines various steps to be followed by government institutions and employees with a view to contribute to the realisation of Namibia “Vision 2030 that of: “A prosperous industrialised country by 2030, developed by our people, enjoying peace, harmony and political stability”, (NPC, 2008). Core to those stages is the call for performance management at all levels of government institutions and employees for the

development of performance agreements, performance measurements, assessments and formulation of employee's development plan, amongst others, (OPM, 2005). This study argues that if all these stages were implemented as planned, there would have been improvement in the public service delivery.

The researcher's contention is that even though the operationalisation of the new PSPMS is viewed to have taken long, training on its usage should be continuous to allow for its successful implement and maintenance. The noted delay is not something strange as most strategies fail in their implementation phase; regardless of how brilliant are the ideas behind them, (Allio, 2006).

The researcher while appreciating the various stages of the Framework, it is noted that from its schematic form, the Model looked a bit crowded and not easily understandable in establishing linkages between its stages.

This study also reviewed the Spangenberg's Integrated Model of Performance as adapted from Maila (2006:15).

Table 1: Spangenberg’s Integrated Model of Performance

Organisation	Process/function	Team/individual
<ul style="list-style-type: none"> • Vision • Mission • Strategy • Organisational goals set and communicated 	1. Performance Planning <ul style="list-style-type: none"> • Goals for key processes linked to organisational and customer needs 	<ul style="list-style-type: none"> • Team mission, goals, values and performance strategies defined • Individual goals, responsibilities and work planning aligned with process/function goals
<ul style="list-style-type: none"> • Organisation design ensures structure supports strategy 	2. Design <ul style="list-style-type: none"> • Process design facilities and efficient goal achievement 	<ul style="list-style-type: none"> • Teams are formed to achieve process/function goals • Job design ensures process requirements reflected in jobs; jobs logically constructed in a sound environment
<ul style="list-style-type: none"> • Continual organisation development and change efforts • Functional goals (in support of organisational goals) managed, reviewed and adapted quarterly • Sufficient resources allocated • Interfaces between functions managed 	3. Managing Performance (and improvement) <ul style="list-style-type: none"> • Appropriate sub-goals and process performance managed and regularly reviewed • Sufficient resources allocated • Interface between process steps managed 	<ul style="list-style-type: none"> • Achieve team building efforts’ feedback, coordination and adjustment • Developing individual understanding and skills, providing feedback • Sufficient resources allocated
<ul style="list-style-type: none"> • Annual review, input into strategic planning 	4. Reviewing Performance <ul style="list-style-type: none"> • Annual Review 	<ul style="list-style-type: none"> • Annual review
<ul style="list-style-type: none"> • Financial performance of organisation 	5. Rewarding Performance <ul style="list-style-type: none"> • Function rewards commensurate with value of organisational performance and function contribution 	Rewards commensurate with value of organisation performance and for team function and team contribution; for individual –function/team performance and individual contribution

Adapted from Maila (2006:16) –Source: Spangenberg 1994:30-31

The Model establishes the link between performance at an organisational level and individual level and their alignment to the strategic objectives. It provides a clear mapping between strategic planning and strategy implementation through team/individual operational performance plans.

The researcher deduces from the above table that performance management processes involves performance planning, design, managing, reviewing and rewarding, which is in conformity with the earlier definitions with a new element of design.

It is argued that while the Model made provision for rewarding performance, it has not considered sanctioning non performance, an element that can be considered in further studies.

While the researcher acknowledges the contribution by the three Models of performance management, she has found the last Model to be simple and easy to adapt to any working environment, however as mentioned earlier there is a room for improvement especially by considering an element of dealing with non-performance. In sum, Performance Management Model Frameworks should clearly establish linkages between operational plans of teams and individuals to the objectives/targets in the strategic plan of an organisation and should make provision for all inputs and processes required to attain the output.

The next section provides a better understanding of performance management processes through some its elements.

2.2.7 Contribution of Performance Management Processes to the Achievement of Employee and Organisational Levels

Performance management processes align employee's goals and to those of the organisation. It has been emphasis in the literature above that for organisational objectives to be achieved, the planning stage should adopt a participatory approach to allow for buy in and as a result there will be less resistance to implement the Plan. Performance management processes contribute to the realisation of employee and organisational objectives as employee performance is regularly monitored to allow for remedial actions if needed.

2.3 Elements of an Effective Performance Management Process

The researcher, deducing from various definitions provided under Section 2.2 above has concluded that effective performance management processes could be one comprising of the following components: adopt participatory approach in planning and decision making; align

organisation and employees objectives to the strategic plan of an organisation; sets departmental and individual performance targets that are related to wider objectives; express performance targets in terms of measurable outputs; conducts a formal and transparent review process to identify training needed; reward or punish outcomes; evaluates the whole process in order to improve effectiveness use formal appraisal procedures as ways of communicating performance requirements.

In sum, all the above elements can be grouped into the management functions of planning, organising, leading and controlling, (Robbins 2003), and below is their contribution to effective performance.

2.3.1 Planning

Planning has always been about analysis- about breaking down a goal or set of intentions into steps, formalising them so that they can be implemented automatically and articulating the anticipated results, (Mintzberg,1994: 108).

Glaister, K.W. (2007:366) in a study whose purpose was to examine the nature of the strategic planning and performance relationship by drawing data from a sample of Turkish companies concluded that there was a strong relationship between formal strategic planning and organisational performance. Results of that study had confirmed earlier studies that suggested that formal strategic planning enhanced performance

The study concluded amongst others that formal strategic planning-performance link becomes stronger as the size of the firm increases, and that it was not advisable for firms to select a single measure of firm performance Glaister (2007: 371-383).

The advantage of that study, being one of the first studies tested in an emerging country context, was that it contributed to the literature by concluding that there existed a strong and positive relationship between formal strategic planning and firm performance. What could be argued though is the conclusion arrived at that the size of the firm was directly proportional to performance without considering the cost element. A further investigation in this relationship could further help.

2.3.2 Organising

In many strategic plans, a valuable link to the human resource component is often not there, which limits the ability of the company to profit from the expertise and insights of employees at all levels of the organisation (Humphreys, 2005:96).

The researcher is of the view that effective performance management processes should consider all necessary input (human resources, capital, systems, legislations, rules and procedures, competencies and time) to enable the organisation achieve its objectives. As was stated, for the DCE to be able to carry out its functions there is a need to modernize the Customs and Excise directorate, its organisational structure should be reviewed including the job descriptions (WCO, 2010).

2.3.3 Leadership

No business can expect to be successful without effective leadership. A good leader inspires guides and motivates a group of people while directing them toward a common goal. Without someone to monitor and keep the group focused, most groups will flounder and fail to achieve success. Successful businesses must have clearly defined goals. All employees should know where the company is going and how it is going to get there. The goals should be specific, attainable and attached to a timetable. The environment of the business should be such that attaining the goals is always the focus. Goals should be revisited and redefined as necessary when outside factors change in a way that might affect the desired outcome or attainment of the goals, (anonymous, undated).

Effective leadership calls for leaders to be part of communities to create a sense of belonging atmosphere, (Mintzberg, 1998).

Democratic/Participatory style of leadership, where a leader encourages participation with an emphasis on both task accomplishment and development of people is found to be the most appropriate to effective performance management processes, Vaughan_Jones (2009).

The researcher's view is that in order to improve on performance management processes leaders and/or managers should be exposed to training of leadership and management styles.

2.3.4 Control

Donald, L.C and Humphreys J.H. (2008) carried out a research whose purpose was to demonstrate the need for and propose a more aligned and integrated standard for performance evaluation to enhance effective strategic control. One of the conclusions of the study is that an alignment of performance evaluation to strategic control leads better strategic implementation, hence the attainment of the organisation's goals.

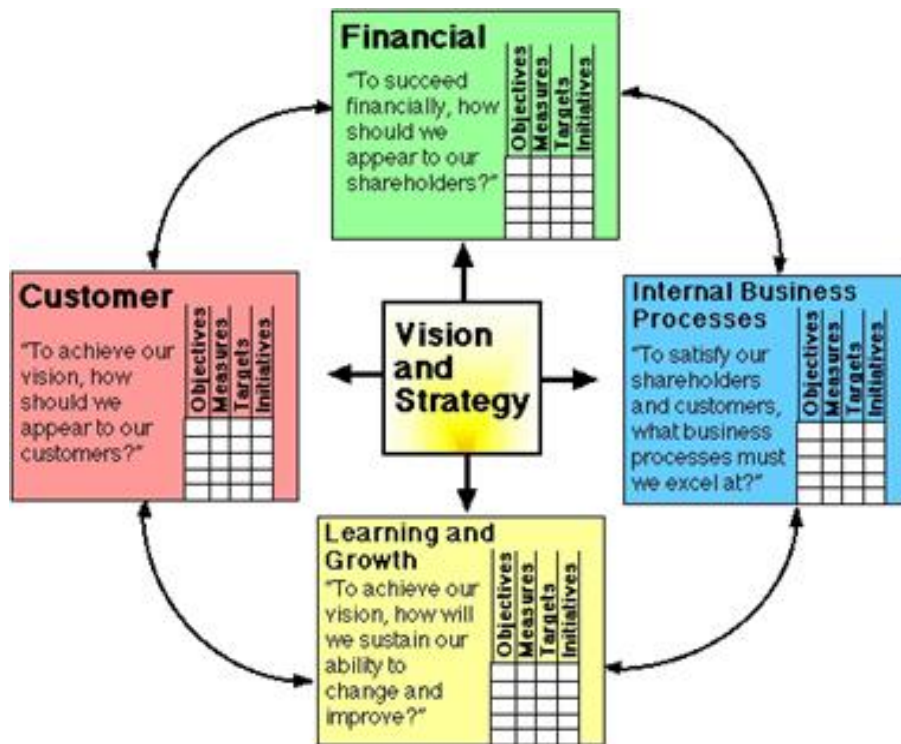
2.3.5 Performance Measurements and Evaluation

According to Maila (2006, p.4), criteria for measuring success should be clarified and obstacles timeously identified so as to seek solutions and that public service delivery is not halted, performance management system is one of the instruments that can provide that solution.

According to Hogue (2010), performance measurement system highlights whether the organisation is on track to achieve its desired goals. Performance measurement system develops key performance indicators (KPIs), or metrics, depending on the nature and activities of the organization. KPIs can serve as the cornerstone of an organization's employee incentive schemes. The researcher's contention is that it is much more difficult to develop KPIs for each area of performance within the organisation which can be measured effectively. Lessons learnt from literature were that if there is inadequate understanding or inadequate training on performance evaluation systems, which will lead to the systems being suspended or withdrawn, (OPM, 2005).

According to the MoF (2009), the BSC of Drs. Robert Kaplan and David Norton of 1996 provides a framework that not only provides performance measurements, but helps planners identify what should be done and measured. BSC is an important approach for measuring and managing the most critical processes in organisation. The BSC views the organisation from four perspectives described in figure 3 below. It further calls for organisations to develop metrics, collect data and analyse it relative to each of these perspectives:

Figure 3: Four perspectives of the BSC



(Source: Kaplan and Norton, 1996: 76)

The MoF's Strategic Plan has eighteen (18) strategic objectives, thirty nine (39) measures and ninety (90) strategic initiatives/projects. As for DCE, there are broader objectives and corresponding projects of it in the MoF Strategic Plan and have not been cascaded to the directorate management and/or individual operational plans, (WCO, 2010).

Figure 3 could be summed up as follows: that performance management should be looked at from employee perspective focusing on the key internal processes that drive the organisation; customer perspective that considers the organisation's performance through the eyes of a customer and business perspective considering the outcomes or social/political impacts and business processes needed for organisational effectiveness and efficiency, (MoF, 2009).

Maila (2006:63) in his dissertation on Performance management and Service delivery in the Department of Water and Forestry, South Africa considered BSC as a measuring tool for performance and used it the study. The findings were that the Department performed satisfactory in terms of financial perspective, reasonably satisfactory in terms of learning

growth, while an internal business has fallen short of satisfactory. The shortfall on the findings was that customer perspective was not rated but that customer satisfaction survey can be used to measure performance progress.

It is the researcher's contention that the usage of the BSC is critical as it clearly defines who are responsible for specific objectives, measures, targets and initiatives relevant to each unit in the organisation. It further defines the financial resources approved for each initiative. The disadvantage is that delivery on milestones is interdependent and a failure on one might disrupt the attainment of a specific organisation's strategic objective.

