

**UNIVERSITY OF BOTSWANA**



**FACULTY OF EDUCATION**

**CHALLENGES FACING THE IMPLEMENTATION OF  
PERFORMANCE MANAGEMENT SYSTEM (PMS): A CASE OF  
SOUTH EAST REGION JUNIOR SECONDARY SCHOOLS IN  
BOTSWANA**

**A RESEARCH ESSAY SUBMITTED TO THE FACULTY OF EDUCATION IN  
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**BY**

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**APPROVAL PAGE**

This research essay has been examined and approved as meeting the standards of scholarship for the partial fulfillment of the Degree of Master of Education.

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## STATEMENT OF ORIGINALITY

The author at the University Botswana between August 2012 and August 2015 completed this research essay. It is the author's original work and has never been submitted for the award of a degree at any other University. All the sources that have been used in this study have been duly acknowledged by means of references.

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Author's Signature

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Date

## **DEDICATION**

I would like to dedicate this research project to my late parents;

Mrs. Motshidi Flora Molefhi and

Mr. Modise Alfred Molefhi. You never lived long to see me grow academically.

## ACKNOWLEDGEMENTS

I wish to express my sincere gratitude to the supportive people who made it possible for me to achieve my goal. My sincere thanks go to my supervisor for this project, Dr. B. C. Pheko for her professional guidance and whose stimulating and intelligent advices inspired me to keep on even when I wanted to give up. To Dr F. Moorad my lecturer who believed I can do this study, thank you.

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## ABSTRACT

This study investigated staff members (teaching and non teaching) perceptions on the challenges of performance management system implementation in junior secondary schools in one South East Region in Botswana. The study was located within two theories of motivation: the expectancy theory of motivation first developed by Victor Vroom and equity theory developed by John Stacey Adams. Hundred staff members were purposively selected to participate in the study. Case study design which combine both quantitative and qualitative (QUAN-qual) methods were used in the study. Data was collected using a questionnaire in the form of a likert scale and semi-structured interviews. The study found that there is inadequate knowledge of PMS processes among staff members resulting poor implementation. Poor implementation of PMS is due to interplay of several factors such as lack of training, lack of funding, mind set problem, inappropriate manner of introduction of PMS by government into the education sector and lack of accountability. The study recommends that schools embark on regular, extensive and continuous refresher training sessions in the form of school-based workshops for all staff members, a participatory approach to engage all staff members in decision making to enable all to own up to school plans, and funding to enhance PMS implementation effectiveness in the schools.

**Keywords:** performance management system, challenges, knowledge, implementation, success factors.

## LIST OF ABBREVIATIONS

ANOVA	Analysis of variance
APP	Annual Performance Areas
BOFESETE	Botswana Federation of Trade Unions
BOSETU	Botswana Sector of Educators Trade Unions
BR	Bursar
BSC	Balanced Score Card
CEO	Chief Education Officer
CK	Cook
EFQM	European Foundation for Quality Management
EP	Effort Performance
GPRA	Government Performance and Results Act
IIAA	Issues, Implications, Actions and Accountability
IQMS	Integrated Quality Management System
KPA	Key Performance Areas
MBO	Management By Objectives
MoESD	Ministry of Education Skills and Development
NDP	National Development Plans
O & M	Organization and Methods
PBRS	Performance Based Rewards System
PDP	Performance Development Plans
PMS	Performance Management System
PO	Performance Outcome
PRP	Performance Related Pay
PSLE	Primary School Leaving Examination
SC	Secretary

SH	School Head
SO	Supplies Officer
SP	Strategic Plan
SPSS	Statistical Package for Social Sciences
SWOT	Strengths, Weaknesses, Opportunities and Threats
WITS	Work Improvement Teams



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## **CHAPTER ONE**

### **Background to the Study**

#### **1.0 Introduction**

The problems of implementation of the Botswana Government reforms and programmes have been encountered in the past (Republic of Botswana, 2002). The failure to complete projects and poor workmanship has resulted in loss of Government revenue and the need for improved implementation of the Botswana Government projects has become public service provision buzz-word. As a result projects implementation has become a daunting problem for the entire Government including the education sector (Republic of Botswana, 2002).

It was against this background that the Government of Botswana introduced Performance Management System (PMS) in 1999 as a management reform to address and redress performance and service delivery into the entire Government system including the education sector (Republic of Botswana, 2002). The problem is that after 14 years schools are still performing low and productivity levels have not changed. The questions are: is the problem lack of understanding of PMS processes or lack of skills and training by teachers and non-teaching staff to implement it? This chapter presents an introduction to the study, brief history of PMS, theoretical framework, statement of the problem, purpose of the study, research objectives, research questions, significance of the study, limitations, delimitations of the study and a summary.

#### **1.1 Brief history of PMS**

Researches from both developed and developing countries indicate that PMS is a necessary tool if provision of service and improvement of productivity have to be released. This may be

the reason why PMS has also been adopted in the schools by United Kingdom for improving work performance of teachers. Jones (2001), stresses that a statutory system of performance management for all teachers and head teachers was introduced and embarked upon in 2000 in England. According to Reeves, Forde, O'Brien, Smith, and Tomlinson (2002), the intention behind the introduction of performance management in schools in the UK was to demonstrate commitment to develop all teachers effectively to ensure job satisfaction, high levels of expertise and progression of staff in their close profession. In addition Reeves et al. (2002) emphasized that the issue of improving teacher effectiveness is at the very centre of policy development in the field of education.

Down, Chadbourne, and Hogan (2000) are of the view that the UK experienced rapid implementation of a raft of initiatives to re-structure the way in which the work of both schools and particularly teachers is defined and managed. Hence the introduction of PMS in the education sector was to restructure and re-culture schooling along the lines of corporate management with an intention to increase accountability and productivity of teachers' work (Down et al., 2000). This trend is also reflected in some African countries.

In South Africa, teacher performance and appraisal has been a subject of debate. In 1994, an education conference for teacher appraisal in South Africa realized that it was necessary to introduce and implement an education system which has guiding principles relating to the appraisal instrument (Cardno & Middlewood, 2001). Cardno and Middlewood (2001) further state that from this conference it was concluded that new appraisal system should be premised on the following principles:

Teachers should be involved in the negotiations of procedure and criteria of appraisal; the process should involve peer review; the process should be oriented towards development rather than judgment; availability resources; the process should be

democratic; evaluators and the process itself must be evaluated and open to review; all reports on individual evaluation must be made accessible to the person being evaluated; all parties involved must be empowered to conduct the evaluation, this means that, all people involved in the evaluation process must receive relevant and adequate training (p. 95).

The conference proposed principles for the South African teacher performance appraisal system that conform to common appraisal practices (Monyatsi, Steyn, & Kamper, 2006). The recommendations from the conference contributed to the development of South African teacher appraisal system which ensured that all stakeholders took part and it resulted in placing performance of individual teachers and schools as critical aspects of performance assessment.

In Botswana it was also found that improvement of service and productivity could be achieved through PMS. It was on this background that the public was unhappy with the state of affairs (Republic of Botswana, 2002). The Government of Botswana was informed by several challenges identified as key issues associated with creation of poor service delivery. The challenges identified include among others: lack of proper planning and management of projects resulting in non-completion of some projects and cost overruns for others; inefficiency in management of resources resulting in resources wastage; insensitivity of the public service to the needs of the public; absence of strategic plans at most of Ministry's level to facilitate effective implementation and review of the policy goals contained in the National Development Plans (NDP); and absence of competitiveness in the world market (Republic of Botswana, 2002).

