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HAROLD PUPKEWITZ GRADUATE SCHOOL OF BUSINESS

**An Evaluation of the Strategic Management Process of Namibian Correctional
Services and its Relevance to the Windhoek Correctional Facility**

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Mini-thesis presented in partial fulfilment of the requirements for the degree of
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School of Business at the Polytechnic of Namibia

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Declaration

Hereby I, Nghipuulenga Tumangulula Naukushu, declare that the work contained in the thesis titled: *An Evaluation of the strategic management of process of the NCS and its relevance to Windhoek Correctional Facility* is my own original work and that all sources have been accurately reported and acknowledged, and that this document has not previously in its entirety or in part been submitted at any university or any other higher education institution in order to obtain an academic qualification.

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List of acronyms

A/COMM	–	Assistant Commissioner
CCO	–	Chief Correctional Officer
CO I	–	Correctional Officer I
CO II	–	Correctional Officer II
COMM	–	Commissioner
DCG	–	Deputy Commissioner General
D/COMM	–	Deputy Commissioner
MSS	–	Ministry of Safety and Security
NCS	–	Namibian Correctional Service
NDP	–	National Development Plan
O/M/A	–	Office/Ministry/Agency
OPM	–	Office of the Prime Minister
SCCO	–	Senior Chief Correctional Officer
SCO	–	Senior Correctional Officer
S/SUPT	–	Senior Superintendent
SUPT	-	Superintendent
WCF	-	Windhoek Correctional Facility

Abstract

This study investigates the problem of dysfunctional processes in formulating, implementing, monitoring and evaluating a strategic management plan of the Ministry of Safety and Security and the National Correctional Services in Namibia using a case study of the Windhoek Central Prison. The main objective is to evaluate how participation of staff in the planning influences the extent to which strategic planning has been used to create efficiency and effectiveness in the Ministry and Department of Correctional Services. Therefore, the thesis is geared to explore answers to this research question: To what extent has the strategic plan in the MSS and successive NCS strategic management plan been used to create efficiency and effectiveness in the Ministry?

It was found that the Ministerial strategic plan 2009-2014 and NCS strategic management plan 2011-2014 were unknown documents at the WCF, which is an indication that participation of staff in the process of formulation, implementation, monitoring and evaluation of the strategic plan was minimal. It was also found that although the ministerial strategic plan cascaded to the departmental strategic management plan, it ended there without cascading down to annual plans as proposed by the OPM. The thesis recommends that the MSS and NCS should improve on their planning method to ensure that it is participatory and all employees are involved at every stage of strategic planning. The strategic plan should also be translated into annual action plans to effect achievement of the objectives being set in the five year strategic plan of the Ministry.

Key words: Strategy, Strategic Management, Public Sector, Strategy formulation, Strategy implementation, operational plans.

CHAPTER 1: INTRODUCTION AND BACKGROUND

1.1 Introduction

The Namibian Government through the Office of the Prime Minister (OPM) introduced a strategic planning system within all Government Offices, Ministries, Agencies (O/M/A), which trickled down to Regional and Local Councils with the intention of making public service not only effective, efficient and professional, but also responsive, facilitative, accountable and highly motivated (Amathila, 2006). Identifying ineffectiveness, inefficiency and lack of professionalism, the OPM also provided the Public Sector Strategic Management Framework, which is a systematic process on how to manage strategies at central, regional and local government level. Strategic management, as Smith (1994, p. 17) opines, encapsulates strategic planning, business planning, budgeting, monitoring, evaluation and action planning. Although the OPM initiative appeared brilliant, it was more likely to face challenges with regard to lack of capacity for execution and hence it is assumed that various ministries, if not all, sought the assistance of external consultants to formulate their strategic plans.

Therefore, this study tries to investigate challenges facing the implementation of a strategic management process introduced by the OPM using a case study of the Namibian Correctional Service (NCS) under the Ministry of Safety and Security (MSS). In this light, this chapter gives the background to the problem, the problem statement, objectives of the study, research questions, research methodology, purpose of the study, definition of major terms, and the chapter ends with a summary.

1.2 Background to the problem

Prior to current strategic plans of the Ministry of Safety and Security, the Namibian Correctional Service (NCS) evolved through various stages in terms of mandates, missions, visions, ethos, practices and administrative philosophies that might have some bearing on current planning. Over the years it has undergone transformation, which includes: 1. functioning as a fully-fledged ministry for ten years to a department under the Ministry of Safety and Security (MSS); 2. having rehabilitation centres that include open prisons, that are meant to prevent offender idleness as well as help the Correctional Service to attain self-sufficiency in food production and other areas (Correctional Forum, 2007, 1(1), p. 3); 3. to doing away with using the word 'prison' which carries negative or repressive connotations as it is often associated with the past traditional punitive character and objectives of prisons to a professionalised Correctional Service (NCS Newsletter, 2011, p. 9). Established in 2005, the MSS took over what was formerly known as the Ministry of Prisons and Correctional Services which had a unique mandate of contributing to public safety by way of administering court imposed sentences of offenders (NCS Strategic Management Plan, 2012, p. 1), and this informed the scope of strategic planning of the time. In order to realize the mandate as provided for under the Third National Development Plan NDP3 and respond to the call of Office of the Prime Minister (OPM), the MSS came up with its first five (5) year Strategic Plan 2009-2014. The primary purpose of the MSS Strategic Plan 2009-2014 is to guide officers, managers, and staff members of the MSS in monitoring the performance of this Ministry in the period 2009-2014 (Ministry of Safety and Security Strategic Plan, 2009, p.6). However, it is difficult to locate exact defects and problems with previous strategic

plans to make them the basis of current discourses of the MSS strategic plan in terms of its weaknesses and strengths.

One interesting point to argue is that, prior to merging with the Namibian Police (NAMPOL) under MSS, the NCS had its own strategic plan 2003-2007 that was still running at the time that the new Ministry of Safety and Security was established in 2005. The 2009-2014 strategic plan is the first 5-year strategic plan of the MSS from which the NCS derived its Strategic Management Plan 2011-2014. However, the execution rate and achievements of the 2003-2007 strategic plan appear not to have been properly measured, because there seems to be no specific document to that effect and National Development Plan 3 (NDP3) is silent on these matters. This state of affairs is likely to change with the current NDP4 that has outlined its execution, monitoring, evaluation and reporting under its Desired Outcome No. 10. As a result, NDP4 requires line ministries to submit Annual Sectorial Execution Plans (ASEPs) looking at priority areas based on identified strategies in NDP4 clearly outlining how their activities will lead to the achievement of specific targets and objectives of the NDP4. They are also required to submit biannual and annual reports on their ASEP to the National Planning Commission (NPC) for presentation by the Director General of NPC to the Cabinet of Government of Republic of Namibia (NPC, 2012, p. 114).

The approach employed by the MSS of linking the plan to High level Statement such as the Vision 2030 and NDPs, to having a Ministerial Plan which cascades down to departmental Strategic Management Plans seems to correspond with Thompson, Strickland and Gamble (2010, p. 38) who identified four distinct levels of strategy, each of which involves different facets of the company's overall strategy.

- Corporate strategy boosts the combined performance of the set of businesses that the company has diversified into. This can be equated to the National Development Plans (**NDPs**).
- Business strategy concerns the actions and approaches crafted to produce successful performance in one specific line of business (**MSS Strategic Plan**).
- Functional area strategies are concerned with the actions and practices employed in managing particular functions or business processes or activities within a business (**NCS Strategic Management Plan**).
- Operating strategies concern the relatively narrow strategic initiatives and approaches for managing key operating units and specific operating activities (**Divisional and/or institutional plans**).

Thompson et al. (2010, p. 38) further argue that of all the four levels of strategies, operating strategies add further detail and completeness to functional strategies and the overall business strategy, therefore they add more value to the other strategies in the company, hence failure of operations may damage the whole organisation. However, contrary to this, none of the thirteen (13) correctional institutions of the NCS features prominently in either the Ministerial plan or the Strategic Management Plan of the NCS. They also do not seem to have strategic or annual/management plans of their own, which means that existing strategic plans did not reach the operating level. This is however not to say that such institutions are not run properly, but this seem to indicate that they lack appropriate direction and yardsticks by which to measure their performances.

The unavailability of operating strategies may be due to reasons as identified by Smith (1994, p. 1) on why the public sector does not see the reason to plan: “1. There is never time to plan due to the pressure of urgent day to day work. 2. There is little

point in planning because the future is too uncertain and circumstances can change at a stroke”. This seems to be true of a correctional facility whereby management may feel that they have no control over crime and the number of offenders that the institution may receive from the courts in a given period, therefore it may appear pointless to plan since there are too many uncertainties coupled with routine activities.

In an effort to manage offenders as one of the strategic priorities of the Strategic Management Plan, the NCS has launched the Offender Risk Management Correctional Strategy (ORMCS), which was piloted at Windhoek Correctional Facility and Elizabeth Nepemba Correctional Facility. This strategy is based on the premise that offenders are not alike in terms of their crime, backgrounds and factors that may have led them to commit crimes. It gives guidance on how offenders should be dealt with from reception, to the unit, rehabilitation and release.

Moreover, having the strategic plan cascading to institutions would strengthen the ministry’s efforts to prioritize frontline operations while not only maximising the effectiveness and efficiency of utilization of the taxpayer’s money that the ministry receives, but it also re-affirms the ministry’s efforts to provide essential support to national and economic security. On the basis of this background provided above, the problem statement of this thesis is summarised as below.

1.2.1 Statement of the problem.

The primary purpose of the Strategic Plan 2009-2014 of the MSS is to guide officers, managers, and staff members in monitoring the performance of the Ministry for the period of 2009-2014 (MSS Strategic Plan, 2009, p.6) and it was cascaded to Departmental levels. As a result, the Namibian Correctional Service has formulated a Strategic Management Plan 2012-2014. However, it is not clear whether this strategic

plan is actually the guiding tool for all its employees or just for top management. In that case then the actual implementation of the plan is also more likely to be adversely affected since other sectors of the workforce may not be following the plan in execution of their duties.

It is hypothesised that the design and format of the earlier strategic planning process in the MSS does not easily translate to action planning and implementation thereof, because it fails to complete the transition from its visionary stage. This hypothesis is based on the assumption that the MSS has quickly jumped from mission formulation to strategy development without determining the critical success indicators embodied in the mission statement. Subsequently, there was also not enough time and proper ways to communicate and cascade the plan to the other employees, especially at the bottom of the hierarchy, who appear to continue to discharge their duties outside the ambit of the strategic plan.

Therefore, at present it would be assumed that this has created confusion for employees on how the plan is to be translated in their work activities as well as on how they can take ownership of the plan itself. The degree of participation and involvement of key stakeholders (employees) in all phases of the planning process (preparation, strategy development, evaluation, and implementation) could not be determined and hence it is assumed that participation was insignificant. Hence, the problem being investigated in this study is that there was inadequate participation during the crafting of the strategic plan of the MSS and the Strategic Management Plan of the Namibian Correctional Service. On the basis of this problem, this thesis is geared to explore answers for the following research questions:

Research questions

1. To what extent has the strategic plan in the MSS and successive NCS strategic management plan been used to create efficiency and effectiveness in the Ministry?
2. What are the constraints and to what extent do these constraints hinder effective implementation of strategic plans and how were they dealt with?
3. To what extent have the NCS employees at all levels been involved in formulating the strategic plan?

1.2.2 The study objectives.

The purpose of this study is to:

1. Evaluate the extent to which strategic planning has been used to create efficiency and effectiveness in the Ministry and Department of Correctional Service in particular.
2. Assess how the plan has been cascaded into operational plans that will eventually lead to its implementation.
3. Identify and analyse the constraints hindering effective implementation of the strategic plan in the MSS.
4. Determine the extent to which members have been involved in formulating the ministerial and departmental plans.
5. Assess the MSS' reviewing, monitoring and evaluating mechanisms for the implementation of its strategic plan.

1.3 Significance of the study

This thesis explores the theories and literature on planning, strategic planning and implementation and that makes it an important source of information for future

research in this field. It also provides insight into the importance of involvement of operational level employees if organizations of whatever kind are to implement their plans fully. Furthermore it will be a great asset in guiding the ministry, as a learning organization, and NCS in particular on how to involve all staff members, including operational level, in the planning process in order to maximize the successful implementation of the plans.

1.4 Limitations of the study

This study is being conducted as part of a structured study programme which has to be finalized within a specific timeframe, as a result not all staff members will be interviewed to gauge their personal view of the research problem and only one of 13 correctional facilities under the NCS is selected for the study. Increasing the sample size will not only make data collection and analysis cumbersome, it will also have financial implications as well as lead to an extension of the available time. Since the researcher is an employee at Windhoek Correctional Facility, some degree of subjectivity may not be ruled out.

1.5 Delimitation of the study

This study examines the strategic management process at MSS, but it excludes the department of NAMPOL, thus only focusing on the Namibia Correctional Services and Windhoek Correctional Facility. Extending the study to the whole Ministry and/or other 12 facilities is not only going to increase the target population and in return the cost, it will also extend the time for data collection and analysis, which may make it difficult to complete the study in the allocated time. An organisation has routine work besides the strategic plan implementation however; this study excluded the routine

activities of this organisation. There may be other dynamics at play in the strategic management of this ministry and they are also excluded from this study.

1.6 Organisation of the study

The study is organised in 5 chapters as follows:

Chapter 1: Introduction and background

Chapter 1 provides the background of the strategic planning and management in the Ministry of Safety and Security, and therefore locates the research problem. It further outlines the objectives of the study and research questions before explaining the significance of the study, its limitation and scope. It also clarifies key concepts and indicates chapter sequencing.

Chapter 2: Literature Review

This chapter covers the literature that constitutes the theoretical body of knowledge on the subject that guides the research, thereby highlighting what other scholars and researchers have documented on the subject of study from various sources.

Chapter 3: Research Methodology

This chapter outlines the methodology and how the research has been designed, population and sampling procedures, instruments used in data gathering, how the data has been analysed, research constraints and ethical consideration.

Chapter 4: A Case Study of the Ministry of Safety and Security (or Data Collection and Analysis)

In this chapter the study will present and analyse the data that has been collected from information gathered through interviews and other sources.

Chapter 5: Conclusions and Recommendations

This chapter summarises the major findings in the form of conclusions and draws recommendations, thereupon making suggestions for further research.

1.7. Definitions of major terms and concepts

- a) **Planning** – Is a process that includes defining goals, establishing strategy, and developing plans to coordinate activities (Robbins & Judge, 2011 p. 40).
- b) **Strategic Management** – Ehlers and Lazenby (2007, p. 2) opine that strategic management is the process whereby all the organisational functions and resources are integrated and coordinated to implement formulated strategies which are aligned with the environment, in order to achieve the long-term objectives of the organisation and therefore gain a competitive advantage through adding value for the stakeholders.
- c) **Strategic planning** – According to Johnson, Whittington and Scholes (2011, p. 539) strategic planning is a systematic, step-by-step procedure to develop an organisation's strategy. This is the definition adopted in this thesis.
- d) **Strategy** – Bryson (2004, p. 46) describes strategy as a pattern of purposes, policies, programs, actions, decision, or resource allocations that define what an organisation is, what it does and why it does it.
- e) **Strategy implementation** – According to Wheelen and Hunger (2004, p. 192) it is the sum total of the activities and choices required for the execution of a strategic plan.

1.8 Conclusion

Strategic management is one of the management tools that are believed to bring about change in organisations whatever the size or sector, eventually making them successful if effectively implemented. It involves different steps, which need the involvement and participation of different sections of an organisation. The Government of Namibia identified strategic management as one of the steps that will lead to the achievement of the national Vision 2030, thus it called on all public institutions to construct Strategic Plans. As a result, the OPM provided a guideline document, the Public Sector Strategic Management Framework, which is a step-by-step process that O/M/As should follow.

This chapter gave a brief overview of the study starting with the introduction and background of the problem, problem statement, the main research question and sub-questions, objectives of the research, purpose of the study, significance of the study, limitations, delimitations, and ending with definition of the main terms. The next chapter will look at the theoretical aspects of the study by means of a literature review.

CHAPTER 2: LITERATURE REVIEW

2.1 Introduction

Chapter 1 contextualised the research topic and also elaborated reasons to investigate the problem of formulation, implementation and monitoring strategic management and planning processes in the Ministry of Safety and Security in Namibia. This chapter delineates a range of literature, including theories, and models underpinning the general discourse of strategic management and planning. The chapter starts with defining a strategy in general terms within the context of Mintzberg and Waters' (1985) model and further juxtaposes different emergent strategies and their relevance to the situation under study. It was found in this chapter that one of the major functions of a strategy is strategic management and its processes in the organisation in general and in the public sector in particular. Based on the necessity of investigating strategic management systems this chapter investigated these systems and approaches and eventually identified lacunae in existing knowledge, which this study intends to fill. This chapter ends with a comprehensive conclusion.

2.2 Strategy Defined

Mintzberg (1987, pp. 11-16) defines strategy using 5 Ps of strategy that:

It is a Plan, Ploy, Pattern, Position and Perspective. Strategy is a Plan – some sort of consciously intended course of action, a guideline to deal with a situation. Strategy is a Ploy – a specific manoeuvre intended to outwit an opponent or competitor.

Strategy is a Pattern – a stream of action i.e. consistency in behaviour whether or not intended. Strategy is a Position – it is a mediating force between the organisation and the environment. Strategy is a Perspective – its content consists not just of a chosen position, but of an ingrained way of perceiving the world.

Therefore, Coulter (2010, p. 5) seems to concur with the definition of a strategy being a plan and position adding that strategy is an organisation's goal-directed plans and actions that align (match) its capabilities and resources with the opportunities and threats in its environment. Thompson, Strickland and Gamble (2010, p. 6) also seem to agree with Mintzberg's definition of a strategy as a ploy, pattern and perspective stating that a company's strategy consists of the competitive moves and business approaches that managers employ to grow the business, attract and please customers, compete successfully, conduct operations, and achieve the targeted levels of organisational performance. Alfred D. Chandler as quoted in Johnson, Whittington and Scholes (2011) adds that "strategy is the determination of the long-run goals and objectives of an enterprise and the adoption of courses of action and the allocation of resources necessary for carrying out these goals" (p. 4). All these definitions suggest that a strategy is planned action by an organisation to enable it to survive in its environment by meeting its customers' needs, competing, dealing with challenges and learning in the process.

Since non-profit organisations including public sector also compete for resources, they need to develop strategies that outline what they are planning to achieve based on their organisational mandate in order to convince the funding agency why they need resources. However, Nutt and Backoff (1992; as quoted by McBain & Smith, 2010, p. 4) noted that the public sector differs from the private organisations in terms of 1. environmental factors e.g. the level of political influence and legal mandate, etc.; 2. transactional factors e.g. scope of impact is broader and there is a need for accountability due to public scrutiny of all transactions; 3. internal processes e.g. there is no common bottom line such as profit, consequently performance measurement becomes complex and difficult. This ties in well with this

study as it explains the rationale of Strategic Planning in the Namibian Public Sector as part of findings in Chapter 4 of this study.