Usage of the BSC recognises complementarities of all units in the organisation and should therefore consider under the learning growth perspective key management skills like team building and consultations to ensure buy-in and commitment of all involved in its implementation to avoid employees working in silos and avoid a failure on one unit as that may constitute a failure to the whole organisation.

The researcher supports the use of the BSC as a measuring instrument for effective performance and shall apply it in the qualitative approach of this study to assess performance in DCE.

The researcher's argument is that day-to-day performance appraisal has a disadvantage that employees will rush to meet the targets and in the process mistakes could occur. It is therefore advisable for performance assessment to be planned to take place like twice a year.

2.4 Critical Factors to Effective Performance Management Processes

Critical success factors should not be confused with key performance indicators. These factors are measured strategically, whereas key performance indicators are quantitatively measured. For example, a critical success factor might be the implementation of a new sales strategy, and the key performance indicator would be the resultant increase in the number of sales, (anonymous, undated).

Critical factors to performance management include a participatory process for determining results, continuous performance dialogue and feedback and the growth of the organisation's human resources, (OPM, 2005).

According to Vanguard University (2011), three factors which must be present to achieve and maintain optimum levels of individual performance include **Ability** is skills and personal characteristics that an employee possesses which give him/her the potential to perform at a high level. **Support**, this factor is primarily management's responsibility and **Effort**, the amount of energy a person applies to complete a task or their willingness to work is the final factor in assessing marginal performance.

2.4.1 Understanding Motivating Factors

In understanding motivating factors, Cardy (2004:131) considers two frameworks for managing motivation, namely Goal setting whose essence is setting a performance objective, or goal to strive for, a technique that views performance as outcomes; and Expectancy model that examines motivation at the level of effort someone chooses to put forth toward a task or project (Vroom, 1964 as cited in Cardy, 2004).

According to (Cardy, 2004), A study exploring the factors affecting motivation of health workers in six African countries found that poor wages in countries like Uganda and Zimbabwe were the most important factor affecting health workers' decisions to migrate. A number of studies demonstrate that important motivating factors include recognition, appreciation and opportunities for career advancement and respect.

According to the literature, "when team work is crucial for success, it might be counter-productive to apply individual incentives; doing so might cause unwanted competition among team members that would adversely affect team performance.

Herzberg's Two- Factor Theory of Motivation

According to Fred (1992), a motivational study on about 200 accountants and engineers employed in firms in and around Pittsburg, USA, was conducted. The purpose was for the search for a specific content theory of work motivation. Findings pointed to two groups of

motivation factors. These being: Job dissatisfiers (hygiene factors) are allied to job context, for example: company policy and administration, supervision, salary, interpersonal relations, working conditions; and Job satisfiers (motivators) as related to job content, for example: achievement, recognition, work itself, responsibility and advancement.

Herzberg theory has extended Maslow's need hierarchy concept and made it applicable to work motivation; but the theory should not be applied as one size fits all because motivation is a basic psychological process. Other theories like those of leadership and management (Path –Goal and Transformational, Fred, 1992) could be used to complement Herzberg's Theory. Such theories could be employed in different contexts to enhance personal effectiveness to support the direction and leadership of others more especially in matching motivation of workers to performance management.

While the researcher agrees with the critical factors outlined in the literature, she holds the view that effective communication, as contained in the definition of negotiation (Acuff, 2008), monitoring, evaluation and regular feedback be added to the list of critical factors and above all employees should know where the organisation is moving to (direction) and what is their individual contribution (input required) to take the organisation to the desired destination and what processes should be undertaken, (Van der Molen, 2011).

2.5 Challenges to Effective Performance Management Processes

BURS (2010) states that the PMS success is depended upon the development of an environment of mutual trust and respect between managers and supervisors, and their staff at all levels. It is further stated that the process is carried out objectively, openly and honestly. The challenge in the researcher's opinion is how to determine that the process was carried out in an honest manner and it also requires some skills on the part of employee and that of the manager to create an environment of mutual trust (MoF, 2009).

Another challenge is to ensure that everyone's performance is managed in all areas of their work, (Maila, 2006: 42). Lockett (1992:37-39 as cited in Maila, 2006: 42) finds equally unsatisfactory the day to day crisis management where targets are set daily and feedback is expected on those target.

The challenge is that not all organisations are led by democratic leaders where all employees are treated with trust. Cultural diversity management, management styles especially if it is automatic can impede performance of employees.

Change management is a challenge in itself, to manage performance one has to be mindful of changes in the environment and to adapt to it by managing the change. Effective communication is a two way traffic (Intercultural Management), and plays an important role in performance management. The challenge is who is the leader at the time and what management style does he/she apply? Can it be changed to allow for flexibility?

The researcher is of a view that challenges will always be there and it is the responsibility of managers to ensure that they are converted into opportunities.

2.6 Strategies to Effective Performance Management Processes

Most of the views in the literature provided in the previous sections of this study suggest the adoption of following strategies for effective performance management: development of the strategic management plan, performance plan linked to an annual action plan, staff members' involvement in the planning process for buy-in, rotation of staff for exposure and regular on job training.

Most of the views in the literature provided in the previous sections of this study suggest the adoption of following strategies for effective performance management: development of the strategic management plan, performance plan linked to an annual action plan, staff members' involvement in the planning process for buy-in, rotation of staff for exposure and regular on job training. Develop a training programme that facilitate for the involvement of staff in decision making. Recognise effective communication between managers and employees as a tool for effective performance. Introduce a non-monetary incentive system to encourage improved employee performance.

2.7 Conclusions and Lessons for Possible Application to this Dissertation

2.7.1 Conclusions

The literature has provided an insight on the performance management process and the performance metrics. What is common in the read theories is that at the centre of the management process are human beings. For the process to make sense there should be an employee and a supervisor, there is a need for some leadership/management skills to be applied as well as the consideration of personal attitude and behaviour. Effective communication between supervisor and staff member has been underscored. The need for planning of goals at both employee and organisational level came out strongly and that there should be performance standards to measure employee and organisational performance. Monitoring, education and provision of an honest feedback were underscored.

Theories on performance management processes are quite rich but the researcher is of the view that they should be applied with caution as situations differ from one organisation to another and/or even within an organisation.

2.7.2 Lessons

One good reason from the literature is the link between strategic planning and strategic implementation and the corresponding performance models that show the link of individuals' performance to the strategic objectives of an organisation. The researcher agrees with the literature that Strategic Plans have to be cascaded to all units in an organisation and that requires effective communication, feedback on results and intervention for improvement when needed.

Training on performance management is certainly critical in an organisation. With the establishment of Namibia Institute for Public administration, public servants will be trained in various fields aimed at improving service delivery in the public service, (NIPAM, 2011). The challenge is how sure are we that those to be trained will apply it in practice. You can only take a horse to water but you cannot force it to drink water.

The literature brought out some Performance Management Processes Framework that are quite useful to both employees and organisations as they establish the role of employees in the sustainment of the organisational goals.

Chapter 3: Methodology and Methods

3.1 Introduction

This study adopts a mixed approach in that it is broadly qualitative through the standard questionnaire responses, with the opportunity for qualitative analysis through the general responses in the questionnaire and the in-depth interviews. However, since the sample size is rather small, this study will not adopt hypothesis testing. A new dimension to this study is the adoption of follow-up telephone interviews to give strength to the data. Follow-up will be with managers (being the drivers of change) and some subject matter employees (middle level managers, the agents of change, Mintzberg, 1997).

This chapter deals with specific methods and techniques that are used in order to produce valid research findings (Maila, 2006, p.10).

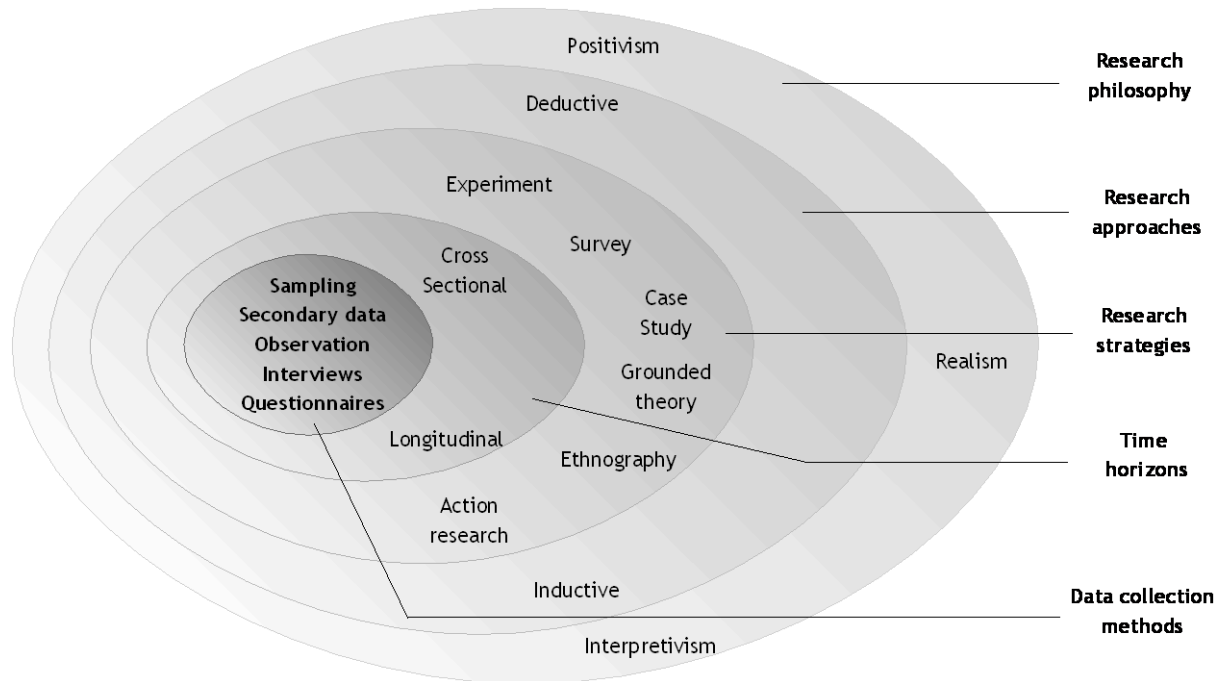
3.2 Research Design

This research was designed making use of Saunders's "Onion" (Saunders et al.2003, as adapted Vaughan-Jones, 2010). The "Onion" philosophy can be Positivism, Interpretivism or Realism. The Positivism underscores the importance of hypothesis testing in a controlled experiment so that deductive reasoning is informed by facts. It is further argued that this philosophy may have an element of objectivity (Vaughen-Jones, 2010).

A limitation with this philosophy is that even if scientific methods used had led to results that are objective in nature, such methods are applied by human beings. It is, therefore, argued that an element of subjectivity cannot be ruled out.

Another research philosophy of the "onion" is Interpretivism that is usually used in social studies and whose reasoning is inductive and with an element of subjectivity. In essence, this philosophy tries to generalise results of a sample to the whole population.

Figure 4: Saunder’s Research “Onion”



(Saunders et.al., 2003, as adapted Vaughan-Jones, 2010)

The realism approach shares the attributes of both the interpretivism approach and the positivism approach.

Using the interpretivism approach that carries inductive reasoning, this research will be helpful not only to DCE but to other Directorates in the Ministry of Finance. Application of Saunder’s Research Onion to the DCE research is provided under the sub headings below:

3.2.1 Research Philosophy

The research philosophy employed can be generally classed as Interpretivism, a philosophy which suggests that it is worthwhile to probe deep into people’s behaviours and understand them clearly. It is a line of thought that centres on feelings and emotions. The shortcoming of this philosophy is that it is perceived to be “subjective”, (Vaughen-Jones, 2010).

3.2.2 Research Approaches

This research did not carry the idea of a controlled environment and is not deductive because there was no hypothesis testing. It based its interpretations on people's feelings and emotions, resulting in inductive reasoning.

3.2.3 Research Methodology

A multi-research approach was adopted, which involves using more than one type of research technique or data source within a study. In this case, the research employed qualitative methods first and thereafter, a quantitative survey.

Qualitative method: This research focused on a qualitative technique also referred to as the exploratory methods. According to Brynard et al (1997: 29), qualitative methods refer to research that produces descriptive data, generally people's own written or spoken words. Usually no numbers or counts are assigned to observations.

The indispensable condition or qualification for qualitative methodology is a commitment to seeing the world from the point of view of the actor or participant, (Brynard, et.al, 1997: 29). The Qualitative method was found appropriate since this research is aimed at investigating management processes that involve human beings' attitudes, attributes, working styles, etc and therefore difficult to quantify. The researcher has chosen this method as it allows the interviewer to get to know the real-life experience of the interviewee.