The main objectives for adopting PMS model were:



to provide a planning and change management framework that is linked to the NDP and budgetary process; to enhance the capacity of the government to achieve the desired level of socio-economic governance; to improve the performance capacity of public officers; and focus the efforts of the public service towards the achievement of the national vision and goals (Republic of Botswana, 2002, p. 6).

The introduction of PMS by the Government brought with it the realization that service delivery is at the core of the Government development efforts. In the process, it was also envisaged that the PMS would improve both the individual and organizational performance in a systematic and sustainable way because Botswana customer satisfaction survey of 2005 revealed that service delivery to the public has been overly unsatisfactory (Republic of Botswana, 2002). In addition, poor service delivery and low productivity within the public service led to a high need to enhance productivity (Republic of Botswana, 2002).

The teachers unions in Botswana signaled a disapproval of the manner in which PMS was introduced in the schools. Botswana Federation of Secondary Teachers (BOFESETE) now Botswana Sector of Educators Trade Union (BOSETU) (BOFESETE, 2003) responded to PMS implementation by stating that:

The introduction of PMS and Performance Based Reward System (PBRS) in the teaching profession was a false start. In principle the two theories are applaudable but the reality is that they were all rushed and as such are bound to fail before they take off. Schools were rushed into producing strategic plans without any clear guidelines and proper table of implementation. With the coming of PBRS teachers are made to commit themselves with deliverables and objectives yet there are no monitoring devices to see whether they are attainable or not. Indeed, despite their good intentions

both PMS and PBRs are far from improving productivity or empowering teachers (p. 11).

The state of sentiments made by teacher unions highlighted a worrying tone that became to haunt the education sector as schools continue to decline in academic results. The decline in the school performance received the attention of the State President in the State of the Nation Address of 2011 and lamented, “I must candidly report that the exams performance of pupils in our public schools continues to disappoint. There was a slight decline in the 2010 Primary School Leaving Examination (PSLE) when compared to 2009; performance at the Junior Certificate level remained virtually the same, the fifth year in a row.” (<http://www.gov.bw/en/News/State-of-the-Nation-Address-to-the-3rd-Session-of-the-10th-Parliament>).

## **1.2 Theoretical Framework**

In this section the researcher discussed the theoretical perspectives of performance in the work-place. This study is guided by two theories of motivation. The first one is expectancy theory of motivation. It was first coined by Victor Vroom in 1964 but it has been over the years received more appreciation and also been criticized by other motivation researchers. According to Sloof and Praag (2006) motivational models developed in the organizational psychology literature are commonly divided into two categories: one focuses on an individual’s internal attributes (content theories) and the other focuses on the individuals interactions with the environment (process theories). Expectancy theory is a process theory of motivation. Sloof and Praag (2006) emphasized that expectancy theory maintained a major position in the study of work motivation.

The expectancy theory argues that individual motivation to perform is related to outcomes and value attached to outcomes. Motivation is determined by outcomes people expect to

occur as a result of their actions. The expectancy theory identifies three factors, which play an interactive role in motivation. The first of these factors, effort-performance (E-P) expectancy, concerns the individual's perception that effort is positively correlated with performance. The higher this E-P expectancy is, the more motivated the individual will be to exert effort. To be more precise, the theory also defines E-P expectancy as the subjective probability that an action or effort (E) will lead to an outcome or performance (P). The second factor is the so-called performance-outcome (P-O) expectancy, also referred to as instrumentality. It concerns a person's expectation that his remuneration is closely tied to his level of performance. This factor also has a positive effect on motivation to exert effort. The third factor is called valence, and is a measure of the degree to which an individual values a particular reward. Again, the higher this factor is, the more motivated the individual will be (Sloof & Praag, 2006).

The second theory underscoring the need for this study is equity theory as first developed by John Stacey Adams in 1960s. Equity theory is used to explain motivational issues and levels of job satisfaction. The theory focuses on perceptions of individuals: whether they feel they're fairly treated compared to others; individuals expect certain outcomes for their effort, time, skills; individuals evaluate themselves according to inputs into the job and outputs into the job and outputs they receive (Grau & Doll, 2003; Greenberg, 1990).

The above mentioned theories of motivation converge firstly, on the assumption that inputs are factors that an individual bring into the job (efforts, experience, skills and education, qualification and competence) and the outputs are outcomes or rewards for the job done (salary, benefits, bonuses, and recognition) (Grau & Doll, 2003; Greenberg, 1990).

In this study PMS is a performance evaluation tool used by the Government to maintain high productivity and performance of general staff in junior secondary schools, hence this expectation is tied to performance. On the other hand, equity theory held that individuals

compare themselves in terms of inputs and outputs for a similar job, they assess the situation; can feel whether there is equity or inequity; they compare themselves with colleagues, friends, neighbors and professionals; if individuals view themselves as equal to others, will view the situation as fair or just leading to job satisfaction and motivation (Grau & Doll, 2003; Greenberg, 1990).

On the contrary, inequality leads to tension, demotivation, imbalance, low productivity, high staff turnover, grievances, absenteeism and strikes (Grau & Doll, 2003; Greenberg, 1990). This study is therefore premised on expectation and equity, performance is derived from efforts of employees in an institution and is a desired expectation and challenges are the results of failure to input deliverables and because of that employees begin to question and demand fairness, this is issues of equity.

### **1.3 Statement of the problem**

Performance management system (PMS) was introduced in the education sector in 1999 in view of improving schools results and redress issues of low productivity. The problem is that after 14 years schools are still performing low and productivity has not changed. The questions are: is the problem lack of understanding of PMS processes or lack of skills and training by teachers and non-teaching staff to implement it?

### **1.4 Purpose of the study**

The aim of the study was to investigate the challenges the teaching and non-teaching staff are facing in implementing PMS to improve productivity and service delivery in some junior secondary schools in South East Region in Botswana.

### **1.5 Research objectives**

The objectives of the study were:

1. To determine the extent to which staff have acquired basic knowledge and understanding of Performance Management System.
2. To identify problems encountered by school management in the implementation of PMS.
3. To identify measures taken to ensure the successful implementation of PMS.
4. To suggest measures that can be used to ensure the successful implementation of PMS.

### **1.6 Research questions**

This study was guided by the following questions:

1. What are the perceptions of teaching and non-teaching staff in junior secondary schools regarding the rationale of performance management system?
2. What are the perceptions of teaching and non-teaching staff about factors that have an adverse effect on the implementation of the performance management system?
3. To what extent are teaching and non-teaching staff involved in the implementation of performance management system?

### **1.7 Significance of the study**

It is hoped that this study will provide a basis from which the employer will provide basic skills and knowledge for teaching and non-teaching staff to implement PMS effectively in junior secondary schools in Botswana. This might assist the schools to improve their strategies used in the implementation of PMS. The findings can also help PMS coordination in the Department of Secondary Education on what challenges needed to be overcome to enable effective PMS implementation in order to improve productivity and service delivery. In addition it will serve as feedback to teaching and non-teaching staff members in their respective schools to make fair judgment of PMS and how the challenges have affected their day to day instructional and supervisory activities. Furthermore, it will contribute to pool of

knowledge on performance management system and prompt stakeholders to conduct further investigations into the challenges facing the implementation of performance management system in schools in Botswana.