2.3. Mintzberg and Waters' Model

The Mintzberg and Waters' (1985) model suggests that the strategy process involves five types of strategies i.e. Intended, Deliberate, Unrealised, Emergent and Realised. The model suggests that strategy is a pattern in a stream of decisions since the leaders' plans and intentions (intended strategies) may differ from what the organisation eventually does (realised strategies), which means strategies may be deliberate (realised as intended) or emergent (realised despite the absence of intentions) (Mintzberg & Waters, 1985). This is due to many factors in the environment that affect how strategies are implemented because the world does not stand still while strategy is being implemented and the environment is unpredictable, not benign and also uncontrollable. Realised strategy is the strategy that an organisation actually follows as part of the organisation's intended strategy i.e. what the firm planned to do; the firm's deliberate strategy i.e. the parts of the intended strategy that the firm continues to pursue over time; and its emergent strategy i.e. what the firm did in reaction to unexpected opportunities and challenges (Ketchen & Short, 2011). The deliberate and emergent strategy model is depicted in the diagram below:

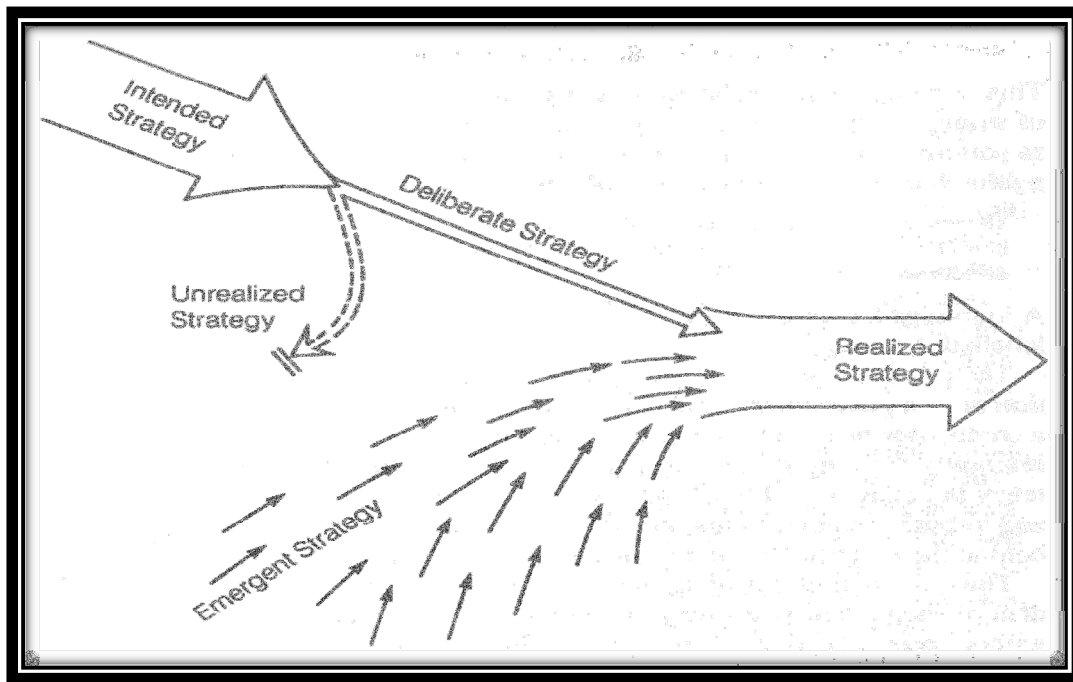


Figure 2.1. Emergent and deliberate strategies.

Adapted from Mintzberg and Waters (1987, p. 14)

This study attempts to find out how the MSS develops its intended strategies and who are involved in that process, and the challenges that might impact on deliberate strategies that remain after the abandonment unrealised strategies and whether realised strategies are being monitored and evaluated to ensure that emergent strategies with all their opportunities and challenges are taken note of and the existing strategy is adjusted accordingly.

According to Mintzberg and Waters (1985, p. 258) there is no strategy that is pure deliberate or pure emergent since for a strategy to be realised as intended it must be articulated in concrete detail, it must be common to all actors in the organisation and it must have been realised exactly as intended. While for a strategy to be perfectly emergent there must be consistency in action over time in the absence of intention about it.

Consequently, since no strategy can be said to be pure deliberate or emergent, Mintzberg and Waters (1985, pp. 259-269) identified eight (8) different types of strategies on a continuum from deliberate to emergent. They are:

1. Planned Strategy – is intended by the organisation and it always originate from the top leadership of the organisation. It is backed up by formal control to ensure surprise-free implementation.
2. Entrepreneurial Strategy – the individual vision and the central actor's concept of his/her organisation's place in its world. Since one person controls the strategy the degree of adaptation and flexibility is high because the person can react quickly to feedback on past actions or to new opportunities and threats in the environment.
3. Ideological strategy – it originates from the shared beliefs and the collective vision of members of an organisation who identify strongly with it.
4. Umbrella strategy – leaders set general guidelines for behaviour, define boundaries and then let other actors manoeuvre within them. Such strategy is deliberate and emergent, as well as deliberately emergent. Those who have the vision do not control its realisation; instead they must convince others to pursue it.
5. Process strategy – leaders provide direction and exercise indirect influence, rather than controlling strategy through boundaries and targets. They instead control the process while leaving other actors to determine the content of the strategy and give them considerable discretion to determine outcomes due to the complexity, unpredictability and uncontrollability of the environment.
6. Unconnected strategy – originates from individual actors in the organisation. Although such a strategy may be deliberate for the individual who initiate it, it

is always emergent for the organisation because it is not connected to the intentions of the whole organisation.

7. Consensus strategy – is emergent as it grows out of mutual adjustment among different actors as they react to the environment.
8. Imposed strategy – not intended but imposed as a result of environmental pressure/ external forces.

It seems the Namibian Public Sector used process strategy when national leaders provided direction through Vision 2030 and continually through NDPs setting the main targets, while allowing organisational heads to determine the content of their organisational strategy based on their specific circumstances. However, such public sector organisations are expected to provide their Annual Sector Execution Plans as well as report on yearly achievements as outlined in the new NDP4.

2.4. The theory of four levels of strategy

Besides Mintzberg and Waters' (1985) different types of strategy, Thompson et al. (2010), Ehlers and Lazenby (2007) and Johnson et al. (2011) identified four distinct levels of strategy, each of which involves different facets of the company's overall strategy but differing in terms of time frame, function and level as follows:

- Corporate strategy or grand strategies for the overall organisation - boosts the combined performance of the set of businesses that the company has diversified into and how value is added to the constituent businesses of the organisation as a whole.

- Business strategy or subunit strategies (departmental, divisional, etc.) concern the actions and approaches crafted to produce successful performance and compete in one specific line of business.
- Functional-area strategies or programs, service or business process strategies – concern the actions and practices employed in managing particular functions or business processes or activities within a business.
- Operating strategies or functional strategies (such as financial, staffing, facilities, IT, etc.) – concern the relatively narrow strategic initiatives and approaches for managing key operating units and specific operating activities.

In terms of the Namibian Public Sector, Vision 2030 and its five year NDPs are the Corporate level strategy, Sectorial or O/M/As and SOEs five year plans are at the level of Business level Strategy, Departmental or directorate plans are equivalent to functional strategy while Annual plans or divisional plans are equivalent to operating plans.

2.5 Strategic Management defined

David (2005, p. 5) defines strategic management as “the art and science of formulating, implementing and evaluating cross-functional decisions that enable an organisation to achieve its objectives”. Similarly, Ketchen and Short (2011), and Coulter (2010) further define the concept of strategic management as a process of understanding strategy and performance, analysing the current situation, developing appropriate strategies, putting those strategies into action, and evaluation and changing those strategies as needed. This seems to tie in with what Thompson et al. (2010, p. 24) stated, that the managerial process of crafting and executing strategy consists of five interrelated and integrated phases:

1. Developing a strategic vision;
2. Setting objectives;
3. Crafting a strategy to achieve the objectives;
4. Implementing and executing the chosen strategy efficiently and effectively;
5. Evaluating performance and initiating corrective adjustments.

Smit (1994) adds that “strategic management will embrace strategic planning, business planning, budgeting, monitoring, evaluation and action planning” (p. 17).

David (2003, p. 5) further notes that strategic management is sometimes used interchangeably with strategic planning with the former being used in the academia while the latter is used more in the business world.

However, according to (Coulter, 2010) simply examining the situation, determining the vision and formulating a strategy is not enough since it will not take the organisation to where it wants to be if the strategy cannot be implemented; hence strategy implementation is very important in the strategic management process. Since strategies are long-range plans, other threats may emerge in the process of implementing the existing strategy, therefore evaluation of outcomes and performance on the current strategy ought to be carried out. Should the outcome not measure up to expectations or strategic goals, then the strategy itself or its implementation may need to be modified. This supports the Mintzberg and Waters’ (1985) model that proffers that emergent strategies may occur during implementation since the world is unpredictable, not benign and uncontrollable, however emergent strategies need to be monitored and the existing strategy adjusted accordingly. This may relate to Office of the Prime Minister (OPM) guideline that the Namibia Public Sector should follow the

same strategic management process, and this is empirically proven in Chapter 4 of this study.

2.5.1 Features and steps of the strategic management process.

There are different features, stages, steps, frameworks, etc. used in the strategic management process depending on the type, size, sector, scope, focus area, etc. of the organisation. According to Smith (1994, p. 18) literature suggests some key features of strategic management as summarised in figure 2.2 below.

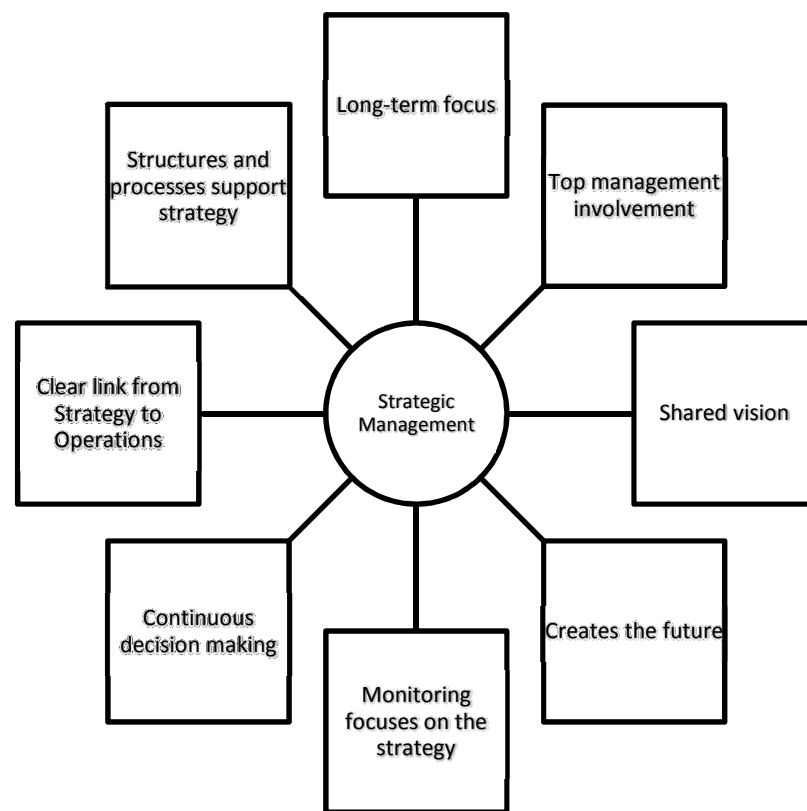


Figure 2.2 Features of strategic management

Adapted from: Smith, 1994, p.18

The eight (8) steps are explicated as follows:

1. Long-term focus emphasises that regular monitoring should be designed to inform long-term prospects and results should be used to take action focused on improving the prospects of meeting long-term objectives.

2. Top management involvement is necessary in the formulation of long-term strategy. It needs to ensure that the organisation has an overall sense of direction, and that it consciously reviews and determines objectives for the long-term and that there are coherent strategies to meet those objectives.
3. Shared vision implies that a wide understanding of critical factors is essential since implementation of strategy depends upon actions taken by people throughout the organisation.
4. Creates the future – a strategy should proactively look to the future.
5. Monitoring the strategy – in addition to monitoring business results, monitoring should also look at developments in the external environment which could or do have major implications for the strategy.
6. Continuous decision-making – a strategy should be sensitive to the external environment and change itself when necessary.
7. Clear links from strategy to operations – there should be a strong link between strategy and action plans, projects and budgets. Action plans, projects and budgets have to be stressed because long-term objectives and vision are not sufficient in themselves.
8. Structures and processes support strategy – a strategy should be formulated in accordance with current structures and processes and ensure that such structures and processes support and reinforce the qualities required for long-term delivery of strategy.

The features and steps explained above tie in with this study because they give a guide on the minimum requirements of a strategic management as well as a step by step guide of what needs to be done, who need to be involved and why. Chapter 4 below will indicate whether these are the steps being followed at NCS.

2.5.2 Public Sector Strategic Management.

The public sector is faced with the following global challenges, as illustrated by McKinsey and Company as quoted in Technology One (2010, p.5) as follows:

We believe there are five main implications for the public sector: governments must radically increase the productivity of public service; change their relationships with constituents to address their ever increasing demands; redraw their organisational landscapes to deliver better services; achieve a major cultural change that puts data at the heart of policy making and management practices; and find new ways to compete against the private sector to attract and retain scarce talent. The nature and scale of these trends make the coming of decade a defining period for the public sector.

Technology One (2010, p. 7) presents a strategic management system

comprising of six stages which was developed and adapted for use in the public sector.

It is a combination of Kaplan and Norton's strategic management system and John Bryson's strategic change cycle as depicted on figure 2.3 below.

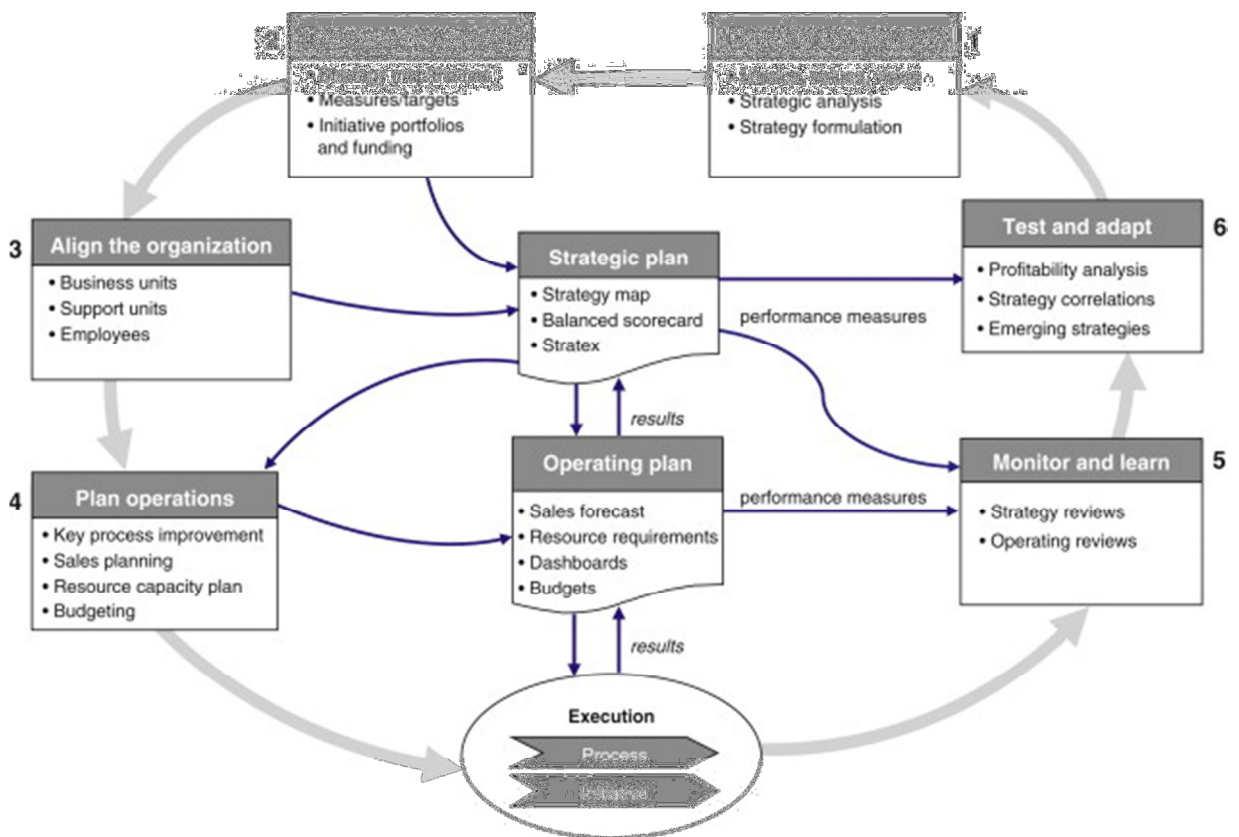


Figure 2.3 The Strategic management system: Linking strategy to operations

Source: Technology One White Paper. 2010, p. 7

The 6 stages can be described as follow according to Technology One White Paper (2010, pp. 8-13):

Stage 1: Develop the strategy

This step involves obtaining initial agreement and buy-in from stakeholders. It also requires the organisation to restate its mission; value and vision to ensure that needs of all key stakeholders are incorporated. Furthermore the organisation should analyse both external and internal environments together with the existing strategic plan. Finally it should develop direction that determines sustainable outputs or outcomes that maximise resources, efficiency and effectiveness.

Stage 2: Plan the strategy

This involves managers developing strategic objectives, measures, targets, initiatives, critical issues, referencing the existing strategic plan and budget to guide action, and resource allocation.

Stage 3: Organisational alignment

Successful implementation of strategy is achieved through aligning business units, support units and employees, cascading down the plans, and communication programs aimed at creating awareness.

Stage 4: Plan operations

Targets and initiatives are cascaded to operational plans for resources, process improvements and measurement tools. All objectives outlined in the plan are converted into measures, targets, gaps and soft targets and cascaded into divisional and functional areas.

Stage 5: Monitor and learn.

This involves conducting strategic review meetings monthly to examine whether the strategy is working, identify problem areas, barriers and challenges and their cause, recommend remedial action, and assign responsibility for achieving the targeted performance.

Stage 6: Test and adapt

This involves a major review of the strategy annually or quarterly which results in managers updating the strategy, modifying the strategic plan and key performance indicators and starting a new strategic management system with new targets, initiatives and updated financial plan.

The system as depicted by figure 2.3 above shows that strategic management is a cyclic process with dependent and interlinked steps. However, a sub-step like profitability is not relevant to this study since generally, the public sector is in the business of creating public value through services rather than profit driven.

In its efforts to synchronise the Public Sector Strategic Plans, the Office of the Prime Minister (OPM) issued a Public Service Strategic Management Framework which all public sector organisations should follow in developing their 5-year Strategic Plans which have been mandatory in the Namibian public sector since 2005. The strategic diamond below is a step by step process that all offices, ministries and agencies (O/M/As) of government should follow.

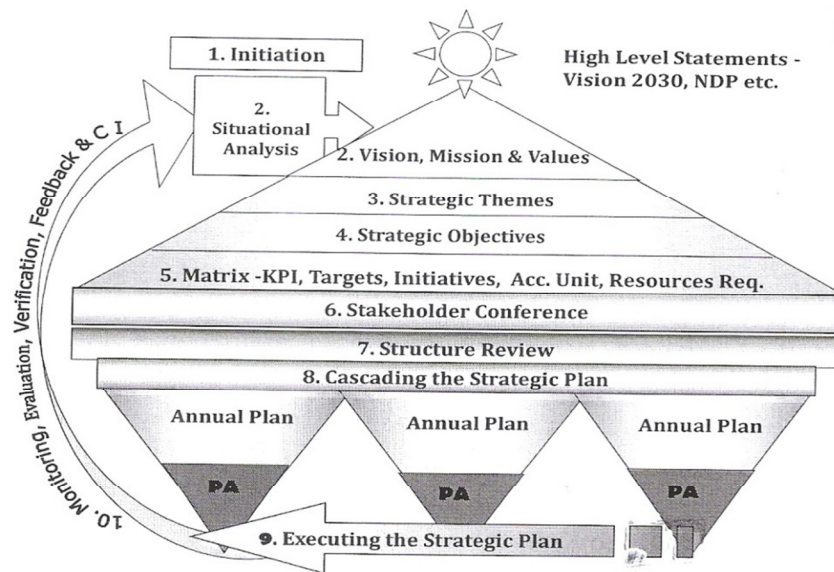


Figure 2.4: Strategic Diamond of the Namibian Public Sector

Source: Public Service Strategic Management Framework, Namibia, 2011, p. 2

The Namibia Public Sector Strategic Diamond seems to tie in more with what the Technology One White Paper proposes although it has 10 steps instead of 6. The diamond is a more systematic step by step process while the process of Technology One is more cyclic and interlinked. This study is examining how the NCS developed its Strategic Management Plan and how it is being implemented. The Public Service Strategic Management Framework (2011, pp. 3-10) presents the stages of the diamond as follows:

1. Initiation – top management should initiate the strategic planning process and the Permanent Secretary should lead the process and provide the necessary leadership. A Ministerial Implementation Team comprised of management and other staff should be created to oversee the development, implementation and monitoring of the strategic plan.
2. Situation analysis – involves clarifying the mandate, stakeholder analysis, environmental scanning and identifying key strategic issues.