One of the advantages of this method is that it allows the interviewer and interviewee, through its in-depth interview technique, to know each other personally as they have to talk to each other face to face. It further enables the researcher to describe the actions of those who had participated in the research. This research method enabled the researcher to generalize from the selected sample to a population which is referred to as inductive reasoning (Vaughan-Jones, 2010).

One of the disadvantages is that it is difficult to capture qualitative views from a large sample. Quantitative methods are associated with analytical research (Brynard, et.al, 1997:

29). The researcher recognises that a quantitative survey can still be broadly in the tradition of positivism, even if it is applied to a research in social sciences. According to Vaughen-Jones (2010), Quantitative methods use highly structured questionnaires whose purpose is to measure the incidence of views and opinions.

In terms of advantages, this method is powerful in that it tests hypothesis to arrive at a valid results that can even be used for policy changes. It tests relationships between variables. However, it can also be argued that the method has a disadvantage in that it requires large sample for data analysis and statistical significance testing.

3.2.4 Data Collection Techniques

Techniques used in this research included the review of relevant literature, in-depth interviews and quantitative surveys and “follow-up” discussions. Each of these techniques has advantages and disadvantages, and therefore adopting several techniques enable a more robust set of findings and recommendations.

The review of existing records gives the researcher an insight on the subject that is being investigated and helps in shaping up the research questions and the design of research tools. Another advantage is that daily activities of participants in the research are not disturbed. Data can be easily obtained as everything is in writing (Bryman, 1984:78 as cited by Brynard, 1997).

Information contained in those records might influence conclusions of the researcher either in a positive or negative manner. Another disadvantage of this technique is that the review of numerous documents is time-consuming. Furthermore, written material is not regarded as first-hand material as opposed to, for example, interviews or personal observation (Bryman, 1984:78 as cited by Brynard, 1997).

In-depth interviews: This study has used the transcribed recordings as part of the research. Participants were asked to elect whether or not to be audio recorded, some said yes and others no but the choice was entirely theirs.

The results from the in depth interviews were analysed so as to inform the design of questionnaires for the exploratory quantitative survey.

Bryman and Bell (2007:174), presents some differences between qualitative and quantitative methods in that in the interviewing technique of the former there is much greater interest on the part of the interviewee while in the quantitative questionnaire the interview reflects the researcher's concern. In addition, while qualitative tends to be flexible, the quantitative are inflexible because of the need to standardise the way in which each interviewee is dealt with.

Quantitative surveys: The second stage was the undertaking of a quantitative survey using questionnaires. This survey, however, did not apply the route of measurements and hypothesis testing, but it made use of primary research using a questionnaire to compliment the results from the qualitative research by way of looking at the frequencies in responses. The researcher is aware that some literature refers (Vaughan-Jones, 2010) to the design of questionnaires being used only in the quantitative methodology approach.

However, the researcher also came across the literature that recognises questionnaire as a technique of qualitative research as quoted "in qualitative research, methods such as case studies, in-depth interviewing...questionnaires... are used", (Brynard et al., 1997). In this regard, questionnaires were constructed, distributed and collected. Data was then analysed and thereafter relevant chapters were written. Given the small sample size, hypothesis testing was not adopted as the results would not have been statistically significant.

The use of questionnaires as a tool was considered to aid in-depth interview results. Respondents were supplied with standardised instructions on how to complete the questionnaire and to explain what is expected from them. The questionnaire was distributed electronically and in hard copy so that staff not comfortable with IT were still able to participate.

The advantage of this technique is that respondents have time to think about the answers to the questions. Another advantage is that it is a good technique for testing a hypothesis in a controlled environment.

The disadvantage is that the researcher is not at hand to explain uncertainties, nor is the researcher assured that the questionnaire is completed by the same person. This situation could lead to distorted answers by the participant.

3.2.5 Sampling

The research targeted a sample size of 60 participants of the population of 500 DCE employees. The researcher believes that a sample of 10 respondents for the qualitative interview was sufficient for the establishment of themes for the research. Respondents comprised of four out of the seven managers in DCE and six other staff (4 supervisors and 2 below supervisors). Participants were randomly selected to ensure a balance of views.

For the quantitative survey, 50 participants were selected 5 from each of the four DCE regional offices and 30 from Windhoek Head office where the majority of DCE employees work. Within these parameters, participants were randomly drawn from the database of employees of DCE to ensure the results were not biased. Given that the population was divided into groups (in this case geographical) before taking the random sample, the sampling technique for the questionnaire can be defined as a cluster sample.

3.2.6 Types of Errors

Non-sampling error: This error can be attributed to a small variation in administering questionnaires from one respondent to another. Brynard, et.al (1997) indicated that bias can be as a result of deliberate incorrect recording of the information on the part of the interviewer or as a result of respondent giving false information on purpose.

3.3 Administration of the Instrument

3.3.1 Interviews

Unstructured telephone and one on one in-depth interview were employed for the preliminary research, whereby primary data was collected to establish a knowledge base on which to create the research questionnaire.

3.3.2 Questionnaire

An open structured questionnaire that allowed respondents to express themselves was used to gather reliable data. The questionnaires were marked individually and then statistically analysed in terms of the frequency of responses. The results were also analysed across grade and geographical location, to establish any differences between these groups. However, it should be noted that this type of analysis is limited given the small number of respondents in certain geographical locations/grades.

3.3.3 Data Analysis

The research made use of Excel to draw frequency tables. Coding and Post coding were among various tasks performed.

3.4 Ethical Considerations and Dissemination of Information

In undertaking this study, the researcher took into consideration good ethical principles. Brynard, et al., (1997:4) stated that a researcher should at all times and under all circumstances report the truth and should never present the truth in a biased manner. Participants were informed about the purpose of the interview and assured that results would remain anonymous. Ethical forms are attached as annexures. This strategy assisted in ensuring that people were open and honest with their comments, without fear of being identified. Huysamen as cited in Maila (2006, p.10) indicates that interested parties often claim access to information obtained during the research. He argues that regardless of how much such requests are intended, it would be unethical to disclose such information to them.

The selected methods and techniques were correctly applied and the resulting data analysis is presented in the next Chapter.

Chapter 4: Analysis of Research Results

4.1 Introduction

This chapter is based on evidence from the in-depth interviews with key respondents and the data collected from the survey. It covers the presentation and interpretation of findings, seeking to respond to the research questions outlined in Chapter 1, subsection 1.2.1. Realising that the aim of the study was to appraise performance management processes in DCE, various aspects were considered in the survey with emphasis on the application of management functions and the application of the MoF BSC.

All questionnaires received were numbered to ensure that none of them will be missing at the time of data entry.

4.1.1 Results of the In-depth Interviews

The researcher used her discretion to distinguish between valuable information to validate factual findings from reliable sources such as the accountability reports and annual reports to maintain validity of responses from interviews.

The researcher was aware from existing records that BSC of MoF was not cascaded to the directorate's level and therefore an attempt was made in the in-depth interview to assess what is currently used in DCE and the results were as follows.

As regard to **the financial perspective**, the majority view was that despite the fact that revenue collection and trade facilitation constitute the major objectives of DCE, the majority view was that the objective was not optimally achieved due to inadequate screening equipment to complement the current manual screening system.

Regarding improved cost efficiency, the majority view was that a huge amount of money was spent on overtime performance; however no performance targets are set to ascertain value for money.

Customer perspective was assessed by looking at how DCE deals with customers or stakeholders and how it wants to be seen by them. In this regard, the majority view was that the understanding of customs and excise operations by the public was minimal. The strategy to create public awareness only through the customs care centre was inadequate as this centre was only accessible by the stakeholders in Windhoek.

Many of those interviewed indicated that effective communication was a major challenge in DCE. The majority view was that holding of staff meetings in DCE was not accorded importance and that there were no other platforms where staff members could exchange views and share ideas. They hoped that with a new Director on board, things might change for the better.

DCE works with various stakeholders/customers, especially at entry/exit points. Many respondents hold the view that some Customs officials are reported to have been involved in unethical activities, compromising their integrity and the image of DCE.

Regarding the **Internal business perspective**, the majority view was that even though DCE objectives, initiatives and measurements are broadly outlined in the BSC of MoF, these were not translated into management and operational plans. Many indicated that the BSC did not accommodate performance management strategies and at DCE level there is no mention of performance indicators. Many indicated that employees in DCE did not know whether the BSC was “going” or “coming” as there was no strategic direction within DCE.

It was further stated by the majority that the Customs and Excise legislations and procedures need urgent attention to accommodate customs and excise reforms in the region. Participatory approaches in planning and decision making as well as teambuilding were also suggested by many as areas that need urgent attention. The general view was that processes, systems and procedures need to be addressed and be linked to output based performance.

As regard to **Learning growth perspective**, many of the interviewees stated that there was no development plan for DCE employees. Rotations and staff transfers are aimed at exposing employees to different customs and excise operations, however the majority indicated that such transfers are not accompanied by on the job training or refresher courses. Even though financial assistance is provided for formal training of DCE employees, the majority hold the

view that such assistance was skewed toward DCE employees at the head office (Windhoek) with little or no attention to those at entry and exit points. The majority hold the view that there were no indicators to assess return on investment made on training of staff in terms of the impact of acquired skills to performance.

4.1.2 Results of the Questionnaire

This section provides a summary of the responses and key issues with respect to the research questions. Results will be used to inform performance management policies and procedures going forward. Where there was a notable difference between the views of people in different roles/geographical locations it has been highlighted. However, this lower level analysis should be treated with caution as the sub-groups are quite small.

Section A – Introductory Questions

A total of 43 people completed the survey, providing a wide range of views from people in various roles and locations. Of these 43 respondents, 9% were managers, 28% supervisors (controller/chief) and the remaining 63% were other staff. The vast majority of respondents had over 5 years experience working in the Directorate (81%), while 16% had between 1 and 5 years of service and only 2% with less than 1 year. This means that the respondent's views were based on many years of experience.

Respondents worked in a range of geographical locations, with the majority based in Windhoek or the TransKalahari border post.

Section B – Performance Management Processes and their Contribution to the Attainment of Objectives

Disappointingly only 12% of respondents had taken part in the formulation of the MoF Strategic Plan, with the 88% stating that they had not taken part. Of those who had not taken part, 32% had the document introduced to them. The remaining 68% had not had the document introduced to them. Interesting, 75% of the managers took part in the formulation of the Plan, whilst only 8% of Supervisors and 4% of other staff took part.

When asked whether the Directorate had a Management Plan that is linked to the MoF Strategic Plan, most did not know (53%) or responded yes (42%).

Just over half of staff (56%) said that their manager/supervisor arranged Directorate/Division/Subdivision planning meetings, while the remaining 44% stating that they did not. The results varied according to role, with all managers stating that their superior arranged planning meetings, compared to 67% of Supervisors and only 44% of other staff.

Staff members were asked to describe the plan that is used to guide their performance. The answers from this question highlighted the variation in practice across the Directorate, with answers including the Customs and Excise Act, individual action plans, job descriptions, training action plan and public service staff rules (however, the use of an action plan was the most common answer). Majority views from in-depth interviews were that action plans are the routine duty sheets that were drawn through innovations and not linked to the MoF Strategic Plan.

Table 2: Summary of Section B, Part 1

Question	% Yes	% No	% Don't Know
Did you take part in the formulation of the Ministry of Finance Strategic Plan?	11.6%	88.4%	
If you answer "No" to question 4, indicate whether the document was introduced to you	31.6%	68.4%	
Does the Directorate have a Management Plan that is linked to the MoF Strategic Plan?	41.9%	4.7%	53.5%
Does your manager/supervisor arrange Directorate/Division/Subdivision planning meetings?	55.8%	44.2%	

Table 3 and Figure 5 below show the extent to which respondents agree with a range of statement regarding DCE. As can be seen, there is a wide range of views for most of the statements.

There was a mixed response on the awareness of performance goals, with some staff agreeing but many others disagreeing or remaining ambivalent. Disappointingly, the majority of respondents feel they are not involved in decision making, with only one supervisor and no other staff agreeing or strongly agreeing that they are involved in decision making (compared to 3 out of 4 managers agreeing). This gives a strong indication that only managers feel they are involved in the important decision of the Directorate. It is important to investigate ways to ensure that all staff are involved with decision making.