### **1.8 Limitations**

There were several limitations which affected the credibility of this study. First, the researcher is a novice, therefore only a small-scale study can be conducted. Hence the results may not be generalized to other regions and schools. Secondly, time was a limitation as the researcher was a part-time student. Thirdly, other limitations emanated from the inherent problems or disadvantages of qualitative research designs and methods. Finally, there could be issues of bias and subjectivity as the researcher is also a teacher.

### **1.9 Delimitations of the Study**

This study was conducted in junior secondary schools located in the South East Region. According to Best and Khan (2006, p. 39), “delimitations are the boundaries of study”. The South East Region is further geographically consisting of schools in Gaborone and South East District (Ramotswa) schools. In this study, only 12 junior schools were selected to participate from population of 21 junior secondary schools in the region.

### **1.10 Definition of Terms**

In this essay the following terms are defined as follows:

**Performance management system** is a phrase that is widely used but there is no agreed definition of what performance management system is. However there is an agreement about its general purpose, which is to improve performance (Walter, 1995; Phillip, 1993; Income Data Services, 1992). Furthermore, Sallis (2002) regards performance management as an interlocking set of policies and practices which have as their focus the enhanced achievement

of organizational objectives through a concentration of individual performance. Performance management system is a tool used to improve levels of productivity in the workplace.

**Productivity** refers to a state of achieving institutional goals and objectives by transforming inputs (human, financial and material resources) into outputs (services or service delivery tangibles) at the lowest cost (Robbins & Judge, 2011). It relates to the conversion of inputs into outputs efficiently and effectively for the benefit of the organization, society, economy and environment. Therefore, productivity comes about as a result of continuous improvement of performance.

**Implementation** is defined as the phase in which systems and procedures are put in place to collect and process the data that enable the measurements to be made regularly (Neely, Richards, Mills, Platts, & Bourne, 1997).

**Perception** could be defined as an individual's personal theory of reality, a kind of knowledge gathering process that defines one's view of the world (Eysenck & Keane, 2003). Carrington (1999) views it as what guide a person's thinking action.

**Challenge** can be defined as any major trend, shock, or development that has the potential for serious impacts (Gelsdorf, 2010).

### **1.11 Organization of the research essay**

This research essay has five chapters, with chapter one presenting the background information regarding PMS and explaining the purpose and the significance of the study. The chapter further outlines the theoretical framework of the study, statement of the problem, the purpose of the study, the research objectives, research questions and definitions of terms used in this research essay.

Chapter two presents reviewed literature related to the study. It traces the history of PMS, reviews empirical studies about the PMS and espouses its importance as a global reform

intended to ensure greater efficiency in the public service. It highlights the different performance measure tools initiated in organizations to increase worker's productivity. It also highlights the challenges regarding the implementation of PMS and ways of overcoming them.

On the other hand, chapter three, outlines the research methodology adopted for this study. It provides an explanation on the principle for selection of the research paradigms. It further explains the research procedures including the quantitative and qualitative methods used, target population, sampling, validity and reliability of the research instrument, data collection, and analysis processes.

The research findings are presented in chapter four. It focuses on the findings based on the quantitative method used and also major findings from the qualitative method used. The chapter includes participants' understanding of PMS, knowing the purpose of PMS, attitude towards PMS, and implementation problems.

At the end chapter five focuses on discussions, conclusions and recommendations. The chapter discusses the findings of the study why staff members in junior secondary schools in Botswana found implementing PMS in their schools a problem. It then makes recommendations and describes the study's impact on our knowledge on implementing PMS in junior secondary schools and how it could be improved.

## **1.12 Summary**

This chapter presented the background information regarding PMS. It covered the history and the motivation behind the adoption of PMS. The background of the study established that PMS was launched in 1999 in Botswana. Its main purpose was to improve productivity and service delivery in the Public Service including the education sector. It also shed light that PMS was also adopted in the schools in United Kingdom to improve work performance of teachers. In addition, developed and developing countries adopted the performance



philosophy and introduced it in the education sector. The chapter outlined the theoretical framework of the study, statement of the problem, the purpose of the study, the research objectives, research questions and significance of the study to lay out a foundation for the study, definitions of terms and organization of research. The next chapter, chapter two focuses on literature review.

## CHAPTER TWO

### LITERATURE REVIEW

#### 2.0 Introduction

This chapter presents a review of literature in relation to PMS. A review of literature serves different purposes. It is conducted to generate a picture of what is known about a particular study and gives the reader the results of other studies that are closely related to the study being reported (Creswell, 1994). In addition it also forms the basis for a theoretical inquiry and expands a development for a body of knowledge. Furthermore, the literature review brings forefront issues that shape the nature and the structure of the investigation. Therefore, the review of literature in this study will focus on the following: The concept of PMS, performance management cycle, models of PMS, performance appraisal, knowledge of PMS, the history of PMS, the pitfalls of PMS, challenges faced by schools in the implementation of PMS, and the strategies used in schools in implementing PMS.

#### 2.1 The concept of PMS

In this section of the study, concepts associated with the topic are defined in order to highlight what PMS is. The concepts include performance, professional appraisal, and performance management. Performance (Phillip, 1990) refers to output result and their outcomes obtained from processes, products, and services that permit evaluation and comparison relative to goals, standards, past results, and other originations. Performance can be expressed in non-financial and financial terms. The next term professional appraisal, as described by Grote (1996), is the application of a number of skills that managers are required to put into practice to maintain and improve performance of all the people who report to them. The concept of performance management entails improvement of performance (Income Data Services, 1992; Phillip, 1993; Walter, 1995; Selepeng, 2002; Armstrong, 2009).

The overall purpose of performance management is to develop the potential of staff, improve employees' performance, through linking their individual objectives to the business strategies and to improve the company's performance (Income Data Services, 1992). Walter (1995) concurred with Income Data Services (1992) by stating that performance management is about directing and supporting employees to work as effectively and efficiently as possible in line with the needs of the organization. Similarly, Phillip (1993) agrees with Walter (1995) by maintaining that performance management is "a system for managing organizational performance and integrating management organizational and employee performance. It's about directing and supporting employees to work effectively and efficiently in line with the needs of the organization."(p. 47).

Performance management system, therefore, is a process that links the employees to the organizational strategy. It also encompasses processes such as planning, implementation, review and appraisal. This is a complex process that strives to make employees accountable for the results they achieve after pre-determination of vision, mission, objectives and performance standards.

In the Botswana public service, the main aim of PMS is to drive change and quality management process facilitating a comprehensive management of performance at all levels in public institutions (Republic of Botswana, 2002). Selepeng (2002) points out that:

the main objectives of PMS are as follows: to improve individual and organizational performance in a systematic and sustainable way; to provide a planning and change management framework which is linked to budgeting and funding process; to enhance government capacity; inculcate the culture of performance and accountability to manage at higher levels of productivity so as to provide efficient service public service (p. 27).