- Vision, Mission and Values – these need to be created to provide strategic direction, clarify the purpose to stakeholders and provide for ways in which goals will be reached.
3. Strategic themes – are focus areas that help the O/M/As arrive at the intended destination.
 4. Strategic objectives – are a description of what should be done to achieve the strategy.
 5. Metrics
 - Key performance indicators – are metrics that shows how the strategy is being implemented.
 - Performance targets – are what should be achieved in a given time.
 - Strategic initiative – programs, projects or activities that turn the strategy into operational terms.
 - Accountable unit – shows who should take responsibility for a specific objective.
 - Resource requirements – what resources i.e. financial, equipment, etc. are needed to achieve the objectives.
 6. Stakeholders' conference – the framework does not explain what is meant by this, but the researcher is of the opinion that stakeholders' opinion should be sought in order to ensure that their interests are taken into account and they are informed of what is happening in the organisation.
 7. Structure review – again the framework did not explain this step but the researcher feel that it is meant to align the structure to the strategy.

8. Cascading the strategic plan – involves translating the strategic plan into operational level plans through annual plans. Other staff should be encouraged to participate in order to increase their motivation to make the plan work.
9. Executing the strategic plan – involves putting the formulated strategies into action through annual work plans, motivating employees, linking staff performance to organisational performance, etc.
10. Monitoring, Evaluation, Verification, Feedback and Collecting Information – involves measuring performance in order to detect what is going right or wrong and taking corrective action to ensure successful implementation of the strategic plan.

Steps 8-10 are the focus of this study as it tries to find out whether the strategic plan has been cascaded into annual plans that should be implemented by institutions including Windhoek Correctional Facility, who was involved in that process, what measures, if any, were taken to ensure successful execution of the strategic plan and what mechanisms are in place for monitoring and evaluation.

2.6 Strategic Plan defined

“A strategic plan is a plan for coping with industry and competitive conditions, combating the expected actions of the industry’s key players, and confronting the challenges and issues that stand as obstacles to the company’s success” (Thompson et al., 2010, p. 41). In the public sector strategic planning is meant to create public value by means of producing enterprises, policies, programs, projects, services, or infrastructures that advance the public interest and the common good at a reasonable cost (Bryson, 2004, p. 8).

2.6.1 Benefits of Strategic planning.

According to Bryson and Alston (2005), and Bryson (2004) strategic planning is intended to enhance an organisation's ability to think, act and learn strategically, through dialogue and conversation among key players. It leads to improved decision making, enhanced efficiency as better results are achieved with less, enhanced effectiveness of broader societal systems, and empowerment and commitment of people involved by enabling them to fulfil their roles and responsibilities. Furthermore it leads to improved understanding, better learning and enhanced organisational capabilities as the organisation understands its situation far more clearly, improved communication and public relations, and a heightened sense of teamwork and increased political support.

Additional benefits of strategic planning according to Mintzberg (1994) and Ehlers (2007) include: high productivity and profitability, improved coordination of activities; better resources and time management, and it also enables organisations to take the future into account, to be rational and to control.

In spite of the presence of the obvious benefits of strategic planning, some organisations avoid it on flimsy grounds as outlined by Bryson et al. (2005) and David (2003) such as: there is lack of policy broad and top management support and negativity that strategic planning will not lead to perfection. Additional reasons are that such organisations may perceive themselves as being too big or small to undertake strategic planning; may think that personnel policies and individual performance goals are enough. They may also lack direction and motivation; have a high sense of satisfaction thinking everything is fine or are afraid of failing; thinking planning will waste time or that it is too expensive. Smith (1994) echoes similar sentiments by noting that some public sector organisations advance the arguments that planning is

not necessary because there is no time for it due to the pressure of urgent day to day work and that there is little point in planning because the future is too uncertain and circumstances can change instantly (p. 1).

While it is an undeniable fact that strategic planning is in general good for organisations, Bryson et al. (2005, p. 12) found two legitimate reasons why some organisations should not undertake strategic planning:

1. Strategic planning may not be the best first step for an organisation whose 'roof has fallen in'. If an organisation is facing a major organisational problem, such as when too many critical positions are vacant, then it may not be wise to indulge in strategic planning.
2. If an organisation lacks the skills or resources or the commitment of key decision makers to carry through an effective strategic planning process and produce a good plan, the effort should not be undertaken.

Available literature clearly expounds the benefits of strategic planning, this study focusses on investigating whether the MSS strategic plan has been used to improve efficiency, effectiveness and professionalism, as well as to make the public service responsive, facilitative, accountable and highly motivated, as stated by Amathila (2006), and presented in Chapter 4 of this thesis.

2.6.2 The Strategic Planning Process.

Ethridge, Futura, Stefanski, and Tekie (1997, p. 5) put forward six (6) elements of the Strategic Planning Process for non-profit organisations, namely:

1. Conduct a stakeholder analysis;
2. Review organisational mandates and mission statements;
3. Assess past organisational highs, lows, and themes;
4. Analyse strengths, weaknesses, opportunities, and threats (SWOT);

5. List and prioritise strategic issues;
6. Create plans to manage these strategic issues.

The steps involved in the strategic planning process are as follows:

2.6.2.1 *Situation analysis:*

According to Coulter (2010, p. 242) analysing the situation involves scanning the external environment to gather information on the positive and negative trends that might affect the organisation's strategic decisions. It further involves internal environmental analysis which centres on the assessment of the organisations' resources and capabilities and its strengths and weaknesses in specific areas. This allows strategic decision makers to see what distinctive capabilities, core competencies, and competitive advantage a Not-for-Profit organization might have or might need to develop. Environmental scanning involves the following analysis:

SWOT analysis.

An analysis of the Strengths, Weaknesses, Opportunities and Threats (SWOT) of an organisation is important as it forms a basis against which to generate strategic options and assess a future course of action (Johnson et al., 2011). The organisation's internal strengths and weaknesses have to be analysed to determine how they can be used or strengthened to take advantage of opportunities and deal to with threats in the external environment. However, Valentin (2005) noted that SWOT guidelines only offer associated generic SWOTs; promote superficial scanning; do not readily accommodate trade-offs; and lack criteria for prioritising SWOTs. The researcher is of the opinion that while SWOT may be useful in assisting an organisation to position itself in its environment, it shouldn't be used conclusively as the only tool to diagnose all organisational problems.

PESTLE analysis.

Although the future can never be predicted perfectly it is important that organisations and managers try to analyse their environments as carefully as they can in order to anticipate and influence environmental change. Six key drivers of change have been identified, i.e. environmental factors likely to have a high impact on the success or failure of strategy. These are: Political, Economic, Social, Technological, Legal (regulatory) and Environmental (PESTLE) or PESTEL (Johnson et al., 2011). The PESTLE analysis helps in identifying changes in the environment that create opportunity, may be a threat and need to be monitored and it provides a basis for assessing risks that the business may face in implementing its strategy (Simister, 2011). Therefore it helps in identifying the environmental changes, how they will impact on the business and what the business can do to mitigate threats and take advantage of opportunities.

Stakeholders' analysis.

Stakeholders, according to Johnson et al. (2011, p. 119), are those individuals or groups that depend on an organisation to fulfil their own goals and on whom, in turn, the organisation depends on to achieve its own goals. According to Bryson (1995, p. 27) "stakeholders are persons, groups, or organisations that can lay a claim on an organisation's attention, resources, or output and are affected by that output". However, an organisation will only know what it should do to satisfy those stakeholders if it knows who they are, what criteria they use to judge the organisation and how the organisation is performing against those criteria (Bryson, 2004, p. 107). Stakeholders are divided into two groups, i.e. external (customers/consumers of the organisation's products or services, service providers, partners, etc.) and internal (employees, other departments, etc.). Different organisations have different types of

stakeholders depending on the industry, sector, etc. Both internal and external stakeholders have a major role to play in the successful implementation of an organisational strategy. An example of an organisation's stakeholders is depicted in Figure 2.5 below:

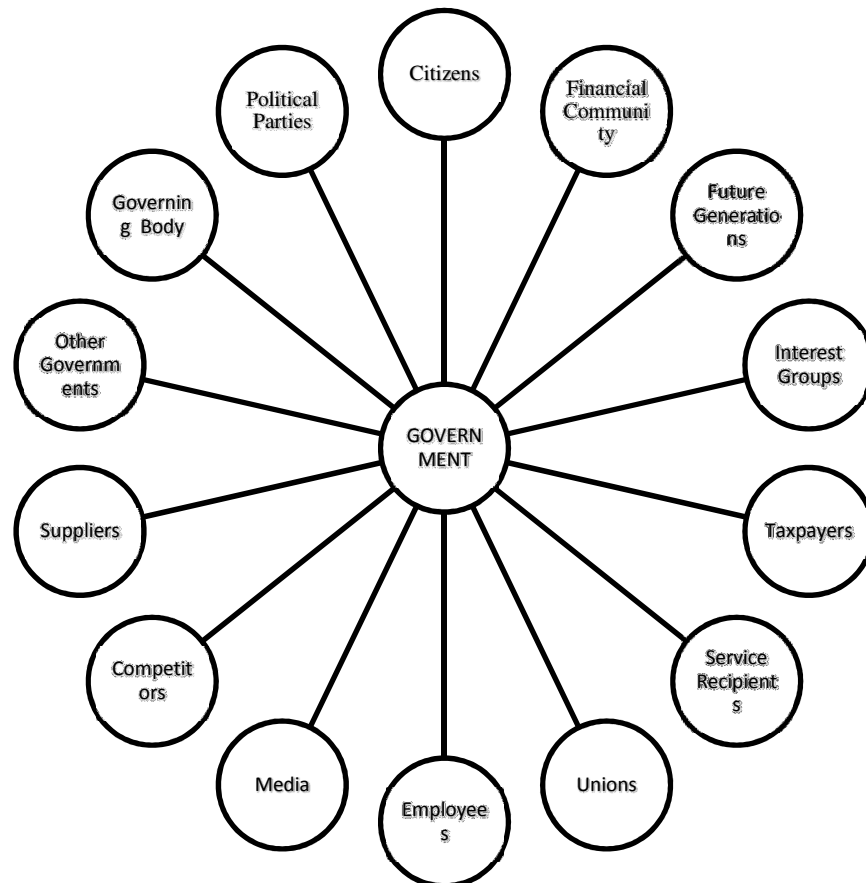


Figure 2.5: Stakeholder map for a government.

Adapted from: Bryson, 2004, p. 109

Johnson et al. (2011) found that taking stakeholder expectation and influence into account is an important aspect of strategy choice, hence a stakeholder mapping needs to be done. This helps an organisation to gain an understanding of stakeholder power as well as know who the key players are, who need to be kept informed about what is happening in the organisation, who need to be kept satisfied and who should be given minimal effort. Stakeholder mapping can also help an organisation to

understand which stakeholder expectation need to be considered, actual levels of interest and power, whether repositioning of certain stakeholders is desirable or feasible. However, this study will not explore this aspect in detail.

2.6.2.2 *Strategy formulation.*

Calfee (2006) notes that any strategy development efforts always come short in drawing fully all the talents and insights of people in it. This situation arises in spite of efforts to increasingly solicit inputs widely in the organization by involving members of the organisation at all levels. The net result is that the strategy is predominantly owned by senior management yet it has to rely on a disenfranchised workforce to execute it. The next section looks at the different role players in strategic formulation and who should be involved in strategy formulation.

Top Management.

According to Coulter (2010) an organisation's top managers must provide effective strategic leadership by means of determining the organisation's purpose, exploiting and maintaining the organisation's core competencies, developing human capital, creating and sustaining a strong culture, emphasising ethical decisions and practices, and establishing appropriately balanced organisational control. Similarly, as Smith (1994) noted, top management needs to ensure that the organisation has an overall sense of direction, and that they consciously review and determine objectives for the long term and that there are coherent strategies to meet those objectives. This ties in with what the OPM recommended to O/M/As that if the process of strategic planning is to succeed, it is vital that the Minister, Permanent Secretary and the entire management understand the process (Namibia, Public Service Strategic Management Framework, 2011, p. 4).

However, according to Dandira (2011, p. 32),

there are some pitfalls that top management need to rectify in managing the organisation's strategies i.e. key staff create a strategic plan without the input of implementers; the strategic plan is brought in the organisation and it is issued to employees or they don't have access to it; staff are asked to implement a plan they don't have or know while it is gathering dust on managers' shelves; final implementers don't get trained on what strategic planning is all about; company vision, mission statements and values are displayed on reception areas but they mean little to a lot of workers; and implementation becomes difficult because they were left out during formulation.

Organisation-wide involvement.

Calfee (2010) stated that to be successfully executed, winning strategies need the kind of widespread organisational support that comes only when members from across the organisation get deeply engaged in the process of strategy development. And to be truly sustainable, the strategy must itself be aligned with a winning culture – one that drives excellence throughout the entire organisation. Similarly Bass (1970) is quoted by Mintzberg (1994) saying productivity and satisfaction are lower when executing a plan done by others. This is due to lack of a sense of accomplishment and commitment to see that the plan works well; there is less flexibility and less room for modification and initiative to make improvement on a 'handed down' plan. Besides, the plan is not properly understood; human resources are underutilised; there are more communication problems and distortions in following instructions (p.164).

Dandira (2011) found that failure to involve the implementers at the formulation stage is a major problem that cannot be ignored because it leads to failure of strategy. Implementers feel that they do not have ownership of the plans, thus they drag their feet at the implementation stage because they think the strategic plan belongs to the formulators, i.e. management.

In Chapter 4 of this study, investigation is made to find conclusions as to whether the three groups in the NCS i.e. top management, middle management as well

as lower level employees, have always been involved in the Ministerial and departmental strategic planning or not.

Planners/consultants.

According to Smith (1994: p. 156):

Outside consultants can make a helpful contribution as facilitators in at least two respects i.e. they can offer advice on the essential steps to be followed and how they fit together and they provide an element of external challenge to the ideas generated internally since they have experience in developing other strategic plans elsewhere.

However, if planners own the process, if they take charge of the integration of the different subunit plans, in effect they remove control over strategy from the very people who are supposed to think it through. With the planners sequestered in their own offices pulling it all together for top management, everyone else gets reduced to a mere implementer. Newman (1951) as quoted in Mintzberg (1994, p. 164) noted that this undermines commitment to the strategy making process as it further deprives other employees of an opportunity to know about their organisations better as well as to learn how to formulate a strategy. According to Bass as quoted in Mintzberg (1994) experiments conducted in various parts of the world have shown that people are more productive and more satisfied when they operate their own plans instead of other people's plans.

It is therefore clear that while external experts may assist the organisation to come up with a well-crafted plan, they cannot supply the leadership alignment that is necessary for successful implementation and they also do not leave the team with the skill to do its own strategy work in the future. The Ministry of Safety and Security used the services of BSM Capacity Building Solution Consultancy firm during the development of its Strategic Plan, together with the assistance of OPM. However, it is

not clear whether OPM's assistance is on-going or once off. It is also not clear if OPM is in any way involved in monitoring and evaluating execution of the developed plans. This study will not explore this area as it is limited to NCS.

2.6.2.3 *Strategy Implementation.*

Wheelen and Hunger (2004, p.192) indicated that:

strategy implementation is the sum total of the activities and choices required for the execution of a strategic plan. It is a process by which strategies and policies are being put into action through the development of programmes, budget and procedures.

Ehlers et al. (2007) added that strategic implementation is the communication, interpretation, adoption and enactment of strategic plans (p. 213). While David (2003) stated that strategy implementation requires the organisation to develop annual objectives and allocate resources to enable successful execution of strategy. It includes developing a strategy-supportive culture, creating an effective organisational structure, redirecting efforts, preparing budgets and mobilising employees and managers to put formulated strategies into action. Nevertheless, a well-crafted strategy is useless if it cannot be translated into action, thus effective execution calls for unique, creative skills including leadership, precision, and attention to detail, breaking down complexity into digestible tasks and activities, and communicating it in clear and concise ways throughout the organisation and to all its stakeholders (Cocks, 2010, para. 2).

There are a number of problems in strategy implementation as noted by Aaltonen and Ikavalko (2002) and Wessel (1993; as quoted by Dandira, 2011), e.g.

weak management roles in implementation; a lack of or poor vertical communication; inter-functional conflicts; lacking a commitment to the strategy; unawareness or misunderstanding of the strategy; top-down management style; inadequate management development; unaligned organisational systems and resources; poor coordination and sharing of

responsibilities; inadequate capabilities; too many competing priorities or activities; and uncontrollable environmental factors.

Mintzberg (1994) noted that often, when a strategy fails, those at the top of the hierarchy tend to attribute the failure to implementation lower down; however, every failure of implementation is, by definition, also a failure of formulation.

Additionally, Ehlers et al. (2007) indicate that nine (9) out of ten (10) strategies fail to be implemented successfully due a variety of reasons some of which are; lack of understanding of strategy by the majority of the workforce, lack of incentives linked to strategy implementation, management spending less time on strategy and lack of resources linked to strategy. The barriers to strategy implementation are depicted in the Figure 2.6 below:

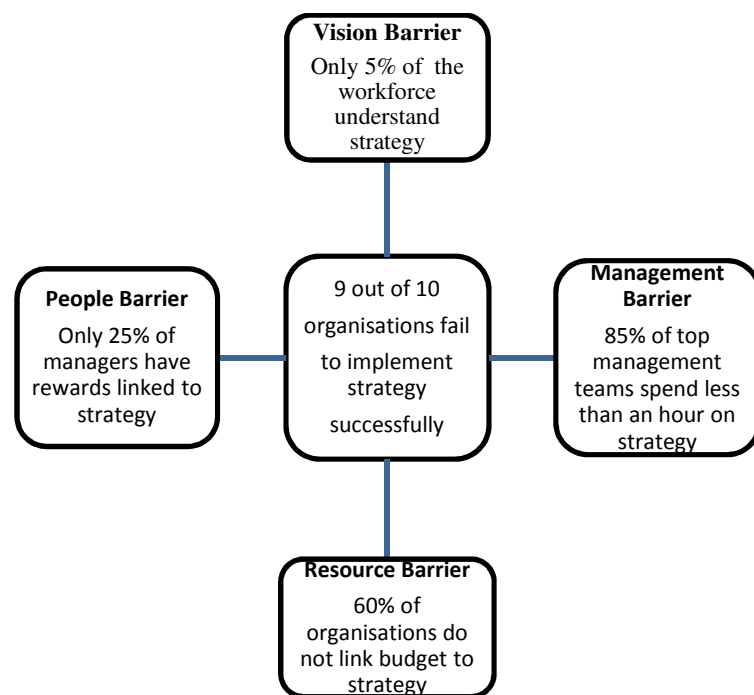


Figure 2.6 Barriers to Successful Strategy Implementation

Adapted from: Ehlers et al., 2007, p. 215

Figure 2.6 is very crucial in determining the effectiveness of strategic planning in the Ministries and departments, therefore it is linked to the questionnaire in this study and the outcome in relation to this information is presented in Chapter 4.

Drivers of strategy implementation.

As stated by Ehlers et al. (2007) organisations need to ensure that all employees are committed to strategy implementation and change. Ehlers further identified five (5) drivers and instruments for strategy implementation such as leadership; organisational culture; reward systems; organisational structure and resource allocation. The following are some of the key drivers of strategy implementation.

a) The role of leadership.

Thompson et al. (2010, p. 42) found that “converting a strategic plan into actions and results tests a manager’s ability to direct organisational change, motivate people, build and strengthen company competencies and competitive capabilities, create and nurture strategy-supportive work climate, and meet or beat performance targets”.

b) Communication.

Communication is concerned with senior management having a clear vision of the organisation and this being expressed to staff, enabling them to understand how their role fitted into the bigger picture (McLeod, 2008). Operational information must be shared since people need to know how their job and the work they do fit into the wider scheme of things – they need to be aware of the domino effect of things they do and decisions they take (however minor), and of the synergies and efficiencies that may be possible by bringing together views on all disparate activities (Baines, 1998, para. 6). Therefore frontline employees cannot be expected to unite behind managerial efforts to get the organisation moving in the intended direction until they understand why the strategic course that management has figured is reasonable and beneficial. If

staff members are given sufficient information and involvement to help them understand and commit to an idea they will then be willing to engage with it.