The majority of staff also feel that they do not receive adequate coaching and mentoring. Coaching and mentoring is an important part of employee development and should be made a more integral part of the organisation if staff feel it is insufficient. The response was also mixed on staff development training, however the response from managers was positive compared to a more negative response from other staff (with supervisors in-between managers and other staff). This suggests that it is easier for managers and supervisors to access training than operational staff. This should not be the case as training is important at all levels in the Directorate.

There was a more positive response regarding delegation, and only 16% of staff disagreed or strongly disagreed with the statement that delegation is effective. Responses were mixed on communication and there was no significant difference between managers, supervisors or other staff. Only 19% percent of staff agreed or strongly agreed that communication was effective, suggesting there is scope for improvement.

Only 4% of staff felt that the performance management system was adequate. This shows that a lot of work needs done in this area. The more detailed qualitative responses in the questionnaire can be used as a starting point for this development work.

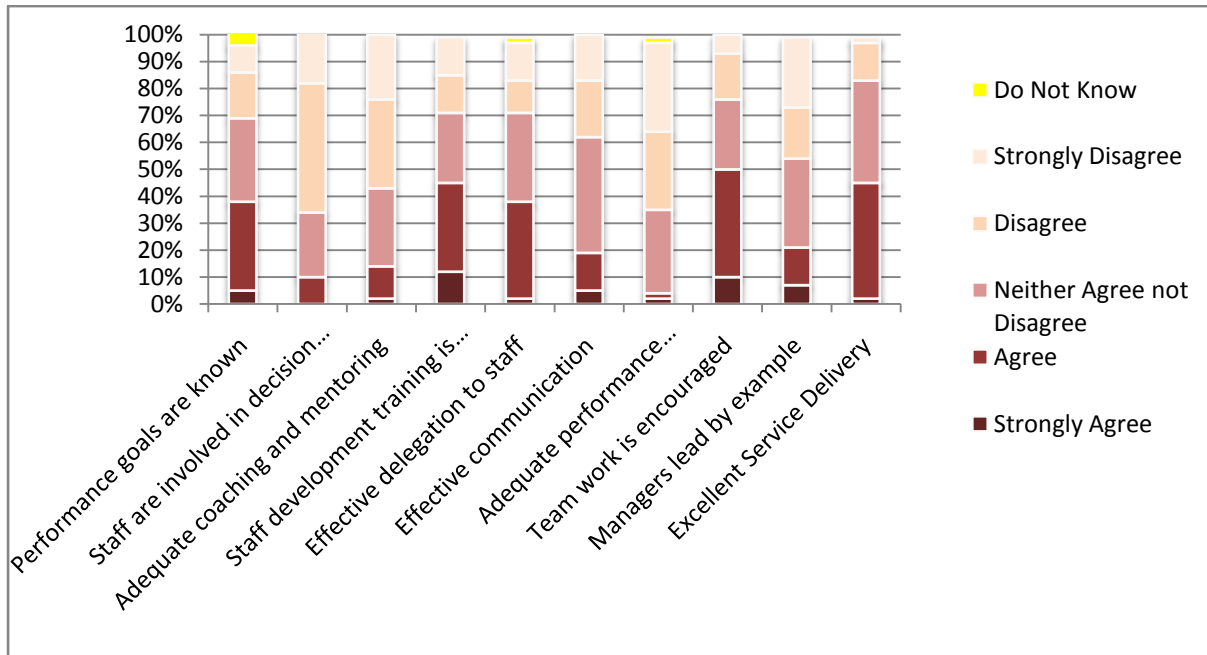
The response was generally positive on team work, with only a quarter of staff stating that team work is not encouraged. Responses to this question were broadly consistent between managers, supervisors and other staff.

The responses were mixed on whether managers lead by example, although the balance of opinion was more negative. This suggests that more can be done to support managers to be better leaders. Managers themselves should also continue to look at ways of improving their leadership. Most staff feel that service delivery is excellent. However, it is interesting to compare this to the responses on performance management (which were broadly negative).

Table 3: Summary of Section B, Part 2

	Strongly Agree	Agree	Neither Agree not Disagree	Disagree	Strongly Disagree	Do Not Know	Total
Performance goals are known	5%	33%	31%	17%	10%	5%	100%
Staff are involved in decision making	0%	10%	24%	48%	19%	0%	100%
Adequate coaching and mentoring	2%	12%	29%	33%	24%	0%	100%
Staff development training is encouraged	12%	33%	26%	14%	14%	0%	100%
Effective delegation to staff	2%	36%	33%	12%	14%	2%	100%
Effective communication	5%	14%	43%	21%	17%	0%	100%
Adequate performance management system	2%	2%	31%	29%	33%	2%	100%
Team work is encouraged	10%	40%	26%	17%	7%	0%	100%
Managers lead by example	7%	14%	33%	19%	26%	0%	100%
Excellent Service Delivery	2%	43%	38%	14%	2%	0%	100%

Figure 5: Summary of Section B, Part 2



Section C: Critical Factors to Effective Performance Management Processes in DCE

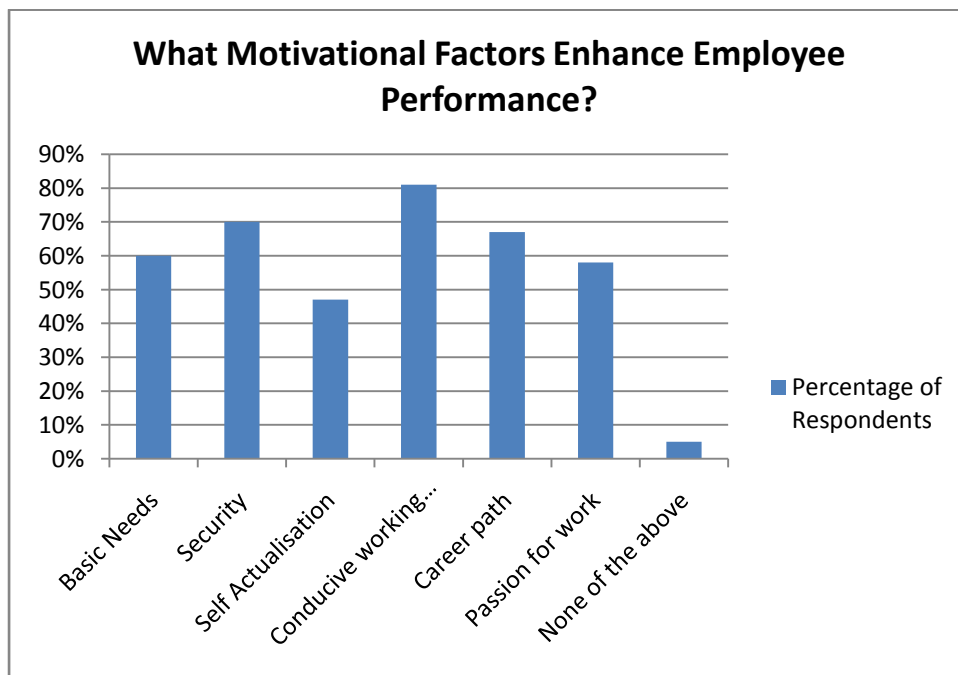
Staff was asked what methods are currently used by DCE to recognise employee performance. 7% said that certificates were used, 0% indicated that money was used and 26% stated that a ‘thank you’ is used. There was any opportunity for respondents to propose other methods that could be used to recognise employee performance. Ideas included a reward system; more holidays; training; recognition letters/certificates; employee of the month; and promotion. Overall, recognition and promotion were cited most frequently.

Table 4: Responses to ‘Which of the following methods are used by DCE to recognise employee performance’

Role	Certificate	Money	A ‘thank you’	None	Total
Management ¹	0%	0%	50%	50%	100%
Supervisor	0%	0%	30%	70%	100%
Other Staff	11.5%	0%	23.1%	65.4%	100%
All staff	7.0%	0%	25.6%	60.5%	100%

Figure 6 below shows how staff responded when asked what motivational factors will enhance employee performance in DCE (staff were asked to select all the boxes that apply).

Figure 6: What motivational factors do you think will enhance employee performance in DCE?



The study confirmed Maslow and Herzberg motivation theories, with the majority of those interviewed holding a view of wanting to be recognised, involved in decision making and exposed to human development training programmes. Pay increase did not come out strongly.

¹ Note, results for Management and Supervisors are based on a very sample so should be taken with caution.

Effective communication and feedback came out strongly as part of motivation factors while leadership and managerial skills were found to be the driving engine to performance.

Section D – Performance Measurements and Evaluation Applied or That Could be Applied in DCE

75% of managers said that performance evaluations were not conducted and 25% said that they are conducted quarterly. Only 11% of supervisors said that performance evaluations are conducted (on a semi-annual basis), with the remaining 89% stating that they did not occur. The vast majority of ‘other staff’ stated that performance evaluations did not occur, with 17% stating that they occurred annually and 8% stating that they occurred quarterly.

Table 5: Responses to ‘How frequently are performance evaluations conducted?’

Role	Quarterly	Semi-Annually	Annually	Not at all	Total
Management ²	25%	0%	0%	75%	100%
Supervisor	0%	11%	0%	88.9%	100%
Other Staff	8.3%	0%	16.7%	75%	100%
All staff	8.1%	2.7%	10.8%	78.4%	100%

Staff also gave a range of ideas on performance indicators that could be used in the Directorate. Ideas included the amount of money collected per month; courses attended; length of service; stakeholder views; promptness when dealing with queries; and accuracy of data entry. Other ideas included questionnaires and monthly individual assessments/feedback sessions.

Of the staff that responded, 69% stated that their appraisal was not informed by their job description; 26% stated that it was informed to some extent; 5% stated that it was weakly informed and nobody stated that it was strongly informed.

² Note, results for Management and Supervisors are based on a very sample so should be taken with caution.

Table 6: Responses to ‘To what extent is your appraisal informed by your job description?’

Role	Strongly	To some extent	Weakly	Not at all	Total
Management ³	0%	20%	20%	60%	100%
Supervisor	0%	22.2%	0%	77.8%	100%
Other Staff	0%	28.0%	4.0%	68.0%	100%
All staff	0%	25.6%	5.1%	69.2%	100%

There were also a range of ideas given on how to improve service delivery. Ideas included the use of a suggestions box; customer care training; English training; recognition of staff to boost morale; communication and feedback from people working on the ground; better equipment and accommodation; staff awareness of the various Acts applicable to the Directorate.

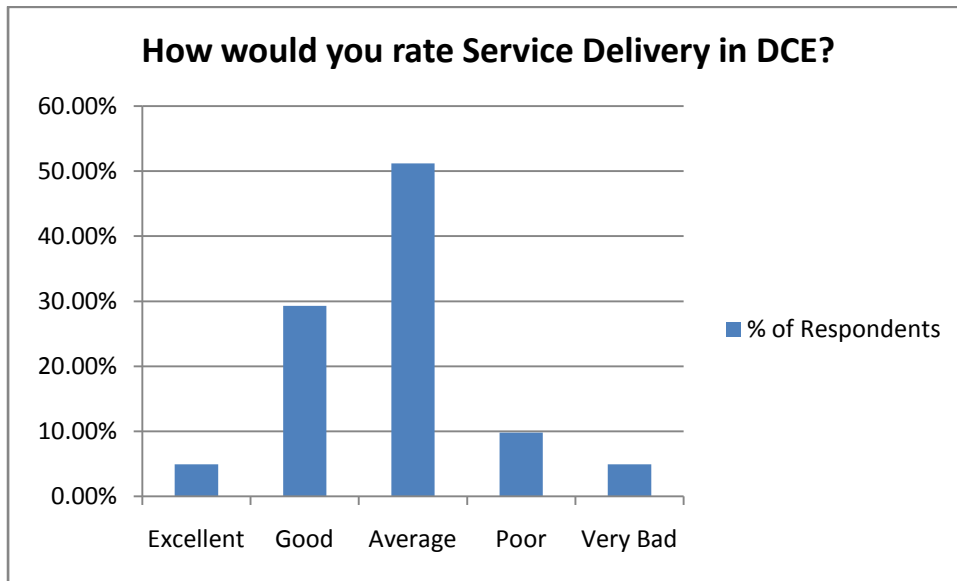
In terms of service delivery, only 5% of respondents rated service delivery in DCE as excellent; 29% rated it as Good; 51% as average; 10% as poor; and 5% rated service delivery as very bad. Graph 2 highlights the generally average self-evaluation of service delivery within the Directorate.

Table 7: Responses to ‘How would you rate service delivery in DCE?’