In addition, according to Armstrong (2009), performance management system is used as a tool to improve levels of productivity in the workplace. As the management tool it is concerned with aligning individual objectives to organizational objectives and encouraging individuals to uphold corporate core objectives; such as enabling expectations to be defined and agreed in terms of role responsibilities and accountabilities (expected to do), skills (expected to have) and behaviors (expected to be); providing opportunities for individuals to identify their own goals and develop their skills and competencies. Similar to Armstrong (2009), Rauch (1985) pointed out that:

PMS involves developing the following elements: an organizational vision, a statement of what the organization aspires to be within a specific timeframe; a mission statement, a statement defining the organization's reason for existence; goals, these are the outcomes the organization intends to achieve; objectives, these are the short term and specific goals of the organization; key performance indicators or key results areas, these are yardsticks by which the organization can evaluate the achievement of its goals and objectives; annual operational plan, these set out the years objectives indicating who is responsible for what and the start and finish dates for each activity; and individual performance plan, cascading the department or team objectives, the supervisor and individual agree on: key performance of the job, the tasks and activities required to achieve the desired results, performance targets, standards and measures (p.44).

The process of PMS involves a cyclic of events and they are discussed in a performance management cycle.

## **2.2 History of Performance Management System (PMS)**

There are several practices that entail what PMS stands for. However, a more pivotal attention has been placed around reviewing work, to rate and to appraise workers

performance. Historically methods of reviewing performance are known to have existed for a long time and as a result early performance reviews are said to have evolved from several traditions. For example, the Wei dynasty (AD 221-265) in China had an 'Imperial Rater' whose task was to evaluate the performance of the official family. The second notably example was reported in 1648 in Dublin (Ireland) Evening Post, that legislators were evaluated by using a rating scale based on personal qualities. The third work rate measure was documented in the late 1800s, when the New York City Civil Service in USA introduced a formal appraisal programme shortly before First World War (Armstrong & Baron, 2004).

The main proponents in different human approaches that contributed to the establishment of performance monitoring system evolved out of the work of Fredrick Taylor in 1911 and his followers before the First World War (Westhuizen, 1991; Goestch & Davis, 2006). Taylor (1911) as cited in Goestch and Davis (2006) pioneered the 'Principles of Scientific Management' in which he described how the application of scientific methods to management of works would greatly improve productivity (Westhuizen, 1991; Goestch & Davis, 2006). The scientific management philosophy evolved over a period of time, and it was essential to measuring work performance. It also become more popular during industrial revolution and created more critics to search for other performance instruments to measure performance in many organizations (Westhuizen, 1991).

The other performance management measures are merit rating and performance appraisal as they have been pioneered in 1914 by W D Scott prior to World War I. According to Armstrong and Baron (1998), Scott invented the 'man to man' comparison scale. The comparison scale was used to rate Army officers in the US military and the system of promoting officers on the basis of seniority was stopped and promotion was packed on merit

(Armstrong & Baron, 1998). The comparison scale or 'man to man' was later adopted by the British Army. The aim of the instrument was to address performance and enhance it at the same time (Armstrong & Baron, 1998). The man to man comparison scale was followed by the work of McGregor in 1957 in his work titled "An uneasy look at the performance appraisal" (Armstrong & Baron, 1998) that led to a suggestion of shift from appraisal to analysis. The analysis instrument was conventional on examining the performance appraisal plan and requires managers to pass judgment on personal worth of the subordinates and to describe an alternative which places on the subordinate the primary responsibility of establishing and attainment of performance goals of the individual and the performance goals of the organization (Armstrong & Baron, 1998).

Armstrong and Baron (1998), further point out that the analysis instrument shifted from performance rating by the supervisor to the supervisee. The instrument was used to be pivotal around the subordinate to be active participant in the whole process of determining performance (Armstrong & Baron, 1998). The analysis instrument was followed by some other practices addressing performance. The other instrument different from the analysis was coined by Peter Ducker in 1954, and the instrument was pivoted on Management by Objectives (MBO) (Armstrong & Baron, 1998).

MBO instrument was elaborated in the book titled 'Practice of management' and the purpose was to advance the measurement of individual strength and that of organization (Armstrong & Baron 1998). Armstrong and Baron (1998), state that MBO instrument aims at increasing organizational performance by aligning goals and subordinates objectives within the organizational strategy. It can be emphasized that MBO is an enhancement instrument aimed at improving the overall performance individual workers and that of the organization.

Furthermore, Armstrong and Baron (1998), point out that the term performance management was first coined in 1970 by Beer and Ruth. But at that time the concept was less popular and not recognized until the late 1980s. Performance management as already elaborated in chapter 1 places emphasis on development and evaluation because it places the profile of individual strength and development needs as priority, and that the strength and development should result on achievement of aims and objectives of the organizations (Armstrong & Baron, 1998; Armstrong & Ward, 2005). The concept of PMS encompasses performance appraisal.

The two concepts; appraisal and performance are intertwined, and clearly not distinctive from one another. From the literature appraisal is embedded in performance management. According to Planchy and Planchy (1998), appraisal is an aspect of performance management. This is agreed by Hellriegel and Slocum (1996), who describe performance appraisal “as the process of systematically evaluating each employees job related strengths, developmental needs and progress towards meeting goals and determining ways to improve the employee’s performance” (p. 387). Therefore appraisal is hence described as continuous contract between supervisor and supervisee with an aim to evaluate work activities and provide all needed attributes needed to maximize improvement of performance and productivity. PMS on the other hand is said to be much wider as compared with appraisal as it has over time evolved from other practices.

PMS received recognition as late as the 1980s because governments around the world adopted the PMS philosophy with enthusiasm into the public sector performance because of a higher need of accountability and the introduction of measures to improve performance

management control. In 1993, the USA Congress enacted the Government Performance and Results Act (GPRA), whose objectives were:

to improve the confidence of the American people in the capability of the Federal government by systematically holding Federal Agencies accountable for achieving programme results; initiate programme performance reform with a series of pilot projects in certain programme goals; measuring programme performance against those goals; reporting publicly on their progress; improve federal programme effectiveness and public accountability by promoting areas of focus on results; revive quality and customer satisfaction; help Federal managers improve service delivery by requiring that they plan for meeting programme objectives and providing them with information about programme results and service quality; improve congressional decision making by providing more objective information on achieving statutory objectives and on relative effective and efficiency of federal programmes and spending; and improve internal management of federal government (The White House, 1993, p.2).

The adoption of PMS by the USA congress in the early 1990s came as result of a wider recognition of deficiencies on financial and non-financial efficiency of business and public institutions (The White House, 1993). By 2001 many USA companies had transformed their approach to business after the adoption of PMS measures and the impact of PMS on business performance in the USA especially on improving productivity and service delivery created more interest for other countries to adopt PMS (The White House, 1993). In a study, by Martinez, Kenneley and Neely (n.d). on the impact of PMS on business performance in the USA, it was revealed that that organizations with integrated and balanced performance management systems perform better than others. The study also revealed that PMS, when used as a management control tool, increases both organizational sales and profits, and



reduces overhead costs by 25%, and also that PMS improves the return on assets. Other findings of less tangible benefits of PMS included customer or employee satisfaction, increased employee communication and collaboration (Martinez, Kenneley & Neely, n.d). In education sector, countries with a long history of successful implementation of PMS in the schools are those in the west, they include United Kingdom (UK); New Zealand and Australia (Mayston, 2002).