Tools managers use to ensure strategy execution.

Managers use several tools and frameworks in striving for operational excellence such as benchmarking, Total Quality Management, Business Process Re-engineering, Balanced Scorecard, strategy alignment, etc. The first three will not be discussed in depth. Balanced Scorecard will be discussed broadly due to its usage by the Namibian public sector. Strategic alignment will also be discussed widely.

a) Benchmarking.

Organisations use benchmarking to gauge and understand how well they are implementing their strategy by benchmarking their performance of particular activities and business processes against others in the industry as well as the best in class (Johnson et al., 2011, p. 96).

b) Business Process Re-engineering.

Organisations seeking to improve their operations have discovered that strategy-critical activities are hindered by organisational arrangements where pieces of activities are being performed by different functional departments. In an effort to address this challenge organisation have opted to reengineer the work processes by pulling pieces of strategy-critical activities out of different departments and unifying them in a single department (Thompson et al., 2010, p. 363).

c) Total Quality Management (TQM).

TQM is a philosophy of managing a set of business practices that emphasizes continuous improvement in all phases of operations, 100 percent accuracy in performing tasks, involvement and empowerment of employees at all levels, team-

based work design, benchmarking and total customer satisfaction (Thompson et al., 2010, p. 365).

d) Balanced Scorecard.

The original purpose of the balanced scorecard (BSC) according to Kaplan and Norton (1992) as quoted by Andersen (2002, p. 6) was to serve as an approach to performance measurement that combines traditional financial measures with non-financial measures to provide managers with richer and more relevant information about activities they are managing. Ehlers et al. (2007) added that it is a guide for translating an organisation's vision into strategic or long-term goals in four perspectives i.e. financial, customer, learning and growth, and internal processes.

The BSC is used as a framework for strategic control, therefore Kaplan and Norton (2007) and Ehlers et al. (2007) noted that companies are using the scorecard to clarify and update their strategies; communicate strategy throughout the company; align unit and individual goals with the strategy; link strategic objectives to long-term targets and annual budgets; identify and align strategic initiatives; translate them into action; and conduct periodic performance reviews to learn about and improve strategy. It therefore serves as a valuable strategic management tool that shows managers whether the chosen strategy is working or not and why.

According to Andersen (2002, p. 7) the internal processes and learning and growth perspectives relates to activities of business processes and what needs to happen to sustain and develop them, while external relations/customer and financial perspectives contain objectives relating to desired outcomes of the activities taken under the first two perspectives. Since the ultimate goal of public sector organisations is not financial results and creating economic value, Andersen (2002) proposes that the public sector should instead focus on organisational governance and mission efficiency to ensure

that outcomes have been achieved within budget, legal framework, authorising environment and organisational value, thus *the name financial perspective could be changed to Organisational Governance* (p. 7).

This study focuses more on the Balanced Score Card than other tools mentioned above, since it is one of the tools that has been recommended for use by the Namibia Public Sector, hence the MSS also used it at the end of its strategic plan.

e) Strategy alignment and the McKinsey 7S.

Two consultants of the McKinsey consulting company, Tom Peters and Robert Waterman, developed a framework which is known as the McKinsey 7Ss, highlighting the importance of fit between strategy, structure, systems, staff, style, skills and superordinate goals/Shared values; and for assessing the degree to which various elements of an organisation's design fit together in a mutually supporting manner (Johnson et al., 2011).

According to Waterman, Peters and Phillips (1980, p. 17):

Our assertion is that productive organisational change is not simply a matter of structure, although structure is important. It is not as simple as the interaction between strategy and structure, although strategy is critical too. Our claim is that effective organisational change is really the relationship between structure, strategy, systems, style, skills, staff and something we call superordinate goals.

Gopinath (2005, p. 113) refers to the McKinsey 7Ss as a mechanism to see the interplay between strategy formulation and implementation; it is useful in diagnosing organisational problems and formulating programs for improvement (Waterman et al., 1980, p. 17) while Kaplan (2005) refers to them as "seven factors critical for effective strategy execution" (para. 1).

They are all linked to denote their interdependence and interconnectedness, giving no priority to any of the 7Ss since it is not obvious which of them can be a

driving force for change. A change to one will lead to a change in all the others. The McKinsey 7S framework is depicted in the diagram below.

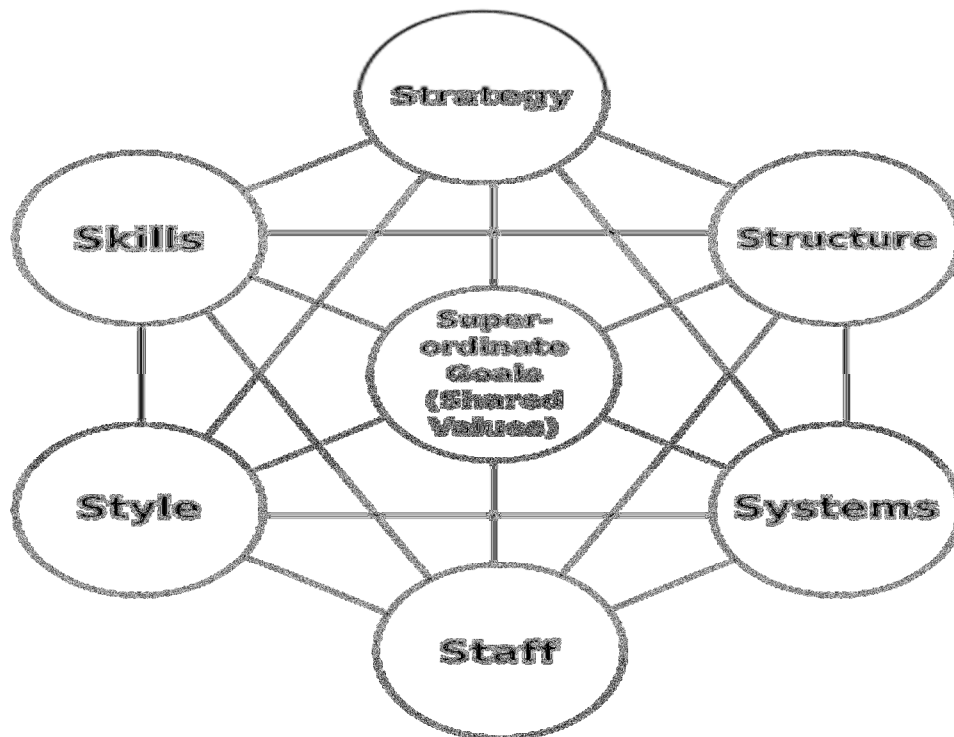


Figure 2.7: McKinsey 7S of strategy execution

Adapted from: Johnson et al., 2011, p.453

An explanation of the meaning of the 7Ss is as follows:

- Style refers to the leadership style of top managers in the organisation, as well as the culture, values and beliefs of the organisation, as revealed in the way its members behave (Johnson et al., 2011; Waterman et al., 1980).
- Staff, according to (Kaplan, 2005), is about the kind of people in the organisation, their backgrounds and competencies and how they are recruited, selected, promoted and developed (para. 4). While Waterman et al. (1980) added that staff can include appraisal systems, pay scales, morale, attitude, motivation and behaviour.

- Skills refer to capabilities, dominant attributes and distinctive competencies (Waterman et al., 1980) and how the organisations' training schemes, IT and reward systems transform the talent of individuals into the organisational capabilities required by the strategy (Gopinath, 2005; Johnson et al., 2011).
- Superordinate goals/Shared Value refer to the mission, vision and objectives of the organisation which are the core or fundamental set of values that are widely shared in the organisation thus providing a broad sense of purpose for all employees (Johnson et al., 2011; Kaplan, 2005). Gopinath (2005) further noted that shared values are abstract guiding concepts of an organisation shared by most employees, sometimes captured in its mission statement, but may go beyond formally stated objectives (p. 114).
- Structure according to (Johnson et al., 2011) refers to the formal roles, responsibilities and lines of reporting in organisations (p. 431), as well as mechanisms by which activities in the organisation are coordinated (Kaplan, 2005). According to Gopinath (2005) structure refers to organisational figures and other means by which organisations divide the tasks to be performed and simultaneously ensures coordination of tasks (p.113).
- Systems according to Kaplan (2005) and Waterman et al. (1980) are the formal and informal procedures used to manage the organisation on a day to day or year to year basis, including management control systems, performance measurements and reward systems, planning, budgeting and resource allocation systems and management information systems. Systems according to Johnson et al. (2011) "support and control people as they carry out structurally defined roles and responsibilities" (p. 443).

- Strategy according to Kaplan (2005) and Waterman et al. (1980) is the positioning and actions taken by the organisation in response to or anticipation of changes in the external environment, intended to achieve competitive advantage, while Gopinath (2005) adds that the organisation takes these planned actions to gain competitive advantage by making use of its resources and thereby achieving favourable long-term performance.

The 7S model posits that organisations are successful when they achieve an integrated harmony among the ‘hard’ S’s of Strategy, Structure and Systems, and the four ‘soft’ S’s of Skills, Staff, Style and Superordinate goals/shared values. It is used as a diagnostic and prescriptive framework for organisational alignment. Although many factors exist that determine the success of an organisation, all of them must be in alignment with each other since they are equally important.

In spite of all the benefits of using the McKinsey 7S model, D’Aveni (1994) noted that the strategy fit as proposed by the McKinsey 7S model implies permanence, thus making an organisation predictable and an easy target for competitors. It also makes the firm less flexible since change to strategy affects the rest of the 7Ss. D’Aveni (1994) therefore proposed a new set of 7Ss comprising of: superior Stakeholder Satisfaction; Strategic Soothsaying; positioning for Speed; positioning for Surprise; Shifting the rules of competition; Signalling strategic intent; and Simultaneous and Sequential strategic thrusts.

For the purpose of this study the researcher is of the opinion that the McKinsey 7S model is still relevant, as it can help an organisation of whatever kind to successfully implement its strategy if all the seven 7Ss are aligned. For example, a well-crafted strategy is of no use if the organisation has a strong negative culture (Style), lacks capable and competent Staff to ensure execution, the needed equipment is not available

(Systems), etc. It is also more relevant in the not-for-profit organisations since it is more generic than D’Aveni’s new 7Ss which are competition driven thus mostly suitable for businesses.

2.6.2.4 *Strategy evaluation/review.*

Strategy review or evaluation as it is called by David (2005) or implementation control (Ehlers et al., 2007) is meant to measure the performance of the organisation as to whether the strategy has been executed successfully in terms of anticipated performance levels. This involves comparing expected results to actual results, investigating deviations from plans, evaluating individual performance, and examining progress being made towards meeting stated objectives. Additionally David (2005) further stated that it assesses factors that might have contributed to the unsuccessful implementation of the strategy to determine whether corrective actions need to be taken and/or the initial strategy needs to be altered to improve on failures. David (2005) concludes that “continuous strategy evaluation keeps strategists close to the pulse of an organisation and provides information needed for an effective strategic management system” (p. 319).

Monitoring external developments, evaluating the company’s progress, and making corrective adjustments are the trigger points for deciding whether to continue or change the company’s vision, objectives, strategy, and/or strategy execution methods (Thompson et al., 2010, p. 43). David (2003) stressed the importance of strategy evaluation since organisations operate in dynamic environments which change quickly and dramatically. He continued to note that strategy evaluation is more difficult to conduct today than ever before due to dramatic increase in environmental

complexity, plans becoming rapidly obsolete, domestic and world events affecting organisations, and the difficulty in accurately predicting the future.

Using the Mintzberg and Waters' model (1985) of intended, deliberate, unrealised, emergent and realised strategies, strategic evaluation or review seems to be geared at identifying, given the expected results (intended strategies), which actions were not implemented (unrealised strategies), what remained of the plan and eventually implemented (deliberate strategies), what events occurred that may have led to alterations to the original strategy (emergent strategies) and what was eventually implemented (realised strategies). This model will therefore be a theoretical model guiding the research methodology in Chapter 3 and data collection, analysis and presentation in Chapter 4 of this thesis.

2.7 Conclusions

This chapter evaluated various types of models on strategic management and planning found in the existing body of knowledge with the intention to pin-point gaps that this study intends to fill. It commenced with the strategic management process embedded in Mintzberg and Waters' (1985) model of deliberate and emergent strategies that gave a useful direction on what strategic management is; the different features and steps of the strategic management process, which includes strategic planning, formulation, implementation and review. The chapter further juxtaposed the concept of strategic planning and its benefits to organisations coupled with some excuses that organisations make to avoid planning. More discussions were focused on strategic implementation, drivers of strategy, challenges of implementation as well as management tools used to successfully execute strategy. Finally, it looked at strategic review and evaluation.

This thesis draws its direction from this range of literature which has shown that strategic management has numerous benefits for an organisation if done properly, by the right people and with the involvement of all who are affected by it albeit in varying degrees of involvement. It also emerged that while strategy can be planned/intended there are various environmental factors that emerge and eventually influence the outcome of a given strategy. These conclusions determine the type of methodology this thesis will use to collect the data from the NCS and compare the final empirical findings with the ideal theoretical situations reflected in literature and make final conclusions and recommendations to the NCS. The next chapter will give an overview of the research methodology to be used in this study.

CHAPTER 3: RESEARCH METHODOLOGY

3.1 Introduction

In chapter 2 this thesis juxtaposed and analysed rigorously various theoretical discourses of strategic management within the context of existing literature and body knowledge in order to mould research strategy and design into a methodology appropriate for this study. This chapter links these discourses to the empirical situation of strategic management by selecting a research design and methodology used in the process of data collection, presentation and analysis. In terms of the Saunders et al. (2009) research onion there are three types of choices of data collection and analysis procedures that a researcher can make i.e. quantitative, qualitative or mixed methods. The research question and problem to be solved determine the choice of methodology to be used. On this basis this chapter articulates the research strategy, methodology, population, sample and sampling techniques and procedures, data collection and analysis and ends with an integrated summary.

3.2 Research strategy/design

The research design of this study is a case study. The study takes place in the department of Namibian Correctional Service with specific focus on the Windhoek Correctional Facility (WCF). A case study allows for an in-depth analysis of relationships and processes, as it studies a particular case with clear boundaries. Another advantage of using a case study is its ability to use multiple methods to generate multiple data which in turn enable data validation. Since WCF is one of the maximum security institutions, the biggest and centrally located of all the 14 NCS institutions, it is selected to enable the researcher to understand and be able to explain processes and relationships in-depth.

3.2.1 Selection of the research site.

The study targets the process of strategic management and plans in the Ministry of Safety and Security selecting the Namibian Correctional Service (NCS) with specific focus on WCF and the National Headquarters of the NCS as a research site. WCF was chosen as the site because it is the biggest of maximum security correctional facility in the country while the Headquarters was chosen for purposive interviews with management staff.

3.2.2 Research methods.

This study employs analytical descriptive research using both quantitative and qualitative methods. According to Denscombe (2007) quantitative research aims to measure phenomena so that they can be transformed into numbers (p. 248). Once the phenomena have been quantified, they lend themselves to analysis through statistical procedures – procedures that are utterly dependent on receiving numerical data as their input. This method mainly uses the questionnaire as data collection technique and uses graphs or statistics to analyse the data (Saunders et al., 2009, p. 151). On the other hand, “qualitative research relies on transforming information from observations, reports and recordings into data in the form of the written word, not numbers” (Denscombe, 2007, p. 248). It mostly uses the interview as a data collection technique (Saunders et al., 2009, p. 151). In this study, data was collected by means of a questionnaire with members working at the correctional facility (WCF), focus groups discussions with members of management at WCF and a questionnaire administered to informants at the NCS department of the Ministry of Safety and Security. The questionnaire was prepared and used as a research guide during the survey in the ministry and it was administered in English.

3.3 Population

According to the NCS combined annual reports for the financial years 2008/09-2010/11 the NCS has a staff establishment of 4095 positions of which 1961 were currently filled. The NCS senior management committee at HQ is comprised of ten (10) members and is led by the Commissioner-General. According to personnel statistics Windhoek Correctional Facility has a total staff complement of 473, of which 235 are males and 238 are females. Of the 473 members, 51 are seniors on the Ranks from Deputy Commissioner (D/COMM), Assistant Commissioners (A/COMM), Senior Superintendent (S/SUPT) and (SUPT) Superintendents. The remaining 422 are junior Correctional Officers (Ranks from Senior Chief Correctional Officer (SCCO), Chief Correctional Officer (CCO), Senior Correctional Officer (SCO), Correctional Officers II (COII) and Correctional Officer I (COI).

3.4 Sample and sampling techniques

The total sample for this study was 120 comprising of four (4) senior members at the NCS Headquarters and two (2) Regional Commanders; ten (10) members of the institutional management at Windhoek Correctional Facility and 104 seniors and junior officers at Windhoek Correctional Facility.

Non-probability research techniques are used in this thesis, because it is predominantly qualitative in nature. The sampling technique used to select senior managers at the Headquarters and Institutional Management members at WCF is purposive sampling. Four (4) members of the senior management committee were sampled namely (1 x Deputy Commissioner General (DCG) and 3 x Commissioners (COMM) at Headquarters, and two (2) Regional Commanders (COMM); as well as 10 members of the institutional management at Windhoek Correctional Facility as key informants. Furthermore stratified sampling technique was used to select for interviews

104 from the total number of 456 senior and junior officers (excluding 17 members of the Institutional Management). A quota system was used to select 23% of members from each category of members.

3.5 Data Collection

3.5.1 Research instruments.

The study used two types of questionnaires as the main research instruments which was administered to general staff officers and key informants; and a research guide with purposive questions to interview senior officers for the focus group. The general staff officers questionnaire was structured using a six point scale measuring participants' agreement to a statement e.g. 1 strongly disagree; 2 disagree; 3 neither agree nor disagree; 4 agree; 5 strongly agree and 9 don't know. The questionnaire for key informants at HQ was piloted on two people while the questionnaire for general staff officers was piloted on four people.

The questionnaires were structured as follows:

Section A: Demographic data

Section B: Evaluation of the extent to which strategic planning has been used to create efficiency and effectiveness in the Ministry

Section C: Assessment of how the plan has been cascaded into operational plans and implementation

Section D: Constraints hindering effective implementation of the strategic plan in the MSS

Section E: Involvement of key stakeholders in formulating strategic plan of the MSS

Section F: The MSS' reviewing, monitoring and evaluating mechanisms for the implementation of its strategic plan.

3.5.2 Focus groups.

The study also used one focus group discussions with 8 members of the institutional management at WCF which lasted for 1 hour and 20 minutes. The group was made up of 4 Assistant Commissioners, 3 Senior Superintendents and 1 non-uniformed staff member. A set of questions has been made available for discussion which the researcher had facilitated. A written permission to bring in a recording device was sought and granted from the Officer in Charge. Before the group discussion the researcher asked participants for permission to record the discussion and explained the implications thereof. They all granted permission and the discussion was recorded using a cellphone.

Team of researchers.

The researcher conducted the interviews herself without using any assistant. A self-administered structured questionnaire was completed by some participants from Windhoek Correctional Facility while others were assisted by the researcher to complete it due to their education level. In most cases the researcher had to translate the question in Oshiwambo (a local language that is spoken by the majority of Namibians) for the respondent to understand it. That process took about 35 minutes due to the unpopularity of the subject matter while the self-administered structured questionnaires took about 25 minutes because some explanations had to be done first the respondent started to complete the questionnaire.

3.6 Data analysis

This study used the mixed methods approach; hence it generated both qualitative as well as quantitative data. The quantitative method produces numerical data which can be presented using graphs, figures, etc. which were generated using Microsoft excel. While qualitative method produces data in words which can be in large numbers, thus it needs to be analyzed through reduction of data by means of coding and categorization.