Rating	% of Respondents
Excellent	4.9%
Good	29.3%
Average	51.2%
Poor	9.8%
Very Bad	4.9%
Total	100%

³ Note, results for Management and Supervisors are based on a very sample so should be taken with caution.

Figure 7: Responses to ‘How would you rate service delivery in DCE?’



Section E – Challenges to Effective Performance Management Processes

Almost half of the respondents (49%) didn't know whether the Directorate Structure corresponded to the mandate of the Directorate, while 28% stated that it did and 23% that it did not.

56% of respondents thought the roles and responsibilities in their job category were clearly defined and 44% stated that they were not clearly defined. It is essential that all staff know their role within the Directorate and therefore this is an key area for improvement.

When asked if training is organised to contribute to employee development and the attainment of the Directorate/Division/Sub-Division objectives 42% responded 'yes' and 53% responded no (and 5% did not answer). Training is a key part of improving individual performance and the functioning of the Directorate as a whole and therefore should be a more integral part of employee development. These results were broadly consistent across roles, although the percentage who responded positively was slightly lower for other staff.

The majority (63%) of respondents feel that systems (hardware and software) are adequate to support employee’s performance, with 37% stated that they are not adequate. We will investigate system shortcomings to ensure that performance is optimised.

Table 8: Summary of Section D

Question	% Yes	% No	% Don’t Know/No Answer
Does the Directorate Structure correspond to the mandate of the Directorate?	27.9%	23.3%	48.8%
Are the roles and responsibilities in your job category clearly defined?	55.8%	44.2%	
Is training organised in such a way that it contributes to employee's development and attainment of the Directorate/Division/Sub-Division objectives?	41.8%	53.5%	4.7%
Are systems (hardware and software) adequate to support employee's performance?	62.8%	37.2%	

Section F: Strategies employed or could be employed in DCE to effectively manage performance management processes

The majority view is that DCE is performing in a vacuum when it comes to performance measurements. Some were quoted as saying “we do not know whether we are coming or going” and “there are no performance measurements in DCE”.

Respondents also provided a range of ideas on how to improve planning in the DCE to allow for maximum employee output. Many staff stated that planning should be consultative and involve staff at all levels. Communication and feedback were also cited as strategies to help effective performance, and should be adopted by DCE. Many of the respondents hold the view that a strategy should be employed to facilitate for adequate office equipment and accommodation for DCE employees. Another strategy expressed by many was for DCE to

have twin agreements with other customs administrations in the region for exposure and to make use of WCO training programmes.

Chapter 5: Discussion of Results, Conclusion and Recommendations

5.1 Introduction

An in-depth interview complimented by the completion of questionnaires by respondents was used in investigating performance management processes in DCE. As part of gathering information under qualitative method, the MoF Balanced Scorecard of 2009 was used to assess its application in DCE focusing on the four perspectives, namely: finance, customer perspective, internal business, learning and innovation (Norton, 2000). This was supported by general questions on performance management processes in DCE. This process was followed by the completion of designed questionnaire as a technique for quantitative method.

5.2 Discussions

While the MoF Strategic Plan is available and distributed to various levels of DCE, there is an apparent lack of awareness and specific knowledge of its content and as such the expectations that the Plan place on all organisational units are not met. This has led to initiatives not being implemented on time or not at all. One contributing factor to deviation from implementing the Strategic Plan is that at its formulation various organisational units were neither consulted nor participated in the formulation process and those who did participate did not play the role of champions of change.

Regarding **performance management processes**, the DCE needs to formulate a performance management model that will guide its processes. The formulation of such a model needs to be approached from a participatory perspective so that all employees are informed of their role in implementing that model. Effective leadership/management; effective communication, regular feedback; improved attitudes and skills development are some of the attributes that will make the model implementable.

In terms of **critical factors towards effective performance management processes in DCE**, current processes lack motivation factors and those interviewed indicated that they know these factors from a theoretical point of view but their application in DCE are nonexistent. One of the main weaknesses highlighted in the research is lack of effective

communication in DCE as this has multiplier effects in the performance of employees. Other demotivating factors were found to be personal attitudes, unfair recruitment process, lack of recognition, inadequate HR development, inadequate office equipment and staff accommodation, especially at the regional offices. **Marslow and Herzberg motivational factors** were confirmed by the study with a comment that at the working environment, those factors should recognise the role of management and leadership styles in an organisation. That is to say type of management style was found to be another factor as it can even motivate or discourage an employee despite all other factors in place.

Regarding **performance measurements**, these are broadly outlined in the Strategic Plan and in the annual Budget documents of the Ministry. However, the study did not find evidence of the usage of such measurements in the DCE organisational units. What can be argued however is that DCE staff do perform every working day and some even work shifts and overtime but nowhere is stated how attainment of goals are measured. Some interviewees however expressed a need for performance measurements to be developed for each organisational unit as these will motivate staff performance and that of DCE. Some interviewees even proposed indicators like “actual revenue versus focus; time spent in processing goods declared; number of discipline cases per duty station”. There appears to be lack of managerial guidance and lack of capacity to develop performance measurements at the operational level. A thorough assessment of competencies in DCE is something the DCE could consider moving forward.

At the time of this mini dissertation, it was revealed that management in DCE do not bring staff along the journey; they hardly contribute to decisions making process. As a result, employees are not enthusiastic in implementing a Plan which was formulated without their input. Mintzberg (1997, p.109) is quoted as saying “planning represents a calculating style of management and not a committing style. Managers with a committing style lead in such a way that everyone in the journey helps shape its course and as such enthusiasm builds along the way”.

With regard to **challenges to effective performance management processes**, the study confirmed incidents of misconduct and unethical behaviour among some DCE employees. Some of which is a clear demonstration of lack of integrity even if this is one of the core values of DCE, Customs Charter (2000).

Management and leadership styles in DCE were found to be different from division to division. While this is not unusual in any organisational set up, what was found strange in DCE is that the interviewees were unable to single out a common positive management style; management in DCE was only referred to as “very poor”. This study could not investigate further this classification but it warrants further investigation, especially given its implication on the performance of DCE.

The absence of performance indicators is a worrying factor given the magnitude DCE is expected to play in the Southern African Customs Union. In the absence of proper planning and control of employee performance, there exists a huge gap between what is executed and what could have been performed. It is also worrisome for DCE to operate without an organisational strategy. Performance Planning constitutes a critical stage, as outlined in the Performance Management Model Framework (Cornell University, 2010).

In the SACU region, DCE is miles behind other customs administrations in implementing performance management systems to bring about improved performance and quality service delivery (BURS 2002). It can be argued that other customs administrations are semi-autonomous, unlike DCE which is under MoF; however there is nothing that would prevent DCE from developing a performance management model for the directorate and employees currently.

De Waal and Foreman (2000, as cited by Maila, 2006) emphasise the importance of aligning organisational strategy through clear articulation and communication. It is evident from the results that there is a huge gap in communication in DCE. The lack of recognition and feedback from managers and supervisors may lead to inadequate performance and non delivery of quality services to customers.

Against the four perspectives of the BSC, the majority of DCE employees are not aware of the importance and application of it. As a result, DCE performance is not managed from these perspectives. However, views expressed by the majority suggest that developing DCE objectives, activities, indicators and outputs will enable the Directorate to measure its performance and that of individual employees.

Strategies employed in DCE pertaining to effective performance need to be reviewed. Specific examples were provided in chapter 4 above. One of the strategies is to develop a performance plan for employees. It is argued, however, that such plans should be agreed upon with employees.

5.3 Conclusions

This study has contributed to the knowledge of the researcher, especially regarding the need for DCE and the MoF management to work out a strategy that will address some weaknesses pointed out in this study. There is an expressed need for DCE to develop an operational plan based on the Ministry's Strategic Plan within a performance management model for DCE.

The results from the DCE survey yield some very interesting and useful findings. In a lot of areas it is evident that there is room for improvement and we will investigate these areas further. In particular the following conclusions stand out:

- Staff need to be more involved in the formulation of key documents such as the strategic plan and the management plan.
- Performance monitoring, evaluation and management needs to improve across the Directorate.
- Employee performance should be recognized and where possible rewards for performance and punishment for non-performance should be introduced.
- Staff at all levels should be involved in decision making.
- Coaching/mentoring and training also needs to be improved at all levels to ensure staff development and improved service across the Directorate.
- Communication needs to be improved at all levels of the Directorate.
- Recognition is one of the key ways to improve employee performance.

On the basis of the study findings, the conclusion drawn is that there is a room for improvement as far as performance management processes are concerned.

- The biggest impediment to measurable performance in DCE stems from the lack of clearly defined strategic objectives, outputs and measures (targets and indicators).
- Furthermore employee's performance is not monitored for regular feedback and recognition as and motivation sector.
- Service delivery seems to be good but was difficult to measure in the absence of indicators and to avoid speculations, the researcher has no comment on this.
- Systems do exist in Directorate Customs and Excise but Information Technology infrastructure at borders need a constant check as they are found to be inadequate.

The researcher acknowledges the following limitations to the findings:

- The MoF BSC has not been cascaded to the directorate's level and has not resulted in the development of performance measurements.
- Performance indicators were not documented, making it difficult to assess how monitoring and evaluation as part of management functions were performed.
- The investigation was based on a small size sample and its results should be treated with caution in generalising organisation performance in an absence of documented performance management systems. Application of survey to a larger sample and hypothesis testing can bring more scientific results in relation to organisational performance.

5.4 Recommendations

The study has produced the following recommendations:

- DCE to develop a strategic plan accompanied by employee performance plan with clear and measurable targets.
- DCE should consider using some of the Performance Management Models contained in this report and adopt them to its specific conditions.
- Performance management systems should be introduced as a matter of priority.

- Motivation factors as outlined in this report could be further investigated and where possible apply them so as to improve employee performance.
- DCE should make use of leadership/management and customer care courses offered by NIPAM.
- DCE should explore secondment or exchange of staff with other customs administrations within SACU.
- DCE should improve systems, rules and procedures to facilitate effective employee performance.

Further research must explore the role of MoF top management in the performance outcome of DCE and its employees. In addition, consideration can be made for other MoF directorates to be assessed on a large sample.

List of References

Acuff, F. (2008). **How to Negotiating Anything with Anyone Anywhere around the World**, Third Edition. USA: American Management Association.

Allio, M. (2006). **Metrics that Matter: Seven Guidelines for Better Performance Measurements**. A Handbook of Business Strategy: Emerald Publishing Limited.

Anonymous (undated). **Examples of Critical Success factors**. Available at http://www.ehow.com/list_5968674_examples-critical-success-factors.html#ixzz1B1khWfez.

Bryman, A and Bell, E. (2007). **Business Research Methods**. New York: Oxford University Press.

Brynard, P.A. and Hanekom, S.X (1997). **Introduction to Research in Public Administration and Related Academic Disciplines**. Pretoria: J.L. van Schaik Publishers.

BURS (2002). **Performance Management System**. Botswana: Botswana Unified Revenue Service.

Cardy, R. (2004). **Incentives Systems for Health Care Professionals**. Available at: http://www.whpa.org/PPE_Fact_Incentive_Pro.pdf. Accessed 28 March 2011. International Hospital Federation

Cleland, D.I. (1994). **Project Management: Strategic Design and Implementation**. Second Edition. USA: McGraw Hill, Inc.

Cornell University, (2010). **The Performance Management Process Model**. Cornell University, Division of Human Resources: Available http://www.hr.cornell.edu/life/career/performance_management.html accessed on 17 December 2010.

Donald, L. and Humpries, J.H, (2008). **Performance Appraisal: Essential Characteristics for Strategic Control**. *Measuring Business Excellence*, 12(3), pp. 24-34. USA: Emerald Group Publishing.

Fayol, H. (1949). **General and Industrial Management**. London: Sir Isaac Pitman and Sons, Ltd.

Flanagan, N. and Finger, J. (1998). **Just About Everything a Manager Needs to Know in South Africa**.

Fred, L. (1992). **Organisation Behaviour**. 6th Edition. USA: McGraw Hill.

Glaister, K. W. (2007). **A Causal Analysis of Formal Strategic Planning and Firm Performance: Evidence from an Emerging Country**, *Management Decision*, 46 (.3), pp. 365-391.

Henry, A. (2008). **Understanding Strategic Management**. New York: Oxford University Press.

Hogue, A. (2010), **Performance Measurement**. Available: <http://www.QFINANCE>. Dictionary accessed on 17 December 2010.

KSU, (2009). *Policies and Procedures Mannual: Performance Management Process*. Available: <http://www.ksu.edu/policies/ppm/4080.html>. Accessed on 17 December 2010.