PMS was introduced in the school system in the UK in the form of performance appraisal for teachers (Monyatsi, Steyn, & Kamper, 2006). According to Bartlett (2000), during the 1990s there was a growing emphasis on school improvement in England, and performance appraisal for teachers was introduced in 1991 to encourage and pressure schools to increase levels of pupils' achievement. The principal aim of the teacher appraisal system in the UK (Bartlett, 2000) states that two main aims of appraisal were to assist: "school teachers in their professional development and career planning; and those responsible for taking decisions about the management of school teachers" (p. 25).

The UK appraisal system was a process of assessing staff, school heads and members of board of governors who were responsible for the overall assessment (Bartlett, 2000). Further, Bartlett (2000) points out that critical priority of assessment included assessing teacher effectiveness in the classroom, students' progress, teachers' professional development and its impact on students' work regulated by Education act. The effectiveness of classroom teachers was based on the achievement of objectives contained in the school development plans and linked to pay (Bartlett, 2000). This resulted in rating teachers' performance against agreed targets and the rewards were based on achievement set targets (Bartlett, 2000). Performance

appraisal was considered “an appropriate way to bring about a better relationship between pay, responsibilities and performance” (Bartlett, 2000, p. 26).

According to Bartlett (2000), although the UK teacher appraisal system lacked in some ways it had some strengths. The first strength concerns the linking of performance with pay and it was well received in the UK schools as it was consistent with private sector practices and the teaching profession models used in the USA (Bartlett, 2000) and school heads embraced the performance-related pay as it provided them with the opportunity to reward their good teachers. The second strength concerns appraisal review of teachers’ and it was embraced as it demonstrated accountability (Down, Chadbourne & Hogan, 1999). The appraisal review linked performance management to the schools’ and teachers’ objectives and departmental goals. It enabled review of targets set by teachers’ to gauge themselves against a set threshold (Bartlett, 2000).

The improvement of performance by schools in the UK can be traced through the league tables where a summary of statistics of measures of average performance management among schools were documented and schools with a higher value addition in their academic results were published (Bartlett, 2000). According to Bartlett (2000), an increase in value addition in performance increased customer satisfaction as schools enrollment capacities increased indicating an improved reputation and leadership (Bartlett, 2000). The increase in school capacities linked with PMS and balanced scorecard systems to compensation and rewards significantly increased top management commitment and enhanced staff motivation as teachers pay also improved (Bartlett, 2000).

The performance management system gospel has not only been received in the West but also many African countries have followed the performance management reforms (Waal, 2007). According to Waal (2007), PMS have been implemented in several public services and multi national organizations operating in many African countries. The adoption of PMS by some African countries was motivated by the fact that productivity, service delivery and efficiency have improved in the west where PMS was introduced (Waal, 2007). Some African countries that adopted the PMS into their entire public service include: Burkina Faso, Egypt, Ethiopia, Kenya, Tanzania, Zimbabwe, and South Africa (Waal, 2007).

South Africa also adopted PMS in the education sector following an end of apartheid system of appraisal in the late 1980s, which was largely bureaucratic, top-down and authoritarian and introduced a teacher appraisal system in 1994 (Cardno & Middlewood, 2001). The teacher appraisal system was adopted within the entire education sector to respond to unjust education policies of past apartheid era, where at the time black South African schools had no teacher appraisal system (Cardno & Middlewood, 2001). In 2003 a policy framework of Integrated Quality Management System (IQMS) was also introduced in South African primary and secondary schools as an integral aspect of teacher appraisal (Bisschoff & Mathye, 2009). The introduction of performance standards enabled a continuous debate on school performance improvement (Cardno & Middlewood, 2001).

According to Bisschoff and Mathye (2009), the aim of the implementation of the IQMS was that the results in learner achievement, especially in schools with predominantly African students, were unsatisfactory and that schools and education managers were no longer responding to the heightened expectations of parents and society. The IQMS (Bisschoff & Mathye, 2009) was introduced as a framework for educational change which nurtured

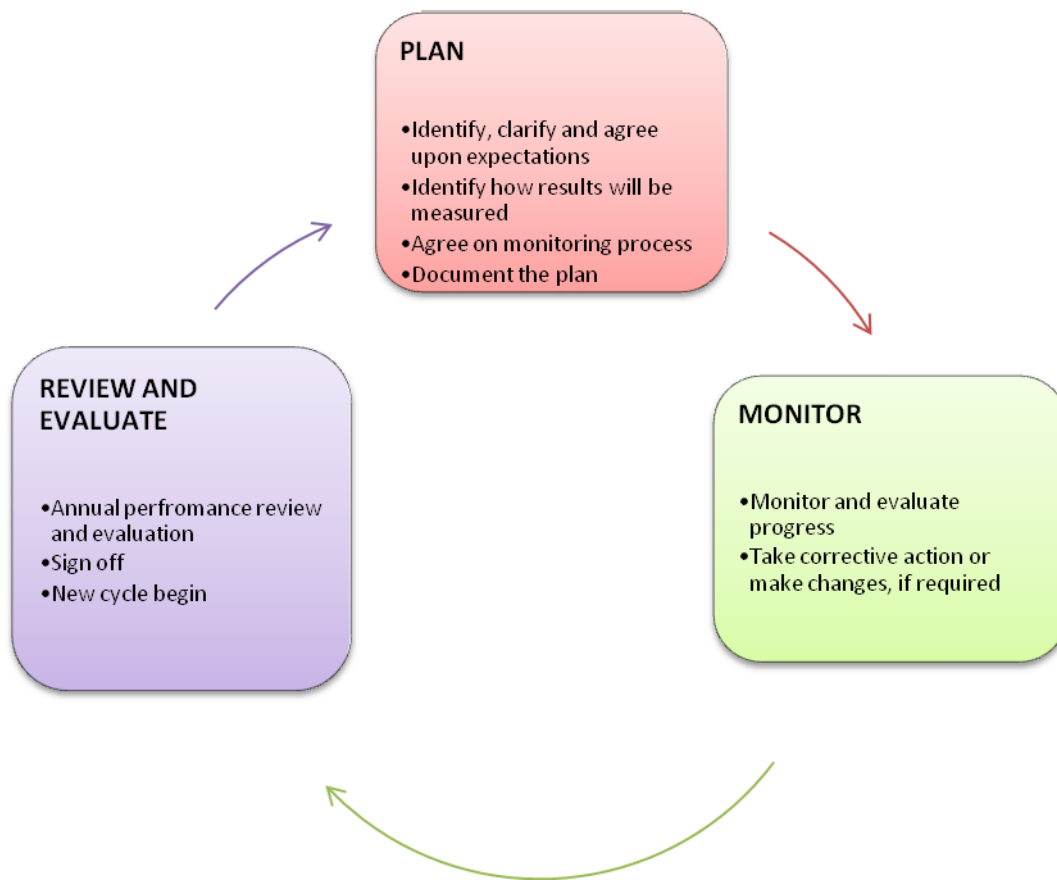
professional growth towards common goals and supported a learning community in which teachers were encouraged to improve and share insights in the profession. The IQMS introduced a new approach to teacher appraisal where teachers knew what is required of them, were updated of their progress in the process and were supported to achieve all expectations (Bisschof & Mathye, 2009). Cardno and Middlewood (2001, p.192) refer to these as “self-review, negotiation, reflection and feedback”.