3.7 Ethics

Ethics in research refers to “questions about how we formulate and clarify our research topic, design our research and gain access, collect data, process and store our data, analyze data and write up our research findings in a moral and responsible way” (Saunders et al., 2009, p. 184). For this study, permission was sought from the Commissioner-General of the Namibian Correctional Service in the form of a letter explaining the purpose of the study and how it may benefit the NCS, hence permission was granted for the conducting of the study on that basis. All participants had been asked for their permission to participate in the study without forcing them or asking them personal information and those that declined their rights were respected. To protect privacy and confidentiality no names or personal information were recorded or reflected on any data collection tools. All information received had been treated with strict confidentiality. The researcher strove to maintain objectivity throughout the research process.

3.8 Conclusion

The previous chapter provided an overview of secondary data from the literature from other scholars and academics. This chapter has provided the research strategy, methods, population and sampling procedures and techniques used for this study. It argues that although the study is predominantly qualitative, a mixed methods approach has been used in terms of data collection and analysis since it is more practical in explaining and clarifying phenomena. A sample of 14 participants was chosen for the study due to their roles while 104 were chosen using stratified sampling. One focus group and questionnaires were used to collect data. Presentation and analysis of such data have been provided in chapter 4.

Chapter 4 Findings and Discussion

4.1 Introduction

Chapter 3 above gave an overview of the methodology that was followed in conducting this study. This chapter provides the findings and interpretation of data that was collected, limitations observed during the process of conducting this study, validity and reliability of data. General information about respondents such as ranks, years of service and gender will be given together where-after the views of the different groups will be given separately starting with Key informants at HQ, Focus group and finally members of the institution.

4.2 Research findings and Data analysis

4.2.1 General information of all respondents.

4.2.1.1 Demographic data.

The ranks of all respondents are provided in figure 4.1 below.

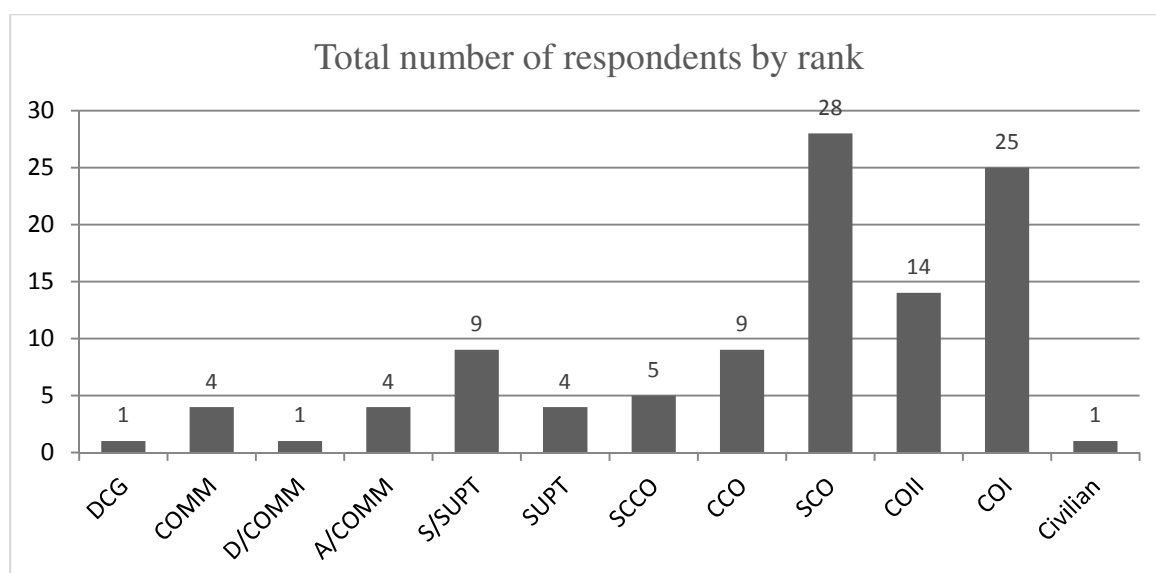


Figure 4.1 Respondents by rank

The figure 4.1 above elucidates that the majority of respondents in this study were in the rank of Senior Correctional Officers (SCO) followed by the Correctional Officers one (COI). Although the sample is dominated by these rank categories, this does not imply that the findings would be skewed or biased as a consequence.

4.2.1.2 *Years of Service.*

Respondents were given a choice to indicate their years of service in the NCS from less than 5 years, 5-10 years, 11-15 years, 16-20 years and over 20 years. The figure below depicts the participants years except the focus group where it was not explored.

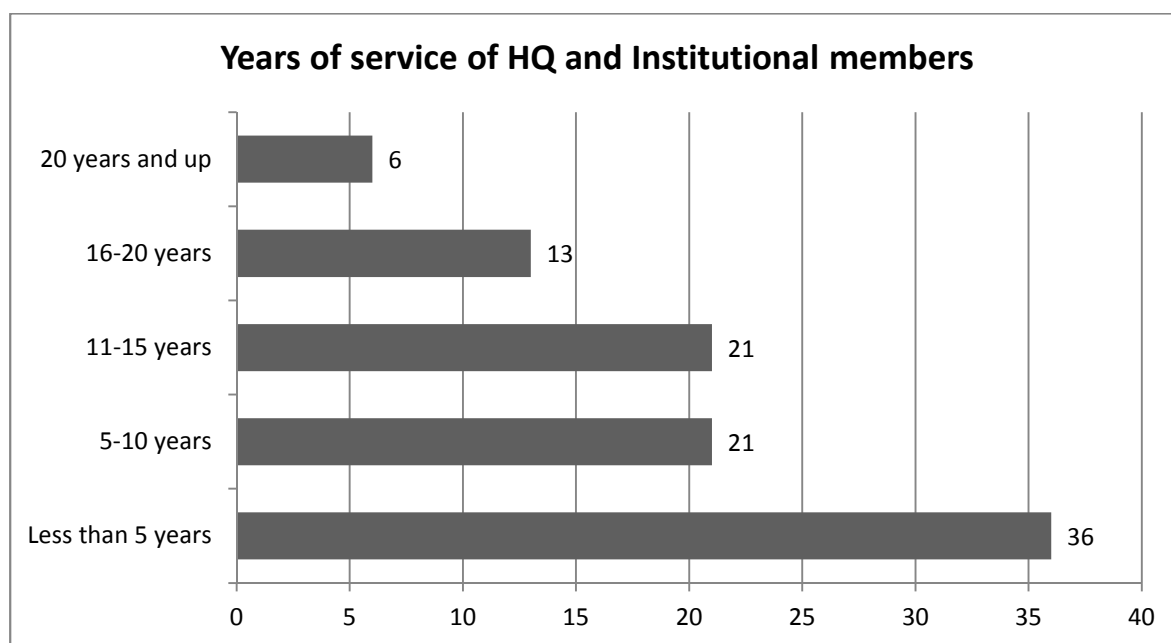


Figure 4.2 Years of service

Figure 4.2 above illustrates the respondents' years of service for the HQ and Institutional members. It is clear that the majority of respondents (37%, N=36) have worked for less than 5 years, however the remaining combined total of 61 (62%) have worked for between 5 to over 20 years.

4.2.2 Findings reflecting views of HQ staff.

a) Efficiency and effectiveness as a result of the plan.

A question was asked to establish whether the strategic plan has made significant, little or no impact in the activities of the specific respondent's department or not. 67% (N=4) of respondents shared the same sentiment that the strategic plan has made significant impact on their departmental activities because it guides the daily activities. They view it as a steering wheel that allows the organisation to control the future and increase options to influence the environment. It has led to filling of critical positions, better international relations and it also led to the NCS reform such as the Offender Risk Management Correctional Strategy (ORMCS) which ensures effective custody and supervision of offenders. Through the strategic plan, the NCS has identified 7 strategic priorities that are being carried out at the moment. The remaining 33% (N=2) of respondents stated that the plan made little impact on their departmental activities due to the fact that it is a long range plan that is only taking into consideration long term activities but their daily activities do not necessarily have an impact on what is set out in the plan. According to them, there is just too much daily routine to focus on the strategic plan and there are also a lot of other unplanned activities.

66% (N=4) respondents felt that the strategic plan is serving as a guide that is providing direction to the organisation. Their views concur and include benefits of strategic planning as stated by Mintzberg (1994) and Ehlers (2007) which includes: high productivity; improved coordination of activities; more resources and time management, and it also enables organisations to take the future into account, to be rational and to control.

However the remaining 33% (N=) felt that the plan did not cater for what they are doing on a day to day basis which is already too much, therefore they might not even be making use of it at all.

b) A Strategic Plan and Service Delivery

The researcher asked another question to probe whether there was any significant improvement of service delivery that is attributable to the implementation of the strategic plan. Hence, 33% (N=2) of the key informants stated that there was little improvement because, the plan is not being implemented at all levels i.e. up to the grassroots, but there is still room for improvement. The two further indicated that the plan has achieved structural changes rather than improvement in service delivery although that has a potential to translate into improvement in service delivery in the future. 17% (N=1) of the respondents was not sure whether there was any improvement in service delivery as a result of the strategic plan. However, the remaining 50% (N=3) of the respondents stated that there has been significant improvement in service delivery because, there is better coordination among various directorates; the substantial output that the few staff is producing is evidence that the strategic plan has led to improvement in service delivery; most of the activities in the Rehabilitation and Reintegration directorate, which carries the biggest chunk of the management plan, have been implemented.

From the above it is clear that respondents view the impact of the strategic plan on service delivery differently. Although 50% (N=3) of the respondents see little or are not sure of any improvement, the other half (3) had seen significant improvement. However their responses on some improvements e.g. coordination among various directorates, might not necessarily be attributable to the strategic plan since they were

not part of the objectives of the strategic plan. From the responses it is also clear that the strategic plan was more concentrated in one directorate i.e. Rehabilitation and Reintegration than in the others.

c) *Cascading the plan into AWP and implementation*

The study also probed whether all 14 NCS correctional facilities had operational plans. The result was that, 33% (N=2) respondents gave a straight no, 17% (N=1) not sure, 17% (N=1) said institutions are operating on routine basis therefore there is lack of operational plans at institutions. The last response corresponds with Smith (1994, p. 1) that public sector organisations especially do not see the reason why they should plan because there being no time to plan due to pressure of urgent day to day work (refer to Smith 1994 in Chapter 2). A fifth respondent said that operational plans were compiled at HQ and the responsible person at the institution is supposed to implement. This is in harmony with Dandira (2011, p. 32), who alluded to pitfalls of top management in managing the organisation's strategies i.e. the strategic plan is brought in the organisation and it is issued to employees or they do not have access to it; staff are asked to implement a plan they do not have or know while it is gathering dust on managers' shelves. This seems to contradict what Smith (1994, p. 18) said that there should be a clear link from strategy to operations since long-term objectives and vision are not sufficient in themselves (refer to Dandira (2011) and Smith (1994) in Chapter 2).

The remaining 17% (N=1) respondent said the plans are available but members might find them difficult to understand due to the different levels of education. This does not tie in well with (Smith (1994) in chapter two) who argues that there should be

a shared vision in order to ensure that critical factors are widely understood by people in the organisation since they are the implementers.

d) Assessment of the effectiveness of the NCS Strategic Plan

Respondents were asked to rate the success of the implementation of the NCS Strategic Management Plan from a scale of poor, fair, good, very good and excellent and also to motivate their answers. 50% (N=3) respondents rated the NCS Strategic Plan as “good” due to the following reasons: some objectives and targets have been met, but there are obstacles for implementation; not everybody understands their responsibilities and what has to be done; the plan was not cascaded down to operational level; and regular sessions were supposed to be done with operational level in order for them to understand. 33% (N=2) stated that it was fairly implemented because most of the daily activities in many directorates are not covered by the strategic plan; there were too many delays as well as lack of support and coordination among various components of the organisation. They further added that the directorate rehabilitation and reintegration has seen many achievements since a greater part of the strategic plan falls under it. 17% (N=1) stated that the implementation has been very good since most, if not all offices, do understand the organisation’s current position and aspirations as well as what need to be done to get to the future. There had also been some African countries that came for benchmarking and they were satisfied with what they saw at all institutions that they visited. From the responses above it is evident that although key informants differ in their perception of the success of the strategic management plan implementation none, gave a poor or excellent rating. They all gave various reasons ranging from lack of coordination amongst the directorates, lack of understanding, lack of operational

involvement, the plan being distributed in a skewed way among directorates, etc. The one respondent (17%) who gave a very good rating based the motivation on the satisfaction shown by the visitors who came for benchmarking which may not be a true reflection because the visitors did not evaluate the Strategic Management Plan and its execution but expressed satisfaction with the components that were the focus of their interest.

e) Constraints hindering effective implementation

Respondents were asked if any of these four i.e. Human resources, external factors, finance or time influence strategy implementation and how. They could pick as many as possible and their responses are depicted on the figure 4.3 below.

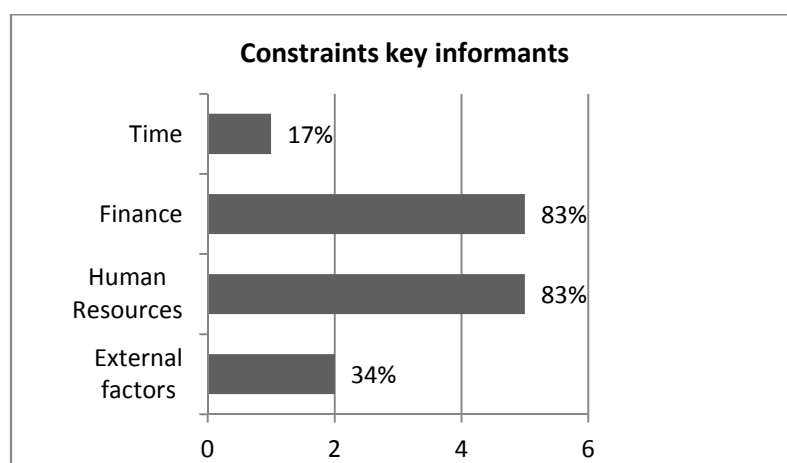


Figure 4.3 Constraints hindering effective implementation – key informants

Among the constraints hindering effective implementation 83% (N=5) respondents indicated human resources and finance as the main constraints. The reason given were that while some vacancies were filled since the implementation of the plan, the vacancy rate at NCS is still over 50%. This hampers effective functioning and delay in implementation of some key elements because the strategic plan was not linked to the staff available. As a result, the few members that are

available are overloaded and one person may be doing the work that was supposed to be done by 6-8 members. From the responses received it is clear that respondents acknowledge the role that human resources play in the successful implementation of the plan as well as the fact that members are currently overloaded thus hampering productivity.

Finance hinders implementation because according to respondents, treasury does not allocate enough funds to enable the organisation to buy the necessary equipment, appoint specialised staff, recruit and train new members, construct new or modify existing infrastructure and conduct training, especially in-service training, to ensure that old members understand the reform. Another reason finance hinders implementation is because allocated funds are not proportionate to the other criminal justice partners i.e. police and courts, therefore while they are able to finalise cases the NCS where they send offenders does not have enough money. Furthermore respondents stated that perhaps it was not treasury which did not allocate enough funds but the budget was not done properly because the planners did not have an understanding of planning and how to budget effectively. These responses correspond with the view of Ehlers et al. (2007) that strategies fail because of resource barriers as presented in figure 2.6 in chapter 2 of this study.

External factors such as the procurement process which depends on the slow tendering process; procedures involved in erecting physical infrastructure like buildings e.g. feasibility study, architectural designs, etc.; the time it takes to erect buildings; and problems of inefficient suppliers were also cited as some of the constraints to successful strategy implementation. It is clear that there were other factors outside the control of the organisation that impacted on the progress especially on the construction and upgrading of physical structures.

Time has been cited as a factor because the plan only started to be implemented in 2010 with the recruitment of specialised staff and actual implementation started later. This shows that the plan was formulated without some implementers in place and the strategic management plan was only finalised in the third year of the Ministerial Strategic Plan. These responses seem to contradict literature, for example, the McKinsey 7Ss according to Kaplan (2005) and Waterman et al, (1980) (see Chapter 2).

On the basis of the above, respondents were further asked to suggest ways on how to improve the implementation of the strategic plan in the future. 17% (N=1) expressed the view that the current plan might have been too ambitious without considering: prescribed processes e.g. construction of a facility since one cannot roll out the ORMCS, for example, without demarcating the existing facilities, improving the bed space; lack of office space, official accommodation and staff recreation facilities. Staff recruitment and training should precede the rolling out of the strategy. This ties in with what the McKinsey 7Ss model according to Waterman et al, (1980) that the strategy should be linked to the other Ss of system, structure, style, staff, skills and shared values, in order to ensure that all that is needed for successful execution has been put in place and (Smith, 1994) who stated that a strategy should be formulated in accordance with current structures and processes and ensure that such structures and processes support and reinforce the qualities required for long-term delivery of strategy (refer to Chapter 2).

In addition, 50% (N=3) of the respondents felt that the organisation should involve more people, it should also ensure that all officers, whatever their education level, understand the strategic plan by educating them and if possible the strategic plan can be translated into local languages to accommodate each and every officer. Doing so according to the respondents will lead to officers committing to the plans

which will assist the organisation to improve and move forward. This ties well with Calfee (2010) and Bass (1970), as quoted by Mintzberg 1994, in Chapter 2 above).

f) *Involvement of members in the management of the strategy*

The researcher asked a question on who was involved in the formulation of the current 5 year Strategic Plan and Strategic Management plan. In this regard, only 17% (N=1) respondent was not sure who was involved in the Ministerial strategic plan, but 83% (N=5) seem to agree that the strategic management plan was done by the consultant from Canada, the Commissioner-General and few other selected senior staff.

Respondents' opinion were sought on whether staff members at correctional facilities should be involved in the planning. They were further asked to motivate their answers and also to state who should be involved at the institutional level and why. All 6 (100%) respondents harmoniously stated yes, everybody should be involved.

The reasons given were that every input should be considered since they have the operational experience. If a plan is handed down to them it will be difficult for them to implement since they may not understand the content. Therefore they need to be involved from the beginning for them to buy into the idea, to have ownership of the plan, to know the direction of the organisation and be able to implement it without much supervision. 33% (N=2) respondents added that doing so will lead to organisational success while another respondent 17% (N=1) further added that senior management should sell the strategic direction to each member through drawing clear linkages for each division with the strategic plan. Respondents seem to agree that all members at institutions should be involved in planning because they are the

implementers. This position concurs with Dandira's (2011 read chapter 2) finding that, failure to involve the implementers at the formulation stage is a major problem that cannot be ignored because it leads to failure of strategy.

g) *Strategic review, monitoring and evaluation*

The review, monitoring and evaluating mechanisms component fall under Section E of the Institutional members' questionnaire. The answer to the question whether the strategic plan has been reviewed is presented on the figure below.

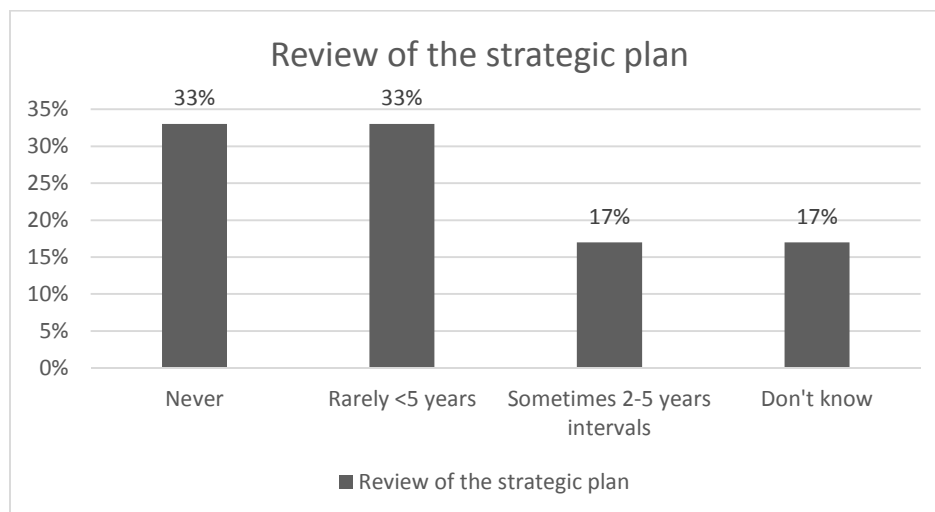


Figure 4.4 Review of the strategic plan

Figure 4.4 indicates that 33% (N=2) respondents stated that the plan was never reviewed, 33% (N=2) said it was reviewed rarely i.e. once in the last 5 years. 17% (N=1) said it was done on 2-5 years intervals while the remaining 17% (N=1) did not know if any review was ever done. The data shows that the plan was hardly reviewed although the public service strategic management framework prescribes that it should be reviewed quarterly. The responses also contradicts David (2005) and Ehlers et al., (2007) in Chapter 2 above who argue that strategy evaluation assesses the

performance of the organisation to determine whether corrective action need to be taken to ensure successful implementation of strategy.