Lauter, G. P. (1970). **Advanced management Process in Developing Countries: Planning in Turkey**. *California Management Review*, 12 (3), pp 7-12.

Maila, H.M. (2006), **Performance Management and Service Delivery in the Department of Water Affairs and Forestry**. A Dissertation Submitted in Partial Fulfilment of the Magister Technologic: University of South Africa.

Maylor, H. (2005). **Project Management**. Third Edition, FT Prentice Hall.

Michlitsch, J.F. (2000). **High-performing, Loyal Employees: the Real Way to Implement Strategy**, *Strategy and Leadership*, 28(6), pp. 28-34.

Mintzberg, H. (1994). **The Fall and Rise of Strategic Planning**. *Havard Business Review*, January-February, 1994, p. 108.

MoF (2002). **Customs and Excise Charter**. Namibia: Windhoek

MoF (2009). **Annual and Accountability Reports**. Windhoek.

MoF (2009). **Customs and Excise Revised Structure**. Windhoek.

MoF. (2009). **Ministry of Finance: Strategic Plan 2009/201-2013/2014**. Namibia: Windhoek.

Namoloh, L. and Simataa, G, (2000). **Human Resource Management in Namibia**. A Workshop on Management of Human Resources in Africa: Challenges for the Third Millennium. Tangier: Morocco.

NIPAM, (2011). **Strategic Thinking and Management in the Public Sector**. A three Day Short Course Presented by The School of Public Leadership, Stellenbosch University, 14-16 February 2011. Windhoek: NIPAM.

NPC (2008). **Third National Development Plan (NDP3)**, Volume 1, Windhoek.

OPM (2005). **Performance Management Report**. Windhoek: OPM.

OPM (2011). **An Inaugural Speech for the Launch of NIPAM**. February 2011. Windhoek: OPM.

Robbins S.P (2003). **Organizational Behaviour**. South Africa: Pearson.

Robert S. Kaplan and David P. Norton, (2006). **Using the Balanced Scorecard as a Strategic Management System**. Harvard Business Review., (January-February 1996: 76).

U.S. Office Personnel Management (undated). **Performance Management**. USA: Washington DC. Available at: <http://www.opm.gov/perform/overview.asp>.on 18 December 2010.

Van der Molen, K.(2011). **Strategic thinking Slides presentation to NIPAM**, Windhoek.

Vaughan-Jones, C. (2009). **Leadership, Self and Creating the Future Study Module**. Herold Pupkewitz Business School: Polytechnic of Namibia.

Vaughan-Jones, C. (2010). **Lecture Notes for the Research Methods Module**. June 2010. Herold Pupkewitz Business School: Polytechnic of Namibia.

World Customs Organisation (2010), **WCO Support Mission to Namibia Customs and Excise**, November 2010, pp.3-18. Windhoek: Ministry of Finance.

Annexure 1: Permission Letter to Conduct Research

31/03/2011 13:26 230179

PS FINANCE

PAGE 01/02

Annexure 1

**The Permanent Secretary
Ministry of Finance
Private Bag 13295
Windhoek**

10 March 2011

Dear Sir,

RE: Permission letter to gather data for a qualification Master Science Leadership and Change Management Mini-Dissertation

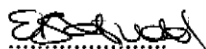
I write to seek permission to gather data in the classified archives of the Ministry of Finance. Permission is further sought to conduct a survey in the Directorate of Customs and Excise.

The purpose of gathering data is to assist me in the completion of the empirical component of my mini-dissertation focusing on: "Appraising performance management process: A case of the Directorate of Customs and Excise, Namibia"

The expected completion date for data gathering in March 2011.

I look forward in hearing from you, Sir.

Yours Faithfully,



Ericah Shafudah
Tel: 061-209 2928

ANNEXURE 5

6-0/0179



REPUBLIC OF NAMIBIA

MINISTRY OF FINANCE

Tel.: (00 264 61) 2099111

Fax: (00 264 61) 236454

Fiscus Building

10 John Meinert Street

Private Bag 13295

WINDHOEK

Enquiries: _____

Our Ref.: _____ Your Ref.: _____

INTERNAL MEMORANDUM

**TO : MS. ERICAH SHAFUDAH
MINISTRY OF FINANCE**

**FROM : MR. CALLE SCHLETTWEIN
PERMANENT SECRETARY: FINANCE**

DATE : 11 MARCH 2010


**SUBJECT : PERMISSION LETTER TO GATHER DATA FOR A
QUALIFICATION OF MSC: LEADERSHIP AND CHANGE
MANAGEMENT**

I acknowledge receipt of your letter dated 7th March 2010 on the above subject.

Subject to confidentiality provisions in respective laws, I have no objection for you to conduct research, using information from the Ministry of Finance records and from the employees of the Ministry.

I wish you the best.

Yours sincerely,


C-H-G SCHLETTWEIN
PERMANENT SECRETARY

All official correspondence must be addressed to the Permanent Secretary

Annexure 2: Local Level Approval

31/03/2011 13:08 230179

PS FINANCE
ANNEXURE 1

PAGE 01/02

LOCAL LEVEL APPROVAL: POSTGRADUATE RESEARCH PROJECT

Low risk project involving human participants

Name ERICAH B. SHAFUDAH

Programme (identify taught postgraduate programme, or target research award eg PhD)
Msc Leadership and Change Management

Project Title APPRAISING PERFORMANCE MANAGEMENT PROCESSES:
A CASE OF THE DIRECTORATE OF CUSTOMS AND EXCISE
NAMIBIA

Human Participants Involved

These should be specified in full on an attached sheet including numbers and description e.g. 20 members of University staff; 30 residents on a named estate; and how it is proposed to select these.

Relations with Human Participants

Details of the proposed inter-action should be given on an attached sheet. A draft information and consent form which should detail the right of the participant to withdraw from the project MUST be included.

Student Undertaking

I confirm that I am proposing to undertake this research project in the manner described. I understand that I am required to abide by the terms of this approval throughout the life of the project. I also understand that I may not make any substantial amendments to this project without consent; and that if I wish to make significant amendments to the project I will seek approval for this immediately, and will not undertake such research unless and until approval is granted. I understand that if I infringe the terms of this approval my work may not be marked.

Signed

Date



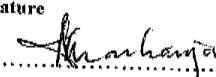
30/03/2011

Supervisor's agreement

Name

Signature

Date

Dr. Addmore Machanja 

30/03/2011

Approval- Research Ethics Co-ordinator

Name

Signature

Date

.....

This form will be retained for the purposes of assurance of compliance and audit for the duration of the research project and for five calendar years thereafter.

Human Participant Involved

The research involved 60 members of the Directorate of Customs and Excise, and 3 members of the management of Ministry of Finance. The participants involved were the former Permanent Secretary of Finance, the Director of Customs and Excise, DCE managers, supervisors and employees below supervisors. Participants were from various DCE duty stations all over the country.

Annexure 3: Letter to the Respondents

31/03/2011 13:08 230179

PS FINANCE

PAGE 02/02

Annexure 2

1. ETHICS FORM RESEARCH

Thank you for agreeing to be interviewed for this research on "*Understanding Performance Management Processes in the Directorate Customs and Excise, Namibia*".

Your participation will remain confidential and all data will be anonymised to ensure your identity, and that of any colleagues or companies you might mention, is not revealed. You are also able to withdraw from the interview at any time.

The interview will be audio-recorded in order to capture the detail of the discussion. The recording will be transcribed and the audio recording destroyed in one year's time (this allows us the option of returning to the original recording if the transcription is unclear).

Please sign below to indicate your consent to participating in the research.

Name: _____

Signature: _____

Date: _____

Annexure 4: Interview Guide

Spontaneous reactions

1. If I say, “performance in the Directorate of Customs and Excise”, what comes to your mind? Anything else?
2. What is your view on Ministry of Finance Strategic plan? What about its Balanced Scorecard? Anything else on its four perspectives?
3. What can you say about performance management processes (planning, organising, directing and control) in the Directorate of Customs and Excise? Anything else?
4. How do you know you have achieved your objectives and that of the Directorate? What reward do you get?
5. Anything on customer care centre of the Directorate of Customs and Excise?
6. What motivates you at work? Anything else?
7. How do you feel about being appraised? What about performance indicators in the directorate Customs and Excise?
8. What challenges you most at work? Anything else?
9. Tell me about strategies you could employ to improve employee performance? Anything else?
10. Tell me about operational issues that need attention in your Directorate? If so, why?

11. Do you like to work in the Directorate of Customs? If yes why?

Annexure 5: Questionnaire

PERFORMANCE MANAGEMENT SURVEY - DIRECTORATE OF CUSTOMS AND EXCISE (DCE)

INTRODUCTION

Thank you for agreeing to take part in this survey.

I would like to ask you a few questions on behalf of Top Management of the Ministry of Finance about performance management processes in the Directorate of Customs and Excise. It will only take a few minutes and all information provided will remain confidential and anonymous. I am aware that my position of being one of the Top Management in the Ministry might put you at unease but I want to assure you that I shall be objective in carrying out this survey.

OBJECTIVES

The objectives of this survey are:

- Assess performance management processes that contribute to the attainment of the organizational goals.
- Determine critical factors to effective management processes in DCE Examine existing performance measurements in DCE
- Identify challenges to effective performance management processes in DCE
- Identify strategies that are used or that could be used in DCE to effectively manage performance management processes.

SECTION A: Introductory Questions

Please mark the boxes below that apply to you

1/ Role

- Manager
- Supervisor (Controller/Chief)
- Other Staff

2/ Length in Service

- Less than 1 year
- 1 to 5 years
- Over 5 years

3/ Geographical Location

- Windhoek
- Keetmanshoop
- Rundu
- Walvis Bay
- Katima
- Otjiwarongo
- Oshakati

Other (please Specify)

SECTION B - Performance Management Processes and their Contribution Towards the Attainment of Objectives

4/ Did you take part in the formulation of the Ministry of Finance Strategic Plan?

- Yes
- No

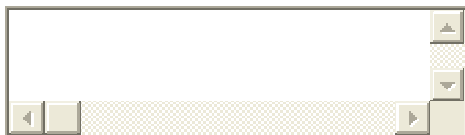
5/ If you answer "No" to question 4, indicate whether the document was introduced to you

- Yes
- No

6/ Does the Directorate have a Management Plan that is linked to the MoF Strategic Plan?

- Yes
- No
- Don't Know

7/ Describe the Plan that you use to guide your performance



8/ Does your manager/supervisor arrange Directorate/Division/Subdivision planning meetings?

- Yes
- No

9/ Please indicate with an 'x' in the boxes below the extent to which you agree or disagree that the following exist in DCE.

	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree	Do not know
Performance goals are known	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Staff are involved in decision making	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Adequate coaching and mentoring	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Staff development training is encouraged	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Effective delegation to staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Effective communication	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Adequate performance management system	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Team work is encouraged	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Managers lead by example	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Excellent service delivery	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

SECTION C: Critical Factors to Effective Performance Management Processes in DCE

10/ Which of the following methods are used by DCE to recognise employee performance? (only fill in the row which applies to your role)

	Certificate	Money	A 'thank you'	None
Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other Staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Describe other methods that could be used to recognise employee performance

11/ Describe other factors that you think will maximise employee performance in DCE

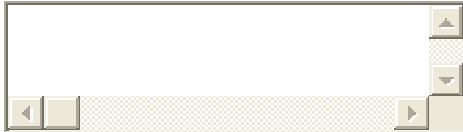
12/ What motivational factors do you think will enhance employee performance in DCE? (tick all the boxes you think apply)

- Basic Needs
- Security
- Self Actualisation
- Conducive working environment
- Career path

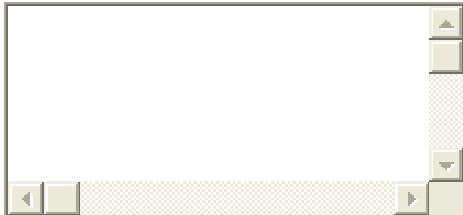
passion for work

none of the above

Other (please specify)

An empty text input field with a light beige background and a thin border. It features standard scrollbars on the right and bottom edges.

13/ Please list any performance indicators or metrics that the Directorate could use to ensure optimal employee performance at your duty station

An empty text input field with a light beige background and a thin border. It features standard scrollbars on the right and bottom edges.