According to Cardno and Middlewood (2001), despite the fact that the new appraisal system was designed to bring quality teaching and learning, its implementation has failed or has never been completed in many public schools since its introduction. The main reason for continued poor achievement in South African schools was largely associated with poor implementation of performance management. Bisschoff and Mathye (2009), maintain that the major problem with failure of IQMS was due to no proper consultation during its formulation and furthermore no proper training of the teachers and principals before the implementation. In addition, Bisschoff and Mathye (2009), observe that the South African teacher appraisal was premised on staff development, performance of teachers was not linked to pay but the aim was to constantly identify areas in which teachers need to be developed to provide professional enhancement and support through in-service training, coaching by mentors or facilitators and generic lectures.

### **2.3 Performance management cycle**

Figure 1.0 below shows a diagram that depicts the performance management cycle. It includes the agreement on performance and development, drawing up the plan between the supervisee and the supervisor, with a continuous monitoring and feedback and formal reviews. The different phases of the cycle are explained after the diagram.

*Figure 1: Performance management cycle*



**Source:** <http://www.hrcouncil.ca>

Performance management cycle is depicted by three major phases: planning, monitoring and review and evaluate.

### 2.3.1 The Planning phase

One of the phases of the performance cycle is planning. Effective organizations plan their work in advance. Therefore, the first step in performance process is for employees to collaborate with the management to develop work plans for the coming year. The planning process consists of: what is to be accomplished, results expected, how is it to be done, and measures or standards to be used (<http://www.hrcouncil.ca>). Performance strategists advised that it is important at this stage that supervisees and supervisors needed to establish commitment with respect to expectations. This is done through an open two-way communication between the supervisors and the supervisees and should result in an agreed

responsibilities, intentions to improve past accomplishment and future plans (<http://www.hrcouncil.ca>).

Barts (2000) asserts that in order to guarantee successful implementation of plans, an employee's performance management system should balance consistency and flexibility. Employee performance plans should be flexible so that they can be adjusted to cater for changing work requirements (Barts, 2000). The planning process focuses the institution on initiatives to overcome challenges and sets performance expectations and goals for individuals to channel their efforts towards achieving organizational objectives (Armstrong, 2009). Armstrong (2009) further states that performance expectations and standards should be specific, measurable, attainable, reliable and time bound. Therefore, planning defines what is to be achieved and generates information for feedback to monitor individuals own performance (Armstrong, 2009).

### **2.3.2 The Monitoring phase**

The second phase of performance management cycle is monitoring. Armstrong (2009), states that for performance management process to be effective, progress should be continuously monitored. Monitoring is said to be the process of making accurate and objective performance observations based on the outcomes and expectations contained in the supervisees performance plan (<http://www.faa.gov.uk>). In addition, it is also said that the process of monitoring individual supervisee involves checking progress towards the objectives set during the planning phase. By monitoring continually, performance can be identified at any time during the appraisal period and assistance provided to address such performance rather than waiting until the end of the period (Armstrong, 2009). Feedback on the progress relative to the goals and adjustments should be given if necessary (Armstrong, 2010). Armstrong (2010) further indicates that it is important for the supervisor not only to

provide positive feedback, but negative feedback as well to the supervisees whenever necessary. In this stage, active involvement between a supervisee and supervisor ensures improvement on any mistakes that have been identified during implementation process (<http://www.hrcouncil.ca>). The process of monitoring performance provides both supervisor and supervisee with a formal and informal talk about performance planning and development (Armstrong, 2010).

### **2.3.3 The Review and Evaluation phase**

The third phase of performance management cycle is review and evaluation phase and is the last step in the performance management process cycle. This is a summative stage commonly conducted towards the end of the year. The supervisor and the supervisee meet to summarize the work accomplished during the year with reference to the goals that were set at the beginning of the year and feedback, challenges that were encountered and areas required for training or development (<http://www.hrcouncil.ca>). The overall performance end with a score or ratings of how the supervisee has performed during the year (Armstrong, 2010). As Denisi and Pitchard (2006) comment “ effective performance appraisal systems are those where raters have the ability to measure employee performance and the motivation to assign the most accurate ratings” (p. 34).

## **2.4 Models of PMS**

The introduction of performance management system in public service is premised on the understanding that the performance of employees over a period of time would be measured more systematically than it had ever been before, this should translate into effective and efficient public service delivery at a minimal cost thus reducing the burden on taxpayers (Republic of Botswana, 2002). According to Brignall and Modell (2000) this is achievable only if public service adopted management techniques from private sector. These techniques

are highlighted by 'new managerialist' theorists and include the use of the marketization of public sector services and the monitoring of efficiency and effectiveness through measurement of outcomes and individual staff performance (Deem, 1998).

The managerialist view had become a major vehicle through which the old public service management style was being transformed (Simkims, 2000). Down et al. (1999) point out that the performance management was embedded in the discourse of managerialism and represented government's effort to make public servants more efficient, effective and accountable. Simkims (2000) also agrees that managerialism is an important neo-liberal mechanism that is deemed most suitable for the efficient and effective management of public sector organizations including schools.

Managerialism in the public sector shows that the role of those in management is enhanced to give them more authority over control of their organizations (Down et al., 1999). For instance, Simkims (2000) states that authority to make decisions is entirely in the hands of those who hold managerial roles and authority and use their specialist management techniques to help them make choices. For Ball (1998) managerialism is about "the insertion of the theories and techniques of business management and the cult of excellence into the public sector institutions" (p. 123). This thinking gave rise to the development of several tools and models used to address performance management in organizations.

Ball (1998) continues to state that the tools and models to address performance in organizations are a result of critical debates and ideas of experts who are searching for better answers to organizational performance. The models linked with performance in organizations include the analysis methods such as Pareto Analysis, Force Field Analysis, SWOT Analysis and Fish Bone Analysis (Ball, 1998). Ball (1998) maintains that the analysis tools are used with other PMS tools or models to establish the baseline from which the PMS will be



implemented. When identifying the model experts consider organizational size, type, and purpose and analysis of alternative potential ways of growth for the organization (Ball, 1998).

Another model largely linked to performance management system is the one developed by Kaplan and Norton during the years 1990-1992, in response to criticisms and dissatisfaction of the traditional system of measurement of performance through the financial performance, be it success by profit or failure through liquidation (Down et al., 1999). The balanced score card model (Down et al., 1999) is most well known and commonly used, the balanced scorecard (BSC). The balanced scorecard included both financial measures that report the results of actions already taken and operational measures on customer satisfaction, internal processes, and the improvement of future activities (Kaplan & Norton, 1992). According to Kaplan and Norton (1992) the balanced scorecard is based on the combination of four key perspectives in performance measurement: stakeholder/customer perspective, financial, internal business processes, and learning and growth.