I asked respondents a follow up question whether the results of the review were communicated to others. Only 17% (N=1) respondent indicated not applicable to all subsequent questions, 50% (N=3) said no because no review took place due to lack of manpower and lack of strategies on how to go about it. The 17% (N=1) that said yes stated that copies were printed and distributed, the report was submitted to the minister's office, the senior management committee received copies but they were discussed individually not as a team. 17% (N=1) respondent felt that the plan had been reviewed, since heads of directorates write quarterly reports that can be equated to reviewing of the plan. It appears that a review did not take place and what some may call a review does not seem to have been properly done.

h) Corrective actions of the Strategic Plan Review

Respondents' opinion was sought on whether corrective actions of the strategic plan took place or not. The results were that 33% (N=2) did not answer this question because they had already indicated that no review took place. 17% (N=1) responded that sometimes it happens and new targets, if need be, are set; the corporate secretariat regularly reminds senior managers of outstanding matters. The organisation is in the process of recruiting more staff, the organisational structure was reviewed and amended, more funds were motivated from Ministry of Finance, and the process of drafting a performance management policy has started.

i) Achievements attributable to the Strategic Management Plan

Respondents were further asked to mention major achievements that were attributable to the strategic management plan. 50% (N=3) respondents mentioned that there had been major achievements as follows: The ORMCS was rolled out to two institutions by the end of 2012, two modern correctional facilities were inaugurated which contributed to offender welfare, specialised staff who should drive the Offender Risk Management Correctional Strategy were appointed, roll out of the Offender Management System (OMS) although it was not fully implemented, the promulgation of the Namibian Correctional Service Act, development of various policies, manuals and frameworks and participation of members in local and regional sporting events. One respondent mentioned that the organisation embarked on personnel development and capacity building, rehabilitation programs to ensure a safe environment and production programmes to sustain the growing offender population and reduce costs to the state. 17% (N=1) felt that the only achievements were structural changes. 33% (N=2) stated that there were no monitoring mechanisms in place to track progress and achievements, therefore no real achievements can be pointed out. From the responses one can deduce that the key informants are divided on how they see the achievements of the strategic plan while some were mentioning major achievements, others were questioning how the supposed achievements were measured without having monitoring mechanisms in place.

4.2.3 Findings reflecting views of senior officers for the focus group

a) Efficiency and effectiveness as a result of the plan

The discussion from the focus group centered on the five objectives. The researcher did an introduction to the study informing the focus group members that she was evaluating the strategic management process of the Ministry of Safety and Security and whether it was of any use for the WCF to use the Ministerial Strategic

Plan and the NCS Strategic Management Plan which is a departmental plan extracted from the Ministerial Strategic Plan. The focus group members looked stunned and one asked which strategy the researcher was referring to and whether they had ever received it. Another asked whether the researcher was referring to the ORMCS, which is one of the strategic priorities in the strategic management plan. This shows that even management of WCF have not been exposed to the strategic plan and the strategic management plan respectively. It also seems that whenever one talks about strategy what comes to mind is the ORMCS which members seem to be aware of although they do not seem to understand where it came from. It is also not clear if the ORMCS is fully known by all members. This corresponds with Dandira (2011) in chapter 2 of this study above, who argued that implementers are not always involved in creating the strategic plan, and quite often they may be issued a copy or asked to implement a plan they do not have or know, they may also not get training on what the strategy is all about.

For the discussion to continue, I had to show the two documents to the participants, i.e. Ministerial Strategic Plan and the NCS Strategic Management Plan, to which they all responded with amazement. All, but one, said they were seeing the documents for the first time. Only one indicated to have seen the cover of the MSS strategic plan but he never read it. One stated that she was shown a copy of the NCS Strategic Management Plan by a Professor from the Polytechnic of Namibia. It was clear that respondents were aware of one component of the NCS Strategic Management Plan which is the ORMCS while not fully aware of where it stems from. This ties in with Calfee's, (2006) view that the active involvement in strategy formulation by members of the organisation at all levels is still disappointingly

limited as a results senior management owns the strategy but have to rely on a disenfranchised work force to execute it. (Refer to Calfee (2006) in Chapter 2 hereof).

They all expressed the need to have copies of the plans because as implementers they need to acquaint themselves with what is going on and to know where the organisation is heading in order to implement the organisational objectives. One respondent felt that the Headquarters is supposed to ask the implementers for input and also acquaint them with the contents of the documents. She further stated that it is not their duty to ask for the document, because it is a must that all correctional facilities should be supplied with the documents that are supposed to guide their operations. Another respondent stated that since they are the people on the ground and implementing the plans, they were supposed to be given a workshop or training so that they understand the documents. It is clear from the responses that the plans are needed to provide guidance to all institutions and HQ has a duty to ensure that all institutions are supplied with copies and trained to ensure that they understand the content.

b) Cascading the plan into AWP and implementation

All respondents said that at the moment WCF does not have an Annual Work Plan (AWP). One added that the two documents were supposed to be used in drawing up such AWP. As to why they think WCF will benefit from an AWP; one respondent stated that it is necessary in order to track performance towards the strategic plan and also to know what works and what does not work. Another felt that it is necessary in order to motivate members. One further felt that it will help the institution to know what their needs are and they will only discover such needs during implementation. Another respondent felt that it will serve as a guide and provide direction. Another stated that it is necessary so that members understand the importance of security i.e.

the reason why they are told not to mingle with offender, be observant and vigilant and, not allow contraband to find its way into the correctional facility. This will help them to understand why they have to do what they do and the repercussions that may follow, as well as understand their contribution towards the achievement of the NCS's vision of becoming Africa's leader in the provision of correctional services.

c) *Constraints hindering effective implementation*

Focus group members cited lack of communication as the main constraint hindering implementation of the plan. One respondent stated that Headquarters is not communicating their objectives, they only request for statistics, therefore the plans cannot be effectively implemented if one cannot measure where s/he is in relation with where s/he is supposed to be. One respondent further feels that at the moment Headquarters request information in a flash while they are not communicating their direction and what they are trying to achieve before they request for information.

She further stated that certain expectations which may be linked to the strategic plan are unrealistic because the current structure and human resources in place do not allow for the attainment of such objectives. She further expressed that a lot of training should take place. The data shows that respondents points to lack of communication between the institution and HQ and that the HQ seems to request information from the institution without giving enough time for compilation of such information.

d) *Involvement of members in the management of the strategy*

All members in the focus group agreed that everybody should be involved in the implementation because all are implementers albeit at different levels and with different responsibilities. One stated that if others are left behind, they will not know

what is going on and their attitude towards work will not be good. One respondent asked who provided input on what her section should achieve in the five years if she was not involved at all. Another further stated that even COIs (lowest rank of correctional officers) should not be left out, because if are told to be exemplary in their conduct towards offenders while they do not know how since they are excluded from the planning.

One respondent felt that plans should be formulated only by management and middle management but, later changed to say that each sectional head should get his or her subordinates together in order to draw up their sectional plan. The sectional head should then bring it to management to make one plan for WCF. Another stated that the draft sectional plans should be shared with all at staff meetings then after that top management can put it together and make one for WCF and add whatever and make it one. Another felt that draft plans should also be shared with all members through briefings at staff meetings thereafter smaller groups will follow where detailed explanations will be given in order to teach and educated them for them to understand. Another suggested that members of the institutional management can be divided in smaller groups to go to various units/divisions to teach them on how to implement.

One responded that “these people are hiding a lot of things from us, I never knew this”. Another stated that they have never heard of any review or seen any report and none of them was involved at all. All group members stated that they were not involved in any kind of review neither have they seen any review report anywhere. The responses from focus group members show that everybody should be involved in planning for them to buy in the plans. They seem to agree that the

management of the institution and sectional heads should take leadership to ensure that everybody is involved and understands.

e) Achievement attributable to the plan

One responded that changes are there but they are not sure if they are due to these plans. Another further concurred that there had been changes but they can not say whether they are coupled to the strategic plan, since they do not know the objectives of these two plans. Another respondent felt that as soldiers on the ground their input should be sought when such plans are being drawn up, so that they can also celebrate success. It is clear that changes might have been noticed, however since members are not aware of what the organisation is trying to achieve, they cannot say that such changes were due to the implementation of the two plans.

4.2.4 Findings reflecting views of institutional members

a) Efficiency and effectiveness as a result of the plan

There were 10 questions in the questionnaire to determine whether the strategic planning of the ministry and department in particular have created efficiency and effectiveness. Therefore, in a nutshell, this thesis investigated the respondents' knowledge about ministerial strategic plan and the NCS strategic plan by asking them whether they have knowledge on the existence of the ministerial strategic plan and the NCS strategic plan. Figure 4.5 below has provided the contextual data on this question.

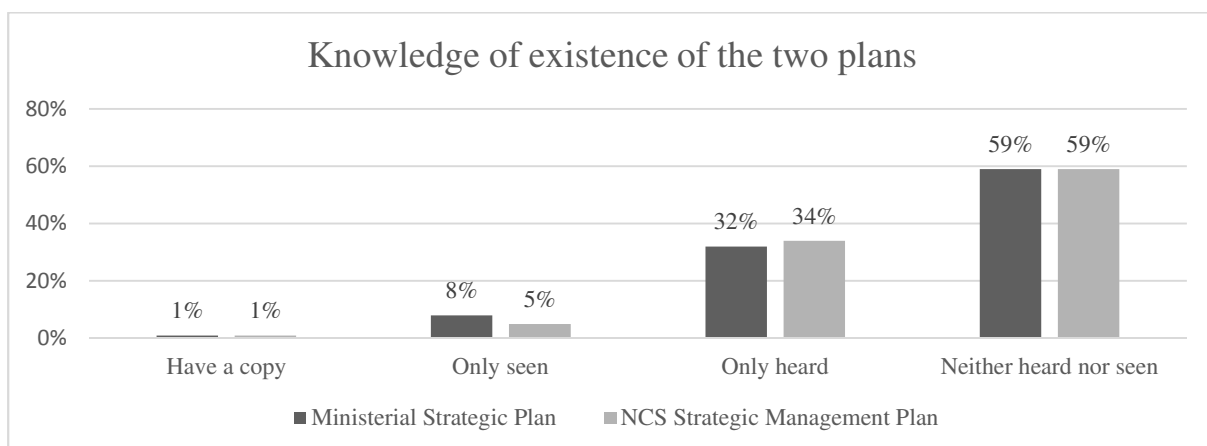


Figure 4.5 Knowledge of existence of the two plans

It is quite interesting to note from Figure 4.5 above that 59% (N=54) of the respondents indicated that they have never heard about nor seen the *ministerial strategic plan and the NCS strategic plan*. Furthermore, 34% (N=31) have only heard about the NCS Strategic Management Plan while 32% (N=29) have heard about the Ministerial Strategic Plan. A mere 8% (N=7) have seen the Ministerial Strategic Plan while 5% (N=5) have seen the NCS Strategic Management Plan. Figure 4.5 above clearly shows that the Ministerial Strategic Plan and the NCS Strategic Management plan are unknown documents in the ministry. This finding provides a gap between the empirical and theoretical discourses. For example, in Chapter 2 of this thesis Mintzberg (1994, pp. 16-19) and Ehlers (2007, p. 7) explicitly indicated that benefits of strategic planning if well executed with full involvement of members of the organisation include: high productivity and profitability, improved coordination of activities; more resources and time management, and it also enables organisations to take the future into account, to be rational and to be in control.

b) *Necessity for the NCS to have a Strategic Plan*

The respondents were asked to indicate whether they agree or disagree that it was necessary for the NCS to have a strategic plan every five (5) years. Figure 4.6 below provides information as follows.

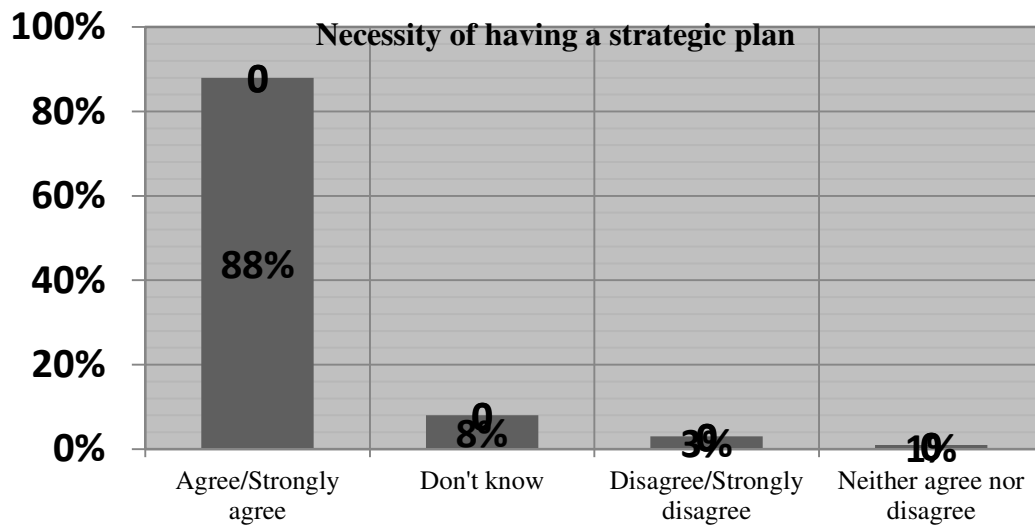


Figure 4.6 Necessity of having a strategic plan

Although it is good to note that if 'agree' and 'strongly agree' are combined, 88% (N=80) of the respondents agree/strongly agree that it is necessary that the NCS should have a strategic plan every five years, 8% (N=7) who indicated '*do not know*' is a significant number to note.

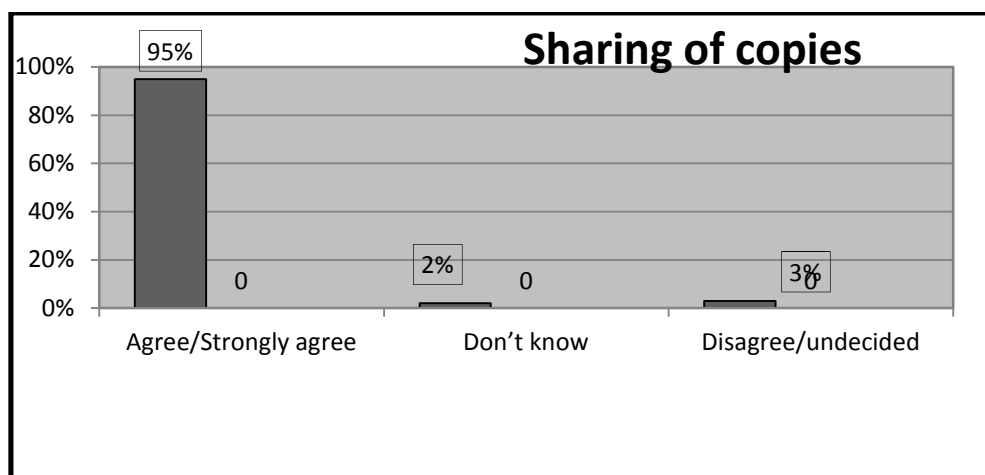


Figure 4.7: Sharing of copies of Strategic Management Plan

With reference to figure 4.7 above, 95% (N=86) of the respondents indicated that they agree (33) and strongly agree (53) that copies of the Strategic Plan should be shared with members. From the findings it is clear that respondents want to receive copies of the Strategic Management Plan. It seems that members would like to have a shared vision as alluded to by Smith, 1994 and McKinsey 7Ss in Chapter 2.

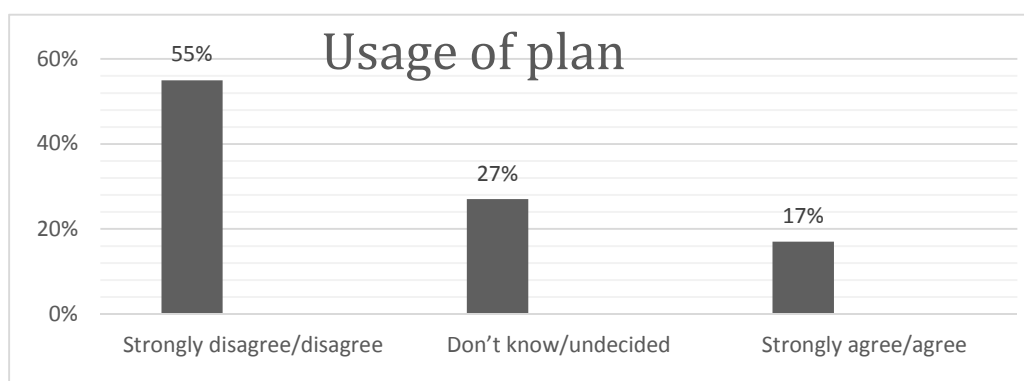


Figure 4.8 Usage of the plan

On the regular usage of the Strategic Management Plan 55% (N=50) strongly disagreed or disagreed while a bigger number is either undecided or do not know 27% (N=25) which leaves only 17% (N=16) who agreed strongly or agree. This information contradicts the information on figure 4.3 above since this number

exceeds, 6 the number of respondents that have seen or have a copy of the strategic management plan.

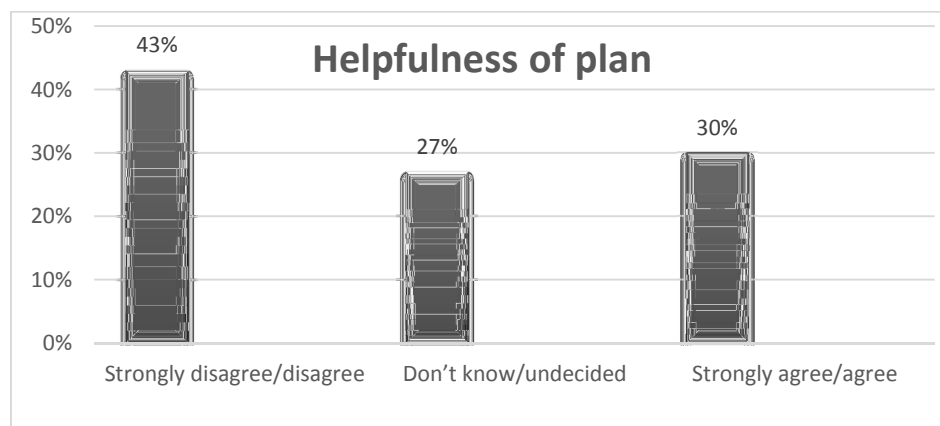


Figure 4.9 Helpfulness of plan in report writing

The plan seem not to be used when writing reports as 43% (N=39) strongly disagree or disagree while 14 neither agree nor disagree, 27% (N=25) either undecided or do not know that could be attributed to the fact that not all members are tasked with a responsibility of report writing. However the 30% (N=27) which agree is also a big number although it is also high and exceeding the number that had seen the strategic management plan.