SECTION D: Performance Measurements and Evaluation Applied or that could be applied in DCE

14/ How frequently are performance evaluations conducted? (only complete the row that applies to your position)

	Quarterly	Semi-Annually	Annually	Not at all
Management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Supervisor	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other Staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

15/ Describe Indicators that are used or could be used to measure employee performance in DCE

16/ To what extent is your appraisal informed by your job description? (fill out the row which applies to your role)

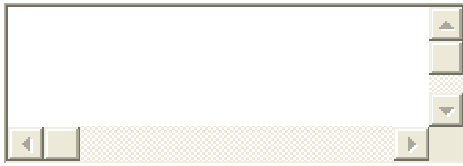
	Strongly	To some extent	Weakly	Not at all
Management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Supervisor	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other Staff	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

17/How would you rate service delivery in DCE?

- Excellent

- Good
- Average
- Poor
- Very bad

18/ Please propose measures for improvement of service delivery in DCE.



SECTION E - Challenges to Effective Performance Management Processes

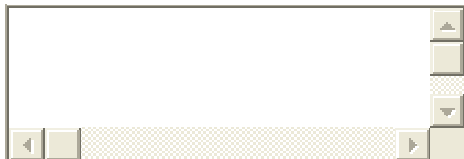
19/ Does the Directorate Structure correspond to the mandate of the Directorate?

- Yes
- No
- Don't know

20/ Are the roles and responsibilities in your job category clearly defined?

- Yes
- No

21/ If your answer to question 11 is 'no', describe any problems associated with your job description



22/ Is training organised in such a way that it contributes to employee's development and attainment of the Directorate/Division/Sub-Division objectives?

- Yes
- No

23/ Are systems (hardware and software) adequate to support employee's performance?

- Yes
- No

SECTION F: Strategies Employed or that could be Employed in DCE to Effectively Manage Performance Management Processes

24/ Describe how planning as a function could be improved in the Directorate/Division/Subdivision to allow for maximum employee output

25/ Propose components that could constitute a performance management model for the Directorate of Customs and Excise.

THANK YOU!


Thank you for taking the time to fill out this survey. Your feedback is very valuable to the Directorate/Ministry and we will take your views into account.

Annexure 6: Dissertation Supervision

Namibian dissertation supervision - Dec 2010

Name: **Emeka Shajudah**
 Title:

What has discussed	What has agreed	Action points
<p>Scope</p> <p>LR</p> <p>Research aims linked to methodology</p> <p>Sampling of 500 people employed in Directorate</p> <p>Qualitative vs quantitative</p>	<p>To narrow the scope to a single Directorate</p> <p>Em & BBS have custom's studies looked at</p> <p>carry out small scale research to establish the way for quantitative considers representativeness, geographic age, length of service, gender etc.</p> <p>Agreed to do qualitative</p>	<p>Research aims the same - adjust title/aim accordingly</p> <p>Will carry out 1:1 pilot focus group if have time or justify selection of people. Study rationale for selection</p>

Student Signature: 
 Local supervisor signature: **Dr A. Madanya**
 Leesmet supervisor signature: **Wanda Pan Shimon**

Namibian dissertation supervision - Feb 2011

Name Erica
Title

What has discussed	What has agreed	Action points
<p>Title Abstract definition and research question.</p> <p>Lit review. A lot of good material which will sustain a critical approach being adopted.</p>	<p>minor revision structure ok</p> <p>Consider reframing research question - more discussed and importantly - place before objectives.</p> <p>Consider: a) some restructuring must adjust plan for b) Stronger word section</p>	<p>- what is the issue discussed</p>

Student Signature:
Local supervisor signature:
Leedsmet supervisor signature:

[Handwritten signature]

Methodology + methods.
paper to be discussed.

Findings ~~at~~ may be strengthened by
~~the~~ ~~as~~ following to follow up some of your responses.

Annexure 7: Research Proposal

ANNEXURE 9



[staff use only]

Surname: Shafudah

Forename: Ericah

Signature: *[Handwritten Signature]*

Date of Submission 16 July 2010

FACULTY OF BUSINESS AND LAW ASSIGNMENT HAND-IN FORM

I certify by my signature that this is my own work. The work has not, in whole or part, been presented elsewhere for assessment. Where material has been used from other sources it has been properly acknowledged and referenced. If this statement is untrue I acknowledge that I will have committed an assessment offence.

I also certify that I have taken a copy of this assignment, to be made available upon request, which I will retain until after the Board of Examiners has published results. Any disks or USBs have been securely attached to this assignment.

Student ID: 9907289	Level of Study: Masters
Module Title: Research Methods	Module Tutor: Prof. Chris Vaughan-Jones
Course Title: Msc Leadership and Change Management	Location: Namibia

SUMMARY OF FEEDBACK TO STUDENT

Useful 'Background', and a relatively brief but reasonably clear 'Statement of the Research Problem'. The 5 'Research questions' are corresponding questions were alright. You have 'had a go' at the 'Research Opinion' but you do have some confusions (see p.4). Your own 'research design' boils down to 50 (!) qual., in-depth interviews with key informants, and a quant., self-completion survey with ministry employees (10). The number of 50 is far too large to be manageable. Your sample lit. review looks alright. You have a put in effort to improve your understanding.

(See also inside)

For office use only

Name of First Marker: CHRIS VAUGHAN-JONES	Mark/Grade: 54/60	Date & Time Received:
Name of Second Marker:	Mark/Grade:	
Deduction Detail:	Agreed Final Mark/Grade:	Disk/USB Y/N Softcopy Y/N

ASSIGNMENT

COURSE TITLE: Msc. LEADERSHIP AND CHANGE MANAGEMENT

MODULE TITLE: RESEARCH METHODS

MODULE TUTOR: Prof. Chris Vaughan-Jones

TOPIC: Research Proposal in preparation of a research project with the following proposed Title "Performance Management with reference to the Ministry of Finance, Namibia"

Student's Name: Ericah Shafudah

Student ID: c7078170

Words Count: 3000

DATE OF SUBMISSION: 16th July 2010

Submitted in partial fulfilment of the requirements for the Msc Leadership and Change Management

Table of Contents

	Page
1. Introduction	2
2. Statement of the Research Problem	2
3. Aims and Objectives	3
4. Methodology	4
4.1 Research Design	4
4.2 Sampling	7
4.3 Data Analysis	7
5. Constraints	7
5.1 Time	7
5.2 Cost	8
5.3 Work Plan	8
6. Ethical Considerations	8
7. Reflection	8
8. Literature Review	8
9. References	10

Appendices

Appendix One: Gantt chart

Working Title: "Performance Management with reference to the Ministry of Finance, Namibia"

1. Introduction

The Ministry of Finance, Namibia, has as its mission to promote macro-economic stability by formulating and co-ordinating the implementation of fiscal and financial policies that optimise economic growth and equity.

In order to carry out its functions, the ministry comprises of the Department of Treasury with 200 employees, Directorate of Inland Revenue with 300 employees, Directorate of Customs and Excise with 540 officials, Directorate of Economic Policy with 20 employees, Directorate of Support Service with 50 officials and Internal Audit Division with 10 officials. (Source: Ministry of Finance Annual Report, 2008).

At independence, in March 1990, the establishment consisted of 184 officials but has expanded to 1200 officials under the leadership of 32 senior managers and two political heads. As can be seen, this is a big organisation in the Namibian context and issues surrounding performance of staff members warrant an investigation. However, it is not obvious for the Ministry to know whether it is doing fine as far as managing performance is concerned and whether customers are satisfied with the Ministry's performance.

"The Performance Management System for the whole public service is in the process of being designed, since 2004. It is my hope that the new system will be able to help motivate our staff, ensure effective management and provide tools to objectively measure staff performance. We therefore need to move fast in implementing a Performance Management System Framework and Principles in order to improve performance in the Public Service" (Office of the Prime Minister, 2004).

In the Namibian Public Service set up, the Ministry of Finance is one of the crucial ministries in terms of its mandate and its performance is of paramount importance to socio-economic development. In the absence of the Public Performance Management System, it puzzles the researcher on how performance is managed in the ministry. Various researches have been carried out in the area of performance management; however, this research is first of its kind in the context of Ministry of Finance. It is on this basis that the Topic was selected to address the complex question of performance management in the Ministry of Finance.

2. Statement of the Research Problem

The research intends to explore how performance management is applied in the Ministry and whether it has yielded results in terms of employee effectiveness, timely delivery, and ministry's goals attainment. What has attracted the researcher's attention is the output of some managers and non managers that is not up to standard and has wondered as to whether performance of those officials was being monitored. In addition, the researcher has received formal complaints by some stakeholders pointing to issues of non performance in the ministry. The research is,

This content of the first part (introduction) has been published on Line of Finance of (Pfm) 2008.

This is just a do you have any evidence to sit this?

being managed at ACE and it is, what 2 and use used.

ACE (Submission list) 2010
 being one of the top managers in Mof and supervisor of ACE
 what your role? It will be clearer you can explain to

A bit busy
You could have
a little more d's

however, not intended to mention names of officials who do not perform to the customers' satisfaction or names of those who have failed in managing performance.

Brynard, ~~RA~~ ^{Nec} et al (page 15) said that "A problem statement requires a precise description in as few words as possible, but at the same time transferring the maximum amount of information on the research topic". Applying this theory, the research statement is put as this following question: *What effect does performance management have in employees' effectiveness and the attainment of the ministry's goals?* *That's a 'research question'!*

3. Aims and Research Objectives

The overall purpose of the research is to explore how performance is managed in the Ministry of Finance and to critical evaluate the impact thereof. Specifically the research is intended to:

- 3.1 assess performance ^{management process} tools in the ministry *to vectorate*
- 3.2 examine critical factors to performance and their usage in the ministry
- 3.3 identify areas, if any, where performance could be improved
- 3.4 establish whether systems and processes enable the ministry' employees to give of their best
- 3.5 ~~give a logical interpretation~~ ^{establish} of effects of performance management on subordinates and ministry's customers

The corresponding sub objectives will be:

- To review the literature on performance management and relevant academic theories
- To survey customers' satisfaction on ministry's performance

The research seeks to address five related questions as:

- What performance standard measures *the structure* does the Ministry use?
- How does performance management relate do the attainment of the Ministry's goals?
- What are critical factors to performance management?
- How do managers improve employees' effectiveness?
- What constitutes good evidence from qualitative surveys?

4. Methodology

This section has three subheadings, namely, Research Design, Sampling and Data Analysis all of which are explained below.

4.1 Research Design

The researcher is planning to gather information pertaining to the Topic and analyse it with a view to conclude and where possible make recommendations. This research is designed making use of Saunders's Research "Onion" (adapted: Vaughan-Jones, 2010).

3

you need to refer to the original source.

Refer to Saunders' et al.'s original source.

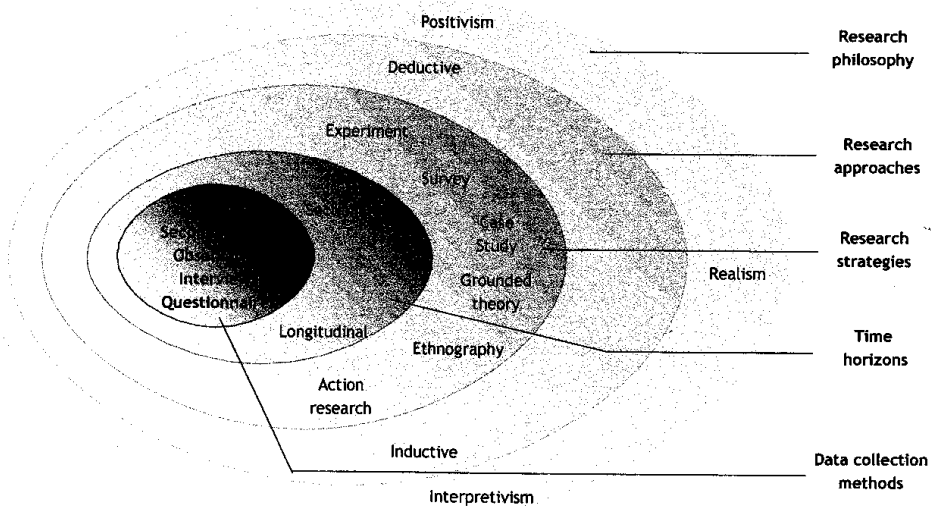
The "Onion" philosophy can be Positivism, Interpretivism or Realism. The Positivism underscores the importance of hypothesis testing in a controlled experiment so that deductive reasoning is informed by facts. It is further stated that this philosophy has an element of objectivity. The limitation with this philosophy is that even if scientific methods used had led to results that are objective in nature, such methods are applied by human beings. Therefore, an element of subjectivity cannot be ruled out. Another limitation is that it cannot be used unless hypothesis testing is applied to a controlled experiment.