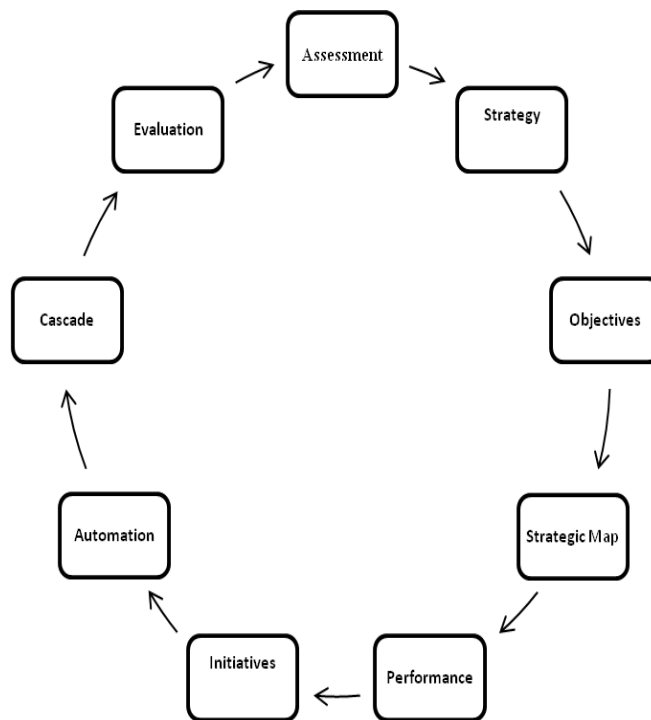
The balanced scorecard puts vision, strategy, and communication rather than control unlike the traditional system of measuring performance which was based on cost accounting information. In order to identify challenges of PMS, balanced scorecard places emphasis on individual performance targets and how these are related to their departments and the entire institution (Kaplan & Norton, 1992).

The government of Botswana adopted the balanced score card (BSC) and Performance Based Rewards System (PBRS) (Republic of Botswana, 2002). The adoption of BSC and PBRS should not be seen as a unique practice to Botswana only. For example, according to Brown (2006), the Modernizing Government White paper of 1999 in the United Kingdom encouraged all public sector organization to select one of the following tools: European

Foundation for Quality Management (EFQM), Excellent model, Charter mark, Investors in people, and the ISO 9000 and implement them in the public service.

According to the Balance Score Card Institute (n.d), there are nine steps of proper implementation of BSC.

*Figure 2: Balance score card steps*



**Source: Balance score card institute (n.d).**

It is argued that one successful way of ensuring good implementation of BSC is by using the steps above, and building and implementing using BSC is one step to success. According to Balanced Score Card Institute (n.d), the nine steps of BSC are critical and need to be followed: Step one is assessment and this stage is characterized by stating organizational vision and mission. In addition, a SWOT analysis is conducted to identify challenges and enablers that the organization face. According to Spangenburg (1994)), SWOT analysis can

be done using the BSC according to the four perspectives; strength, weaknesses, opportunities and threats.

Step two is strategy and in this stage the values of the organization are stated. Values are critical to what the organization stands for. According to Spangenburg (1994), strategy defines the business the company is competing in, the position of the organization and its competitive advantage. The next Step three is objectives which are stated to define the organization strategic intent. In addition, they are also the building blocks for strategy and they should be aligned to perspectives (Niven, 2009). Step four is strategic mapping and the strategic map leads to the creation of different perspectives through which strategic map is drawn.

The other step five is performance measures and whose purpose is to set the baselines and targets of projects and actions. Step six is the initiatives and all objectives are linked to strategy. According to Niven (2009), initiatives are inclusive for specific programmes, activities, projects or actions that are directed towards achieving performance. The next step seven which is automation is where specific programme is developed for reporting and used for knowledge sharing. Step eight is cascading where employees, departments and support units develop score cards. Individual employees develop Performance Development Plans (PDPs) and all are aligned to the strategy of the organization. The final step nine is evaluation and it is where a period review of the strategy and its implementation is conducted. All the nine steps scale down to main processes of design, implementation and evaluation.

With PBRS public servants in Botswana were expected to meet the set standards of their work and that they should be rewarded for excellence (Republic of Botswana, 2002). Before PMS introduction the appraisal tools used were subjective and there were common complaints among employees about unjust rewarding and promotions (Republic of Botswana,

2002). The main common qualms about the old appraisal system was that the tools of appraisal system were subjective and it was difficult to clearly distinguish between performers and non- performers. Williams (1998), laments "...reward within the context of performance management typically means Performance Related Pay (PRP)" (p. 170). Goss (1997) further describes reward as a "total package which is indicated by mutual responsibilities between the individual and the organization" (p. 70).

Rewarding is an integral aspect of PMS because Hellriegel and Slocum (1996), maintain that rewards are job outcomes that employee's desire. According to Hellriegel and Slocum (1996), there are two basic types of rewards: intrinsic and extrinsic. The former refers to personally satisfying such as achievement, self-recognition and personal growth. Extrinsic rewards are outcomes supplied by the organization such as pleasant working conditions, good salary, status, job satisfaction, security and fringe benefits.

Rewards are an entitlement that an individual receives for better performance. Employees are not rewarded as a team or as a group in their organizations despite emphasis on team work. Rewards does not necessarily mean money, some of the worthy rewards include praise, recognition, award and visible respect (Hellriegel & Slocum, 1996). Other rewards include letter of appreciation, a trip to a holiday place, a special assignment, contribution to a charitable organization of employees' choice (Hellriegel & Slocum, 1996).

## **2.5. Performance Appraisal**

Hellriegel and Slocum (1996), describe performance appraisal as "the process of systematically evaluating each employee's job-related strengths, developmental needs, and progress towards meeting goals and determining ways to improve the employee's performance" (p. 387). Similarly, Tucker, McCarthy and Benton (2002), say that "the performance appraisal looks at potential promise for development as well as past

performance...Performance appraisal should be on going, based upon a simple, written contract between the person being appraised and his/her supervisor” (p. 173). Tucker et al. (2002) emphasized that appraisal refers to the assessment of performance of the employee in the work and also a systematic evaluation of an employee performance over a certain period of time, normally a year.

According to Tucker et al. (2002), the beginning of the year starts with the plans or performance agreements which are prepared and signed. The performance agreement is closely monitored and has to be continuous, and undertaken throughout the year (Tucker et al., 2002). It is also characterized by review check-ups done quarterly, that is, in three (3) months. According to Tucker et al. (2002), successful performance appraisal is characterized by the following:

Appraisal must be constant, not focused principally on the big annual or semi-annual appraisal event, appraisal is and should be very time consuming, there should be a small performance categories and no forced ranking, minimizes the complexity of formal evaluation procedures and forms, performance appraisal goals ought to be straight forward emphasizing what you want to happen, make the pay decision public, and make formal appraisal a small part of recognition (p.173).

Appraisal and evaluation of employee performance is one of the critical aspects of PMS. It is widely said that in the absence of the appraisal it could be problematic to manage performance and also very difficult to give performance feedback to employees. This is in line with Tucker et al. (2002), as they emphasized that successful organizations continuously provide performance feedback to employees to encourage and motivate them. Staff motivation can be achieved as Hartle, Everall, and Backer (2001) point out that staff members should be committed to doing their best; the person doing the work is the best

person responsible for the quality of that work; the success of the schools depends upon its ability to unlock the potential for growth and development of the staff members; employees work more effectively when they are clear about what they have to do, why they do it; get feedback and recognition for what they have contributed through their job (Hartle et al., 2001

The models of performance provide an ideal framework for understanding the processes and strategies of assessing performance management system. In order to successfully understand the purpose of a reform strategy, knowledge is the key aspect that requires important attention.