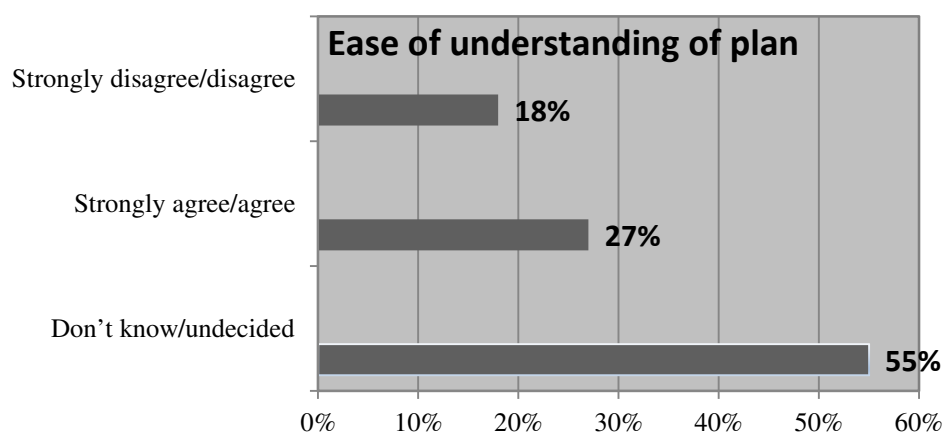


Figure 4.10 Ease of understanding of plan

The majority of respondents i.e. 55% (N=50) are either undecided or do not know, however 27% (N=25) strongly agree/agree although 18% (N=16) strongly disagree or disagree. However, 25 and 16 that agreed and disagreed respectively do not tally with the number of respondents that have seen the document.

Who is responsible for implementation

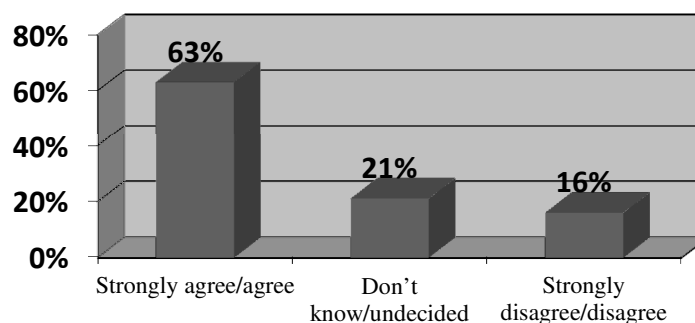


Figure 4.11 Who is responsible for implementation?

From figure 4.11 above it is interesting to note that 63% (N=57) agreed/strongly agree that it is every member's responsibility, but 21% (N=18) are either undecided or do not know. However 16% strongly disagree/disagree with the statement. The results show that although they do not know the content of the strategic management plan, they feel responsible for its implementation.

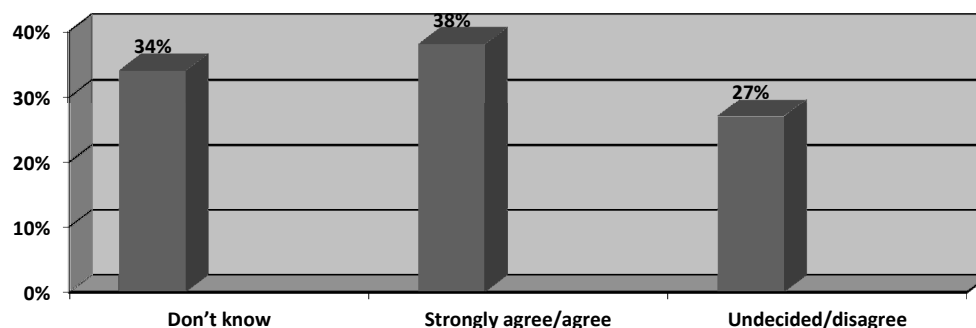


Figure 4.12 Improvements in service delivery at WCF

Figure 4.12 above shows that 34% (N=31) respondents do not know while 38% (N=35) agree, despite that, a total of 27% (N=25) are either undecided or disagree. Given the responses of those who disagree and do not know which are 43 altogether, it is clear that members are not aware of improvements that could be attributable to the implementation of the Strategic Plan. This seem to support what Aaltonen and Ikavalko (2002) and Wessel (1993) as quoted by Dandira (2011), in Chapter 2, when they referred to problems in strategy implementation which includes lack of or poor vertical communication.

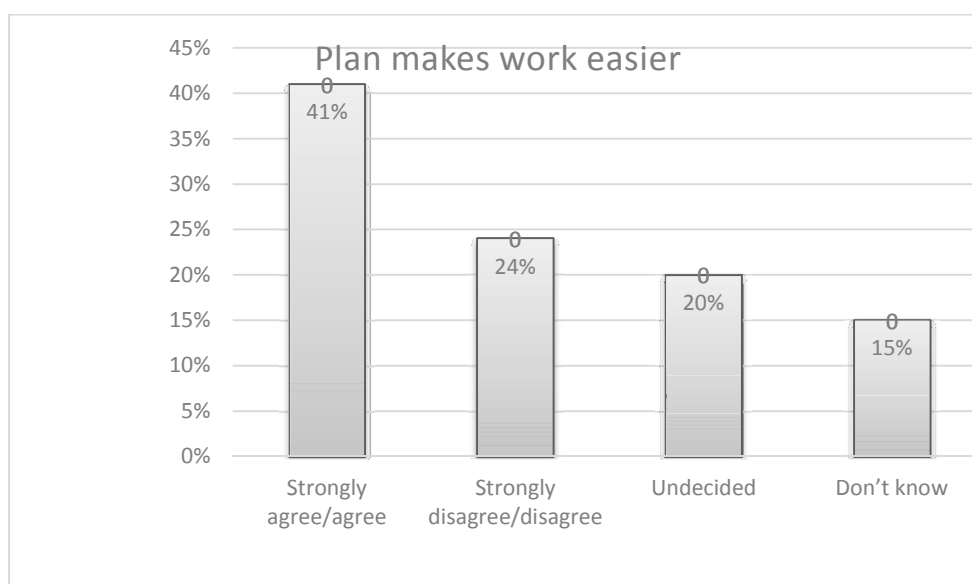


Figure 4.13 Plan makes work easier

From figure 4.13 above it is clear that although 41% (N=37) strongly agree/ agree that having a plan made their work much easier, a total of 24% (N=22) disagree while those who are undecided 20% (N=18) are also a great number to note.

c) *Cascading the plan into AWP and implementation*

I asked respondents 3 questions regarding the cascading of the strategic management plan into annual work plans at Windhoek Correctional Facility, as well

as whether it is used to guide daily operations. Figures 4.14, 4.15 and 4.16 below depicts the responses to the 3 questions.

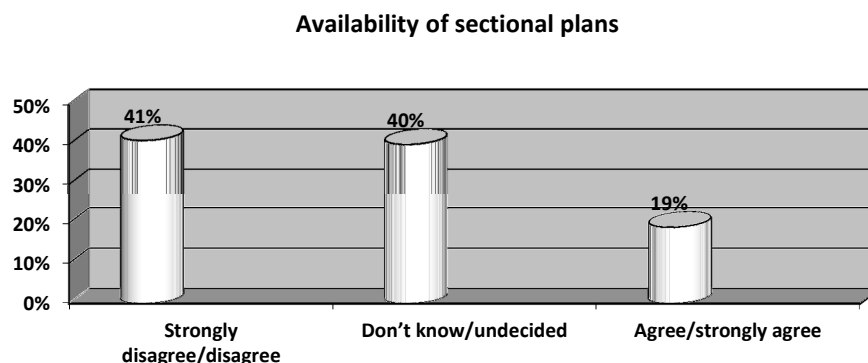


Figure 4.14 Availability of Sectional plans

The figure 4.14 above indicates that 41% (N=37) of the respondents strongly disagree/disagree that their section has an annual plan, while altogether 40% (N=36) either do not know or undecided. From the figure above it is clear that only 18 respondents are aware of availability of annual plans in their sections which indicates that if sectional plans are available they may not be written or if they are written they are not shared. This is contrary to the literature, according to the OPM (2011) and Technology One White Paper (2010), which suggested that the strategy should be linked to operational plans to be implemented and measured (see Chapter 2).

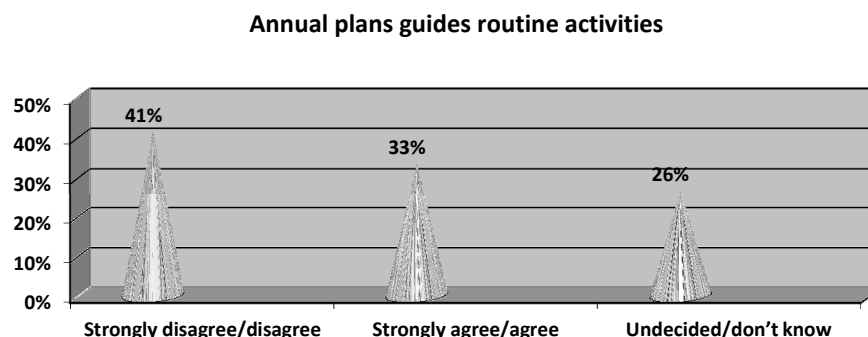


Figure 4.15 Annual plans guides routine activities

On whether such annual plans guide routine the number, the negative responses remained 41% (N=37) while the positive answers increased from to 33% (N=30). However as already alluded to above, such sectional plans might be the verbal instructions that members might have perceived as a plan in layman's term. These responses support what Dandira (2011) posted the strategic plan gets displayed in receptions areas, but meaning nothing to the majority of the workforce (see Chapter 2).

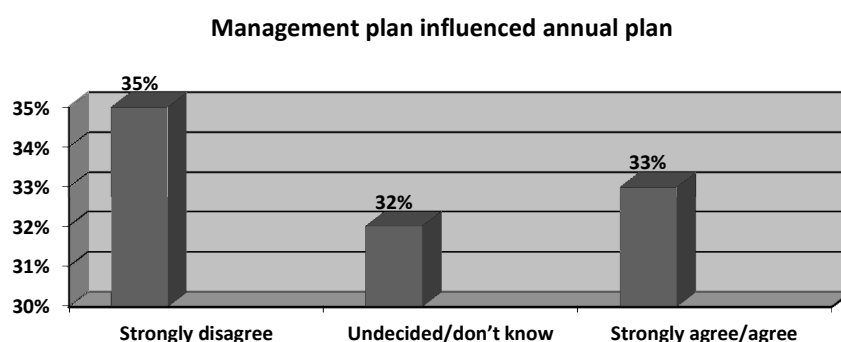


Figure 4.16 Management plan influenced annual plan

On whether the strategic management plan was used to guide development of annual plan 35% (N=32) disagreed, however 20% (N=18) are either undecided or do not know. Given the unpopularity of the Strategic Plan and subsequent NCS Strategic Management Plan as depicted on figure 4.16 above, that 83 respondents neither have a copy nor seen the Ministerial Strategic Plan while 85 neither have a copy nor seen the NCS Strategic Management Plan the likelihood that those that strongly agreed/agreed might be referring to something else than the plans in question. There is also a greater possibility that they might be referring to an unwritten plan. They might also be thinking that the researcher is referring to the ORMCS.

d) *Constraints hindering effective implementation*

This section investigated possible constraints that could hinder effective implementation of the strategic management plan at the institution level such as lack of communication, too many unplanned activities and lack of time to focus on anything else. Responses are illustrated in Figures 4.17 below.

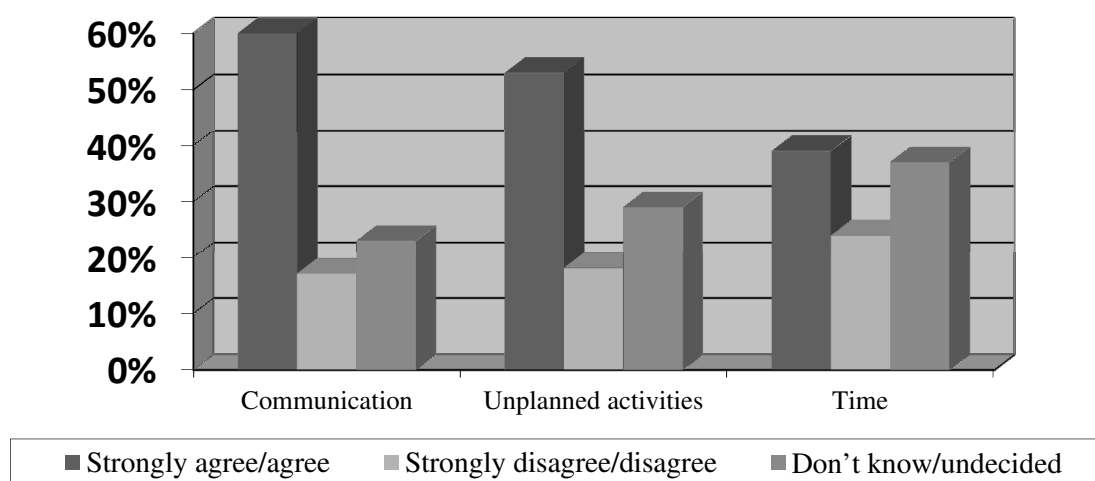


Figure 4.17 Constraints hindering effective implementation

Figure 4.17 above shows that the majority found communication as a constraint hindering implementation of the plans. Whether unplanned activities hinder implementation 53% (N=48) strongly agree/agree, while 29% (N=26) are either undecided or do not know. The data indicates that the majority points to unplanned activities as a constraint.

Respondents were asked a question whether time to focus on the strategy has been a constraint to which 38% (N=35) strongly agree/agree while 20% (N=18) do not know. However it is also worth noting that 24% (N=22) who strongly disagree/disagree.

e) *Involvement of members in the management of the strategy*

Respondents were asked on whether they were involved in the management of the strategic plan and strategic management plan, whether they would like to be involved as well as whether they consider themselves to be in the dark regarding planning.

On whether they were involved in the development of the plans Strategic plan and strategic management plans respectively, respondent's answers are depicted by figure 4.17 below.

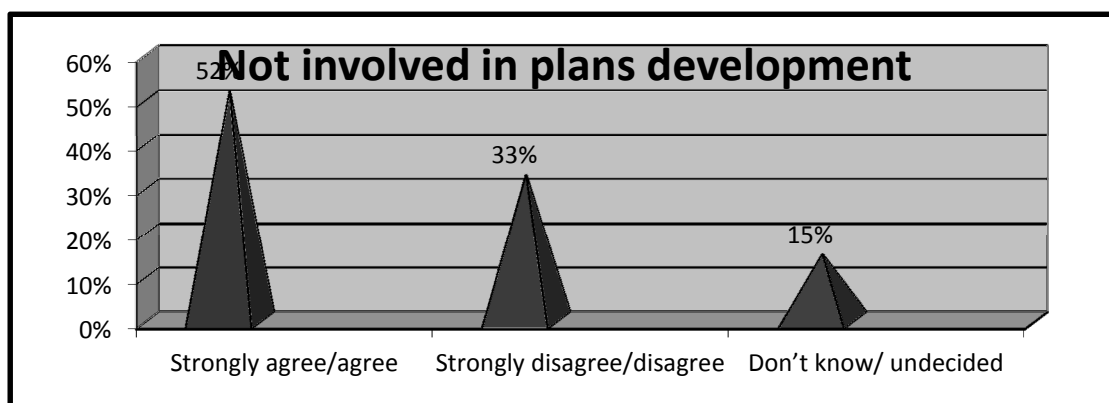


Figure 4.18 Not involved in the development of plans

Figure 4.18 above portrays that 52% (N=47) strongly agreed or agreed to not being involved yet 33% (N=30) disagree however 15% were undecided.

Want involvement in future plans

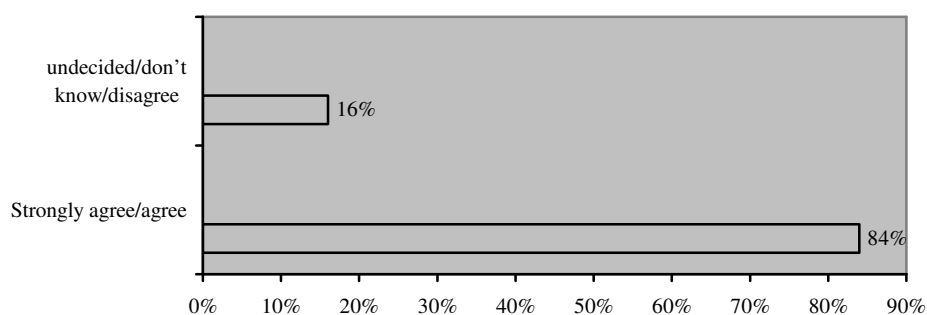


Figure 4.19 Want involvement in future plans

Respondents were asked whether they would like to be involved in future plans. From figure 4.19 above it is clear that a total of 84% (N=76) agreed, it is also worth noting the combined 16% (15) of those who are either undecided, disagree or do not know. The data shows that members want to be involved in the review of the strategic plan.

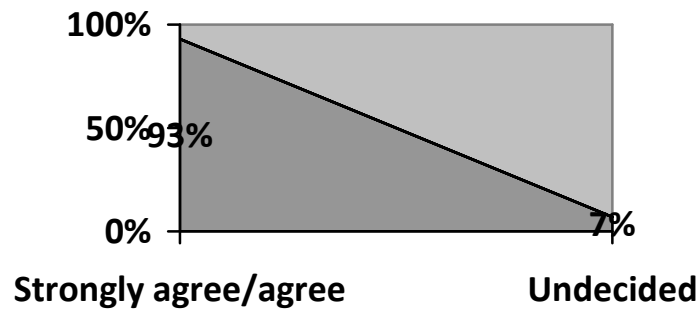


Figure 4.20 Want copies of departmental and institutional annual reports

93% (N=85) agreed to wanting to receive copies of the departmental and institutional reports, however 3% is undecided. According to the data, almost everyone 85 wants to receive copies of annual reports.

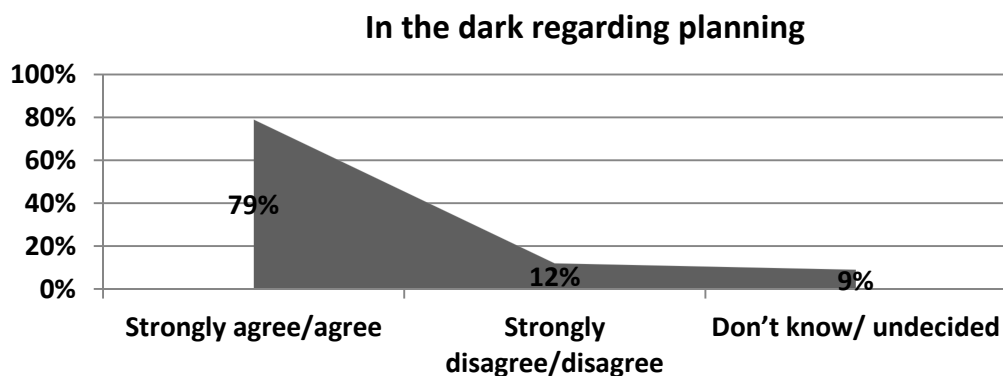


Figure 4.21 In the dark regarding planning

79% (N=72) strongly agree/agree that they are in the dark, yet 12% (N=11) strongly disagree/disagree. The data is showing that a lot of members feel left in the dark as far as progress on the strategic management plan is concerned.

f) *Strategic review, monitoring and evaluation*

The review, monitoring and evaluating mechanisms component falls under Section E of the Institutional members' questionnaire. The answer to whether the strategic plan has been reviewed is presented on the figure below.

g) *Achievement attributable to the plan*

On the statement that there has been significant improvement in service delivery at WCF since the strategic plan started to get implemented, the members' response is shown on figure 4.21 below.