Not true. Deductive reasoning to which applies

Another research philosophy of the "onion" is Interpretivism that is usually used in social studies and whose reasoning is inductive and with an element of subjectivity. In essence, this philosophy tries to generalise the results of a sample to the whole population. Limitation with this philosophy is that it requires a sample with a size that is big enough to be representative of the population. In addition, with this philosophy, researchers tend to believe that everything is in their brain, something that might be difficult to ascertain.

No! You get mixed up. It's a survey need relat. large sample

Realism philosophy, according to the "onion" is in between the other two philosophies.



Saunders' Research "Onion" As presented by Vaughan-Jones, May 2010, Windhoek.

not appropriate

Application of Saunders' Research Onion is provided under the sub headings below:

4.1.1 Research Philosophy

This research's philosophy is Interpretivism because it is a research that is not based on a controlled experiment. Consequently, there will be no hypothesis testing to help deduce conclusions and be positive about the facts. The Interpretivism Philosophy is a line of thought, which suggests that it is worth-a-while to deep into people's behaviours and understand them clearly. It is a line of thought that believes in feelings and emotions. The shortcoming of this philosophy is that it is perceived to be "subjective".

NB. A quant survey can still be in the tradition of Positivism, even opinion research in the SocioSci

4.1.2 Research Approaches

As mentioned earlier on, the research will not carry the idea of a controlled environment and is not deductive because there will be not hypothesis testing. It will base its interpretations on people's feelings and emotions, resulting in inductive reasoning.

4.1.3 Research Strategies

The research will adopt a multi-research approach, which involves using more than one type of research technique or data source within a study. In this case, the research will employ qualitative survey first and thereafter, quantitative survey. The rationale behind this approach is its ability to compensate for the weakness of any single research design (Dixon-Woods, M., et.al. 2004, Page 2).

As for the qualitative survey, also referred to as exploratory, ^{in depth} Interview Guides will be employed and results will be analysed so as to inform the design of questionnaires for the quantitative survey.

✓ Is it an interview or survey

The second stage will be the undertaking of a quantitative survey making use of questionnaires. This survey, however, will not take the route of measurements and hypothesis testing. Instead, it will make use of primary research using questionnaire since it does not carry the idea of a controlled environment. In this regard questionnaire will be constructed, distributed and collected. Data will then be analysed and thereafter relevant chapters will be written.

This strategy will enable the researcher to generalize from the selected sample to population which is referred to as inductive reasoning (Vaughan-Jones, 2010).

4.1.4 Data Collection Methods

Data needed for the research will be collected in a systematic manner by making use of qualitative and quantitative data collection methods and corresponding techniques, inter alia, literature reviews, interviews and questionnaires. Instrument such as Likert Attitude Scale will be used to measure the reliability of the methods of data collection.

Brynard, ~~PA, et al~~ (1997, P.42) has distinguished the above methodologies for data collection as follows: qualitative method produces data by seeing the world from the participant's point of

Miss to high level student

view while quantitative method produces data by assigning numbers and by measuring "things" or "objects". It is further stated (ibid) that qualitative research produces descriptive data, generally people's own written or spoken words while quantitative requires methods such as experiments and surveys to describe and explain phenomena.

Limitation of qualitative method is that it is a focus upon the real-life experience of people. In other words, for one to collect data using this methodology you cannot simulate, you have to get into contact with people to get their views. Quantitative, on the other hand, has a limitation that the researcher can only produce data by counting or measuring things or objects. In this regard, the research will note these limitations.

Tha
ra
cu
cho
fg
re

The data collection methods will be qualitative and quantitative surveys. For qualitative survey, the research will make use of the following applicable techniques: depth interview guide (where the researcher will undertake one-on-one interview), discussion guide (where the researcher will interview a group of few respondents) and projective technique, which entails—usage of word association or animation where for example interviewer will ask respondents to associate a manager with an animal and depending on answers provided the interviewer will count the votes per each animal identified and the one with highest votes will be associated with that particular manager in terms of its characteristics. Tapes for transcripts will be used.

✓ Qualitative survey output will be words not percentages, expressions will be like "the majority view was..." also to identify some useful quotations coming from the depth interviews- tape recorded, verbatim. These outputs will assist me enter the next data collection method that is the quantitative survey.

The outcome of this survey will assist the research to design the quantitative survey. Some samples of transcripts will be attached to the dissertation as evidence.

Quantitative surveys make use of self completion questionnaire that will be distributed and will ask someone to collect them where the research finds it impossible to collect self. I shall use tape-recording for transcripts and that some crucial transcripts will be attached as appendices to the Dissertation as documentary evidence.

As regard to the quantitative survey, the research will mostly make use of closed questions and where open-ended questions will be employed, these will be kept to minimum as they take up time for coding.

✓ Convenience and judgement samples will be used for the qualitative survey whereas Quota samples will be used for the quantitative survey.

01/07/07
C
3

4.2 Sampling

The research will target a sample size of 150 participants. The researcher believes that a sample size of 150 is large and is what the research can afford.

Key informants will be drawn predominantly from the pool of the ministry's employees, accounting officers of other ministries, Financial Advisors (key experts in budget management), Chief Executive Officers of State Owned Enterprises and some other taxpayers. The researcher envisages carrying out 50 Depth Interviews and of the 150 questionnaires, 130 are aimed to be returned back. The primary research is crucial to the research and has therefore to be carried out.

4.2.1 Types of Errors

The research is cognisant of two types of errors that occur: Sampling Error, which is the difference between average population mean and average sample mean. This error can only be calculated if the research has chosen a true random/probability sample (Vaughan-Jones, 2010). However, since this research is not going for hypothesis testing, this error will not be used. ✓

Non-sampling error: This error can be attributed to a small variation in administering questionnaires from one respondent to another. Bryman, P.A., et.al. (1997) indicated that bias can be as a result of deliberate incorrect recording of the information on the part of the interviewer or as a result of respondent giving false information on purpose. The research will try to minimize this error through quality control. ✓

4.3 Data Analysis

The research will apply quality control procedures to minimise human error prior to data processing and analysis (Vaughan-Jones, 2010). It will make use of Excel to draw frequency tables and cross tabulations. Coding and Post coding will be among various tasks to be performed.

5. Constraints

Prof. R. F. Zimba (2010) stated that "Limitations of the study are conditions beyond the control of the researcher that may negatively influence the research findings", whereas "Delimitations are boundaries of one's research" (ibid).

Application of the above to this research will be as follows:

5.1 Time constraint

The researcher's new post is quite demanding and its functions will impact on the time required for a comprehensive research. It is for this reason that the researcher has chosen the respondents to be mostly from Windhoek, the City where the Researcher works/resides.

5.2 Financial (Cost) constraint

It is difficult to quantify the cost for this research, however due to the vastness of the country the researcher will not be able to travel to all regions of the country, because it is rather costly.

Unavailability of adequate numbers of respondents is also considered to be another constraint in this research. However, efforts will be made to ensure that the sample size is not heavily affected.

5.3 Work plan

Activities to be carried out from the formulation of the research proposal up to presentation of dissertation are contained in the attached Gantt chart (Adapted: Bryman, A., and Bell, E., 2003). The chart will help the researcher to think through her time management. However, as the project progresses, the chart might be amended to indicate tasks that have been completed. Limitation with the Gantt charts is that they do not indicate task dependencies so as to know how a delay in one task could affect the completion time of another task.

6. Ethical considerations

As stated by Brynard (ibid), ethical requirements for researchers are honesty and confidentiality. In this regard, the researcher is required under all circumstances to report the truth and never present information in a biased manner.

Vaughan-Jones (2010) indicated that Lewis, P. (1981) decided that four concepts were an integral part of ethics, namely: rules, standards, codes or principles; morally right behaviour; truthfulness and how to act in specific situations. This research will follow the recommended codes of conduct.

7. Reflection

The researcher has realised that it is not easy to choose a topic. Ideas are many as well as issues that warrant a research but the challenge is to package them in such a way that the topic is neither too broad nor very trimmed but to find something in between. It is also quite a challenge as the researcher does not know whether the topic chosen has also been selected by another classmate. The researcher feels that the topic she has chosen is the one she is feeling comfortable with.

8. Literature review

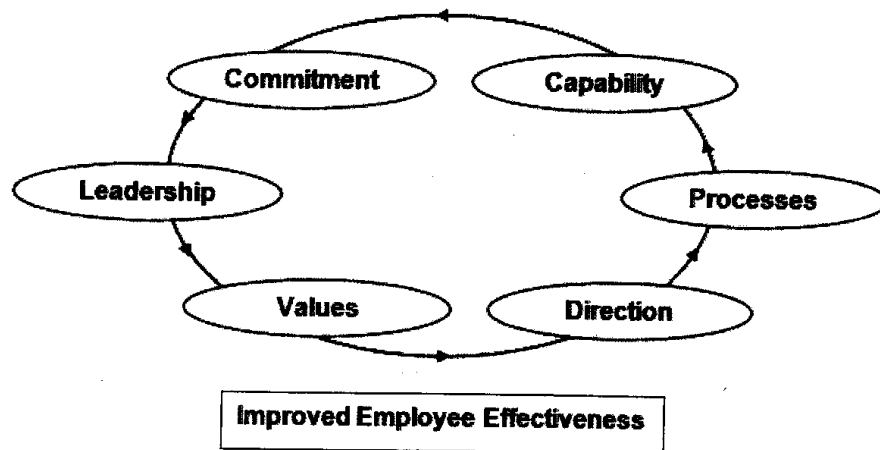
The academic theories to be employed in the Dissertation will be mainly from the Course Modules presented from September 2009- July 2010. They range from Leadership, Change

Management, Performance Management, Balanced Score card, and Motivational theories – Marshlow and Herzberg, Force Field Analysis, Honey and Mumford questionnaire, Team roles of Belbin. Each of these theories will be critical analysed by bringing out advantages and disadvantages/limitations and how they will be applied with caution. The research will not expect same results from the surveys to be exactly like what the theories say as they ought not to be treated as one size fits all. The research will therefore recommend which theories should be applied to which situations.

As for frameworks; A “what, why and how” framework for crafting research by Watson (1994b:s80) adapted by Bryman, A., and Bell, E. (2003, P.89) is considered for the research. Even though the framework provides some guide in the form of questions, it has a limitation that it does not give any example where all those questions are answered. The researcher has still to spend some time to understand and make use of the framework.

A Model for Improved Employee Effectiveness as adapted Eric Thompson

Article “Understanding Employee Effectiveness” is also considered for the research.



The model shows that the contributory factors to improved employee effectiveness are interdependent. If all of the factors are strong, they reinforce each other and create an environment that leads to improvement.

The limitation of this model is that if just one factor becomes weak, effectiveness will be lost.

As the researcher will be working on the dissertation, she might find other relevant theories that will have to be added to the above list.

References

At this point in time the references are the following:

Bryman, A., and Bell, E. (2003) *Business Research Methods*, Second Edition.

Brynard, P.A., et.al. (1997) *Introduction to Research in Public Administration and related academic disciplines*, Pretoria, S.A.

Dixon-Woods,M., et.al. (2004) *Integrative Approaches to Qualitative and Quantitative Evidence*: Health Development Agency.www.hda.nhs.uk.

Ministry of Finance, (2008) Annual Report. Windhoek, Namibia.

Office of the Prime Minister (2004).www.opm.gov.na/pms

Vaughan-Jones, C. (2010) *Presentation on Research Methods*: Windhoek, Namibia.

Zimba, R.F. (2010) *Presentation at the National Council for Higher Education Research Seminar*, University of Namibia, Oshakati Campus.

www.Improved Employee Effectiveness – The Factors that Contribute improving employee effectiveness.mht

APPENDIX ONE: Gantt Chart for Research Project. A Work Plan July–December 2010

	June	July	August	September	October	November	December
Identify Research Topic							
Formulate Research Questions							
Formulate Research Methodology							
Write Research Proposal							
Submit Research Proposal		16th					
Feedback from Module Supervisor							
Literature Review							
Design depth interview and discussion Guides			14-15				
Conduct Qualitative Survey			23-27				
Analysis of information gathered			28-29				
Design of questionnaires							
Distribution of Questionnaires							
Collection of Questionnaires							
Data capturing							
Data verification and analysis							
Write First Draft							
Write Second Draft							
Write Final Draft							
Dissertation due							18th

Adapted: Gryman, A., and Bell.E. Business Research Methods Page 81.