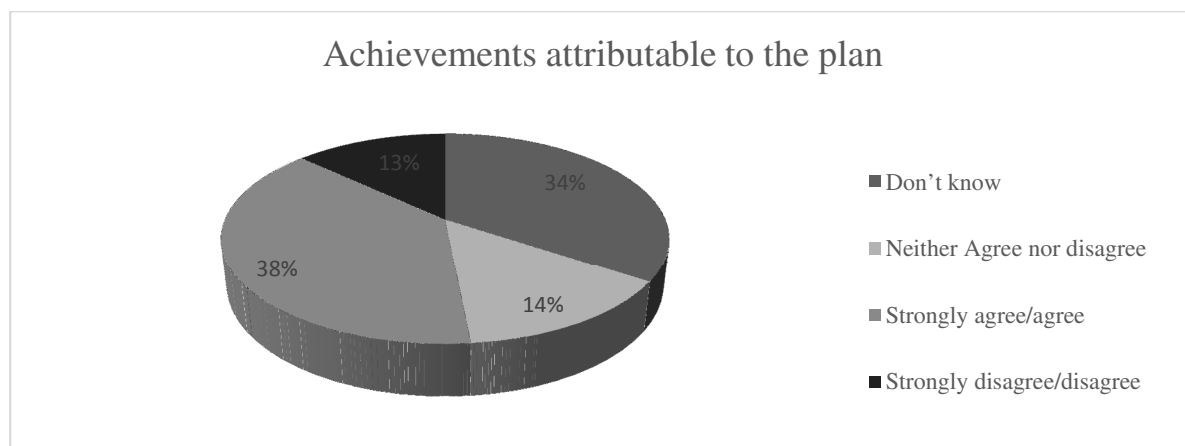


Figure 4.22 Achievements attributable to the plan

From figure 4.22 it is clear that the majority, 34% (N=31) do not know of any achievements that could be attributed to the strategic plan while 14% (N=13) neither agree nor disagree. Together 13% (N=12) either disagree or strongly disagree, 38% (N=35) either agree or strongly agree that there has been significant improvement. It

is clear that the majority are either unaware or cannot testify that there are achievements that could be attributed to the strategic management plan.

4.3 Limitations, validity and reliability of results

The researcher holds a senior position at WCF thus she remains aware that some responses may have been influenced by her position. There is possibility of bias that she may have slightly imposed her feelings and perceptions in the process of explaining the study and questionnaire to some respondents. The researcher, being an employee, is equally affected by the strategic plan and implementation thereof making it difficult to completely distance oneself from the issues at hand.

In a military setting respect for authority/seniority is commanded therefore respondents' agreement to participate may be due to that fact. It is also worth noting that some senior officers may have given responses that they assume are correct because they do not want to be seen weak.

Due to the nature of the measuring instruments, the questionnaire for institutional members yielded some responses that the researcher would have otherwise wanted to clarify but that was not possible. It also seems that some respondents, although in a small number, have answered to be done with the questionnaire irrespective of whether their answers made sense, e.g. a respondent who ticks one column throughout the questionnaire. Interviews to key informants was changed to self-administered questionnaire due to the inability to secure time for the interview, one respondent made time to be interviewed, three completed themselves but gave the researcher time to go through the questionnaire and ask for more information and clarity. Only two key informants were totally unavailable for

interviewing and clarification of their answers. Therefore I believe that the change of method did not affect the results and validity of the questionnaire.

One of the key informants refused to participate, thus 1 COMM was replaced by a D/COMM therefore the number of respondents remained 6. The sample for SCO and COI was 40 and 28 respectively but 12 SCO and 3 COI could not be reached since they are mostly shift workers unlike senior officers who are office bound. The D/COMM who was to be in the focus group was also replaced by 1 A/COMM since he was busy with other assignments.

The reduction in the size of the sample from 120 to 105 due to unavailability of respondents who were attending to equally important work related matters did not affect the results of the study as the majority of respondents were reached. Data was obtained from multiple sources at different levels in the organisation using different methods of data collection.

The fact that the strategic plan and strategic management plan are unknown documents at the institution and also not constantly being used at other levels made answering the questions difficult. The word strategy, especially at the institution level, is associated with the ORMCS which they are implementing but not aware where it stems from.

4.4 Summary

This chapter provided the findings from the study and their interpretations. The study used mixed methods of data collection from three levels of employees in the NCS. From the findings it is clear that the strategic management process in the NCS is not used to create efficiency and effectiveness since the majority do not know it, while some managers hardly use it as it does not speak to their activities. It is also

clear that involvement in the formulation of the plans was very poor. Although HQ staff may be clear on what the strategic plan has achieved, none of the members at WCF, management included, could tell whether the changes they see are attributable to the strategic plan. Review of the plan has not been done regularly if at all, not properly because each of the managers had their own views of the review done.

Chapter 5 below will re-look at the objectives and give conclusion and recommendations of the study.

Chapter 5: Conclusions and Recommendations

5.1 Introduction

Chapter 4 gave an analysis and interpretation of the findings of the study. This chapter relooks at the objectives of the study, give a summary of key findings, look at how the study might contribute to the management field and give recommendations to the organisation and for future research. On the basis of this problem, this thesis is geared to explore answers for the following research questions:

1. To what extent have the strategic plan in the MSS and successive NCS strategic management plans been used to create efficiency and effectiveness in the Ministry?
2. What are the constraints and to what extent do these constraints hinder the effective implementation of strategic plans and how were they dealt with?
3. To what extent have the NCS employees at all levels been involved in formulating the strategic plan?

The thesis was therefore structured to make conclusions on the basis of research objectives as summarised below.

5.2 Conclusions

1. *Evaluate the extent to which strategic planning has been used to create efficiency and effectiveness in the Ministry.*

The findings shows that the strategic plan of the MSS and the subsequent strategic management plan of the NCS are by and largely unknown documents at the WCF. Both senior and junior correctional officers at WCF have affirmed that they do not have copies of the two documents. A handful have either seen or heard about them

while the majority have never seen or heard about the two documents. Even the key informants seem not to be using the documents regularly, and most have admitted that they are focusing on routine rather than the strategic plan. This confirms what is stated in figure 2.6 above that 9 out of 10 organisations fail to successfully implement strategy due to deficiencies in the articulation of vision and shortcomings in management practices. The study also reveals that the strategic plan is skewed to the extent that some directorates and/or divisions are not covered in the plan thus it does not have an influence in their activities. This lack of knowledge and usage seems to defeat the primary purpose of the MSS Strategic Plan 2009-2014 which is “to guide officers, managers, and staff members of the MSS in monitoring the performance of this Ministry for the next years 2009-2014” (MSS, 2009, p.6).

2. Assess how the plan has been cascaded into operational plans that will eventually lead to its implementation.

The research has revealed that the NCS strategic management plan has not been cascaded down to operational plans that would have led to its full implementation and address the vision barrier that only 5% of employees understand strategy. The study has further revealed that besides the absence of cascading, employees are not aware of the existence of the strategic plan and strategic management plan. Employees may be implementing parts of the plan without knowing where it stems from.

3. Identify and analyse the constraints hindering effective implementation of the strategic plan in the MSS.

Key informants have identified human resources and finance as the main constraints besides external factors e.g. tendering, and time while institutional

members have identified lack of communication, too many other competing activities and time constraints. This is an indication that the strategic plan has not been linked to other factors as proposed by the McKinsey 7Ss model referred to above, for effective implementation. The study also shows in Figure 2.6 on Resources barrier that 60% of organisations do not link budget to strategy as well as People barrier that only 25% of managers have rewards linked to strategy which in this case is totally non-existent. While work has been going on, it appears that the organisation has been attending to emergent strategies and routine as stated by the Mintzberg and Waters' (1985) model figure 2.1 above, that emergent strategies may occur during implementation since the world is unpredictable, not benign and uncontrollable, thus some intended strategies end up being unrealised while emergent ones get realised together with deliberate strategies. There really seems to be lack of communication between HQ and institutions because while the HQ is mentioning successes of the strategic plan, members at the institution are mentioning that they have noticed some changes but they do not know where they are stemming from since they are not aware of existence of the strategic and management plans.

4. Determine the extent to which members have been involved in formulating the strategic plan of the MSS.

The study has revealed that the majority of staff members at all levels in the organisation were not involved in the formulation of the strategic plan and that even some senior members do not know who was involved. In the case of the strategic management plan, it was only senior management (Senior Assistant Commissioners at that time) and the consultant who formulated it. After the formulation, these two documents appear not to have been shared with other members who have expressed willingness to learn what is contained in such documents. This seem to support the

literature according to Dandira (2011) that key staff create a strategic plan without the input of implementers who are asked to implement a plan that they do not have or know which makes implementation difficult. Even the management of WCF, which is driving the institution, has no idea of the existence of the plan. There is no doubt as literature in Chapter 2 above has illustrated that involvement in planning increases knowledge of the organisation, productivity and commitment. It further creates a sense of accomplishment, ownership and increase organisational success.

5. Assess the MSS' reviewing, monitoring and evaluating mechanisms for the implementation of its strategic plan.

The study has shown that regular review of the strategic plan has not taken place and when a review was done, it was not properly done and communicated to others. Strategic review is meant to discover what is working or not and take corrective actions immediately, but without a review and a monitoring and evaluation mechanism in place, implementation of the strategy could not be tracked and improved.

5.3 Recommendations

- If the objectives of public sector reform are to be successfully achieved, the OPM should ensure that all O/M/As understand the rationale of strategic planning and steps to be followed instead of leaving the whole process to consultants who may not have the time and patience to let everyone understand and participate, thereby ending up doing the work themselves in order to produce a final product. This will also enable all employees to take ownership of the plan and be excited of their achievements or scale up should they realise that progress is slow. Furthermore, OPM should monitor, evaluate, collect information and provide feedback and

guidance, to ensure that strategic plans are not merely done to satisfy the requirements of having one, but implemented as planned.

- The MSS and NCS in particular should ensure that all employees are aware of and understand the plan and how it relates to their work. As many staff members, as possible, should be included in the planning process to ensure that they have ownership of the process and are eager to implement the plans.
- The plans should be cascaded into annual plans for each and every institution in order to provide guidance and direction.
- Although partnership with stakeholders is one of the Strategic Themes of the Strategic Plan and featuring prominently in the Strategic Management Plan it is not clear who those stakeholders are, whether they are internal or external as they have not been identified. Therefore it will be useful to include a Stakeholder analysis on the plan.
- The MSS should make departmental specific strategic themes and objectives to ensure that they cascade down to specific strategic initiatives.
- The department should consider establishing a Monitoring and Evaluation division/section in the directorate of performance assurance to regularly monitor performance and provide timely feedback.
- While the key informants stated that NCS has been productive and reduced dependency on government in terms of offender rations, there is no objective in the whole Strategic Plan aimed at increasing revenue generation and reducing government expenditure on correctional service. The only strategic objective under the Financial Perspective on the corporate scorecard is to ensure effective use of financial Resources. The NCS can generate a lot of revenue for the government through its various productive activities and reduce government

expenditure on inmates and suspects because they have the capacity to feed offenders in both the correctional facilities and the police holding cells. An objective in that regard is therefore recommended to enable measurement and increase productivity and accountability.

- The workforce today is more educated and better qualified, more aware of the choices open to them for work and career development and as such one can expect employees today to be more demanding and, at the same time, willing, able, and ready to take part in workplace improvements, problem solving and decision-making. Hence more should be done to leverage employee involvement as a management approach that would lead to the achievement of organisational efficiency and competitive advantage.

5.4 Recommendations for further research

- Further research is needed on public sector strategy implementation, monitoring and evaluation especially on the degree of involvement of the Office of Prime Minister - Department of Public Service Management in the whole strategic management process and what role they play in overseeing the strategic planning and implementation thereof.
- Research is also needed on how public Sector organisations deal with the National Planning Commission which is monitoring the NDPs and the OPM which is supposed to monitor the strategic plans, and whether there are no duplications since the NDPs should inform the strategic plans.
- Since this study only looked at the broad strategic management process, further research can explore each of the components of the process in greater depth and

detail, e.g. strategic planning, strategy implementation, evaluation, and review and monitoring.

- Further research can also explore whether institutions need plans or they can effectively function on routine alone.

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List of Appendices

Code:

Appendix 1: Questionnaire Members

Questionnaire Members

Stimuli

The Ministry of Safety and Security has formulated a five year strategic plan 2009-2014 which is ending March 2014. This plan was preceded by the NCS Strategic Management Plan which was adopted March 2012. This study is evaluating how the current running strategic plan had assisted Windhoek Correctional Facility to improve on operational efficiency.

Section A: Personal data

1. What is your rank

a.	S/SUPT	
b.	SUPT	
c.	SCCO	
d.	CCO	
e.	SCO	
f.	COII	
G	COI	
h.	Other (specify)	

2. How many years have you been working for NCS?

a.	0-5 yrs	
b.	6-10 yrs	
c.	11-15yrs	
d.	16-20yrs	
e.	21yrs +	

3. Gender

a.	Male	
b.	Female	

Section B: Evaluation of the extent to which strategic planning has been used to create efficiency and effectiveness in the Ministry.

4. Do you have knowledge of the existence of these documents?

	a) Have a copy	b) Only seen	c) Only heard	d) Neither heard nor seen
Ministerial Strategic Plan 2009-2014				
NCS Strategic Management Plan 2012-2014				

5. For each of the following statements, please tell me whether you disagree or agree.

	Strongly Disagree	Disagree	Neither Agree Nor Disagree [DNR]	Agree	Strongly Agree	Don't Know [DNR]
a. It is necessary for the Namibian Correctional Service to have a Strategic Plan every five (5) years.	1	2	3	4	5	9
b. Copies of the strategic management plan should be shared with members.	1	2	3	4	5	9
c. I regularly make use of the strategic management plan.	1	2	3	4	5	9
d. The strategic management plan helps me with writing my reports.	1	2	3	4	5	9
e. The Strategic management Plan is easy to understand and use.	1	2	3	4	5	9
f. Every staff member is responsible for implementing the strategic management plan.	1	2	3	4	5	9

g. There has been significant improvement in service delivery at WCF since the strategic plan started to get implemented.	1	2	3	4	5	9
h. Having a plan has made my work a lot easier.	1	2	3	4	5	9

Section C: Assessment of how the plan has been cascaded into operational plans and implementation.

i. Our section has an annual plan.	1	2	3	4	5	9
j. I use our plan for guidance in my day to day work.	1	2	3	4	5	9
k. We used the strategic management plan in the development of the annual plan.	1	2	3	4	5	9

Section D: Constraints hindering effective implementation of the strategic plan in the MSS.

l. There is lack of communication between HQ and institutions.	1	2	3	4	5	9
m. There are too many unplanned activities that disrupt the progress.	1	2	3	4	5	9
n. There is not enough time for us to focus on the strategic plan.	1	2	3	4	5	9

Section E: Involvement of staff members in the management of the strategic plan of the MSS.

o. I was not involved in the development of the plans.	1	2	3	4	5	9
p. I want to be involved in the review of the strategic plan?	1	2	3	4	5	9
q. I want to receive copies of departmental and institutional annual reports.	1	2	3	4	5	9

r. I am totally in the dark regarding the progress on the strategic management plan.	1	2	3	4	5	9
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Thank you for your time!

Appendix 2: Questionnaire NCS Headquarters

Questionnaires: NCS Headquarters

Date: _____

Please note that the following contact information of the respondent is optional.

Contact information: _____

Section A: Personal details

1. What is your Rank?

a) DCG	
b) COMM	
c) D/COMM	

2. What is your position?

3. How long have you been working for NCS?

a) Less than 5 years	
b) 5-10 years	
c) 10-15 years	
d) 15-20 years	
e) 20+ years	

Section B: Efficiency and effectiveness in the Ministry as a result of the strategic plan.

4. The strategic plan makes:

a) Significant impact on my departmental activities	
b) Little impact on my departmental activities	
c) No impact on my departmental activities	

Please motivate your answer.

5. Are there significant improvement of service delivery that is attributable to the implementation of the Strategic Plan?

a) Significant improvement in service delivery	
b) Little improvement in service delivery	
c) No improvement in service delivery	
d) Not sure if there is any	

Please motivate your answer.

Section C: Strategic plan vis-à-vis operational plans.

6. Are all 14 NCS institutions having operational plans?

7. How would you rate the success of the implementation of the NCS Strategic Management Plan?

Poor	Fair	Good	Very Good	Excellent
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Please motivate your answer.

Section D: Constraints to the effective implementation of the strategic plan in the MSS

8. Do any of these influence strategy implementation and how?

a) External factors	
b) Human resources	
c) Time	
d) Finance	
e) Don't know	

Please motivate your answer.

9. What can be done to improve the implementation of strategic plans in the future?

Section E: Involvement of staff members in management of the strategic plan.

10. Who was involved in the formulation of the current 5 year Strategic Plan and Strategic Management plan?

11. In your opinion, should staff members at institutions be involved in the planning?

_____ If not why not?

If yes, which ones and why?

Section F: The MSS' reviewing, monitoring and evaluating mechanisms for the implementation of its strategic plan.

12. How often is the strategic plan reviewed for monitoring and evaluation purposes?

a) Never	
b) Rarely <5 years	
c) Sometimes 2-5 years intervals	
d) Always <1-2 years intervals	
e) Annually	
f) Quarterly	

Thank you for your time!

Appendix 3: Permission to record the focus group discussion

P.O Box 8218
Bachbrecht
Email:
tumanaukushu@mtcmobile.com.
na
11 November 2013

Att: D/COMM Hamukwaya M.
The Officer in Charge
Private Bag 14004
Bachbrecht

Re: Permission to record the focus group discussion

Dear Commissioner Hamukwaya

As part of data collection for the thesis that I am busy completing at the Polytechnic of Namibia, I plan to conduct a focus group discussion with 10 members of the Windhoek Correctional Facility Management.

The discussion which I will facilitate is planned to take about 1 and a half hours. However it is necessary that I capture all the views of all group members exactly the way they said it, to avoid misrepresentation. Therefore I would like to granted permission to record the discussions with either a cell phone or voice recorder. This is tradition for focus groups because during discussions the researcher will not be able to write all the information as they are said.

The information capture is for academic purposes only, thus bearing no implications whatsoever to anyone. The recording will be deleted once the information has been used and it will not be shared with anyone.

Yours truly,

A/COMM. N.T Naukushu
DOIC-CM

Appendix 4: Respondent's letter

Re: Interview for research purposes

Dear Respondent

I am a final year student studying towards a Masters in Leadership and Change Management at the Harold Pupkewitz Graduate School of Business of the Polytechnic of Namibia. I am employed by Namibian Correctional Service as an Assistant Commissioner: Deputy Officer in Charge of Case Management at Windhoek Correctional Facility. Besides the coursework, I am expected to submit a mini-thesis as a requirement in partial fulfilment of the Master's degree. It is against this background that I am currently conducting a research study titled:

An Evaluation of the strategic management process of the Namibian Correctional Services and its relevance to Windhoek Correctional Facility.

The research is primarily for academic purposes and it seek to find out how the five year Strategic plan 2009-2014 of the Ministry of Safety and Security is being managed in relation to the NCS and what it means to Windhoek Correctional Facility. The research will therefore look at: who was involved in its formulation, how is it implemented, how is implementation being monitored and whether it has any effect on the operations of Windhoek Correctional Facility. This research will be a useful tool in assisting management in identifying gaps in the strategic management process.

You will remain anonymous and your responses will be treated with utmost confidentiality. The data will be used solely for the purpose of this research project. There are no right or wrong answer but please be as honest as possible. The interview will last approximately 40 minutes.

Your cooperation and assistance in this regard will be highly appreciated.

Thanking you in anticipation.

A/COMM Naukushu N.T

Tel: 061-2846508

e-mail: tnaukushu@gmail.com

Appendix 5: permission to conduct research

P.O Box 8218
Bachbrecht
Email:
tumanaukushu@mtcmobile.com.na
17 July 2012

The Commissioner General of NCS
Private Bag 13281
Windhoek

Re: Permission to conduct research at NCS Headquarters and WCF

Dear Commissioner General, Sir,

I joined NCS as a Deputy Officer in Charge of Case Management in March 2012.

I am a final year student studying towards a Masters in Leadership and Change Management at the Harold Pukewitz Graduate School of Business of the Polytechnic of Namibia. Besides the coursework, I am expected to submit a mini-thesis as a requirement in partial fulfilment of the Master's degree. It is against this background that I am currently conducting a research study titled:

An Evaluation of the strategic management process of the Namibian Correctional Services and its relevance to Windhoek Correctional Facility

I therefore need your permission to conduct interviews in with senior managers at the Head Quarters especially from the levels of DCP, SACP, ACP, CSP as well as the whole management of Windhoek Correctional Facility from 30 July -10 August 2012.

I would also like to be granted permission to allow me access to relevant documents related to strategic management of MSS and NCS in particular such as: strategic plans, annual plans, annual reports, etc. Should permission be granted, I will appreciate if management is informed accordingly.

A final copy of the study report with recommendations will be made available to the NCS.

Yours truly,

CSP. N.T Naukushu
DOIC-CM