## **2.6 Knowledge of PMS**

Knowledge is a strategic resource because it is a factor in the stability of the enterprise as it knowledge brings a decisive competitive advantage (Commonwealth Secretariat, 1993). Commonwealth Secretariat (1993) further emphasizes that “leadership for school improvement and student achievement depends on a clearly conceptualized and shared body of knowledge which together with a set of educational values, guides and informs professional practice” (p. 4). The practice in educational setting becomes the mandate of the school as it provides an enabling learning environment for students and professional growth for staff.

In Botswana studies on PMS are limited. A study by Koruyezu (2010), on the impact of performance management system on teacher performance in Botswana junior secondary schools, revealed that school heads and teachers have an imperfect knowledge of PMS, as reflected by lack of understanding of this reform and balanced score card (BSC). According to Koruyezu (2010) their admission of ignorance on different aspects of PMS, the differences that exists between schools in terms of PMS formulation and implementation, the differences in the types of performance development plans (PDP's) which teachers develop in different

schools are evidence of lack of knowledge about PMS and its implementation. The success of PMS implementation in junior secondary schools depends critically on the knowledge and understanding of PMS processes.

According to Monyatsi et al. (2006) staff performance appraisal programmes can be made considerably more effective if their purposes are clear. Moreover, all parties involved in the teacher appraisal process should know and understand its purposes, and should interpret and apply these in a uniform and professional way, if the whole process is to be effective and beneficial for whole-school development. Similarly, Dzimbiri (2008) found that:

... there is a varying degree of knowledge gaps among public servants, consultants and those who were to coordinate PMS activities in ministries and independent departments. Employees at the lower level had little or no knowledge about PMS ... Many of the personnel charged with managing PMS had any formal project management training, and this acted as a hindrance to attaining set goals and objectives ... (p. 36).

But in a school, the knowledge of PMS is important for all to strive to achieve the institutional goals. If knowledge is lacking then there will be various challenges.

## **2.7 The disadvantages of PMS**

The successful implementation of PMS in the education sector in the UK demonstrates why the UK has influenced other countries to bench mark its approach towards implementation of PMS. Although the implementation of PMS in the schools in the UK was found to have positive strengths it also lacked in many ways. The first concern about the appraisal process was the inability of the appraisers to carry out the appraisals (Montebello (2003), this led to doubts about the understanding of PMS processes by the supervisors who were supposed to measure the performance of others (Gentle, 2001).

Gentle (2001), maintains that performance management should be used as a means through which employees understand what the organization is trying to achieve and how this can be accomplished. This means that staff should have a shared understanding (Whitely, 2007) of what a success looks like and what they are aiming to achieve as an organization. Furthermore, Gentle (2001) stresses that performance management should be about people sharing the success of the organization to which they have made a contribution.

The second concern about the appraisal process concerned the inappropriate lines of accountability (Gentle, 2001). Performance management should be a way of managing people to ensure that organizational aims are met (Gentle, 2001) but the critics of performance management have raised questions of inadequate accountability on the appraisal system because the main implementers particularly the school management was found to be lacking in the area of accountability on teacher assessment (Gentle, 2001).

The third concern about the appraisal process was the linking of pay to performance (Brown 2005). The problem with performance pay was found to be very divisive, demotivating and very impossible to be fairly implemented (Radnor & Lovell, 2003). Performance pay was found to be limited to few teachers who perform better and left out non-performing teachers in terms of salary increase (Brown, 2005).

The fourth concern about the appraisal process came out from a study by Southworth (1999) exploring the views of 40 primary school heads in the United Kingdom involved in three change projects which showed that school heads were critical for strategies used to implement the reforms because there had not been sufficient preparation. Southworth (1999) noted that reforms were hurried and ill-thought, therefore leaving out the inadequately prepared school heads to struggle to make the reforms work.



According to Whitely (2007), seven out of ten organizations are failing to execute their strategic tools after been adopted. This position is also held by Radnor and Lovell (2003) who argue that blind implementation of PMS without consideration of key criteria may result in potential failures. Montebello (2003), argues that failure arise when objectives are not realized and this has a significant role in the deterioration of motivation of employees. Montebello (2003), points out that are several hazards of poor implementation of organizational goals which include: divergent goals and purpose, divergent appraisal forms, fragmented lack of proper implementation and poor appraisal skills. In addition to arguments made by Montebello (2003) on failure of achieving the right outcomes on PMS, Whitely (2007) proposed nine pitfalls that mostly sabotage quality improvement initiatives. These include falls start, disconnections from customer issues, do versus develop, we are doing okay, quick fixing syndrome, mandate and move on, no space on agenda, look who is running the show, and no guards at crunch time.

## **2.8 Strategies for improving PMS implementation**

To overcome challenges of implementation of performance management in the schools in the UK several strategies were adopted to improve performance of teachers and school heads. These include: training/professional development, review performance/assessment of staff and linking performance to pay (Bartlett, 2000; Reeves et al., 2002).

### **2.8.1 Training/professional development**

Although studies (Southworth, 1999) in the UK revealed inadequacy of training for performance management implementers like managers and teachers in the schools, staff professional development/training has been strongly supported as the best strategy to change work practice and schools outcomes. According to Bartlett (2000), the policy on appraisal

system for teachers placed emphasis on providing opportunities for teachers to meet with senior professionals in the school to discuss their achievements and limitations and identify their training needs to be included in the school development programme. Reeves et al. (2002) maintained that the training of employees is an indispensable route to acquiring knowledge and it establishes high quality dialogue which should result in a meaningful relationship and promote a shared commitment to quality performance.

The staff development/ training route in the UK (Hartle, Everall & Baker, 2001) has enabled school heads and teachers to attain necessary skills and attitudes to implement performance management control strategies. According to Hartle et al. (2001), staff should be committed to doing their best; and that the person doing the work is the best person responsible for the quality of that work. Therefore, the success of the school depends upon its ability to unlock the potential for growth and development of the staff; and people work more effectively when they are clear about what they have to do, and why, and get feedback and recognition for what they have contributed through their job. The identified needs of teachers' must be addressed by professional development (Bartlett, 2000) as it answers questions such as to what extent the appraisal would contribute to performance management of teachers.

### **2.8.2 Review performance/assessing staff**

Performance reviews/assessment of staff performance was an integral part of the UK appraisal system (Bartlett, 2000). These are measures that are comprehensively conducted to check performance accountability of employees on pursuance of performance objectives (Bartlett, 2000). According to Bartlett (2000), the main priority areas during performance reviews included students' progress, teachers' professional development, the quality of teachers' work and the impact it had on students' and overall performance results. In view of performance assessment, UK researchers recommended that the review link current

performance and any significant problems identified by all stakeholders. The aim was to develop a comprehensive understanding of current performance, identify and document the areas of non-performance (Reeves et al., 2002). Performance appraisal of teachers was also linked to pay (Bartlett, 2000).

### **2.8.3 Linking performance to pay**

Although overly criticized by teachers and school heads in the UK, performance appraisal of teachers was linked to pay (Bartlett, 2000). Performance review/assessment of teacher's outcomes was rated against agreed targets and it meant that teachers were rewarded based on the degree of which they would have achieved their targets (Bartlett, 2000). According to Bartlett (2000), this was considered the most appropriate way to better the relationship between pay, responsibilities and performance.

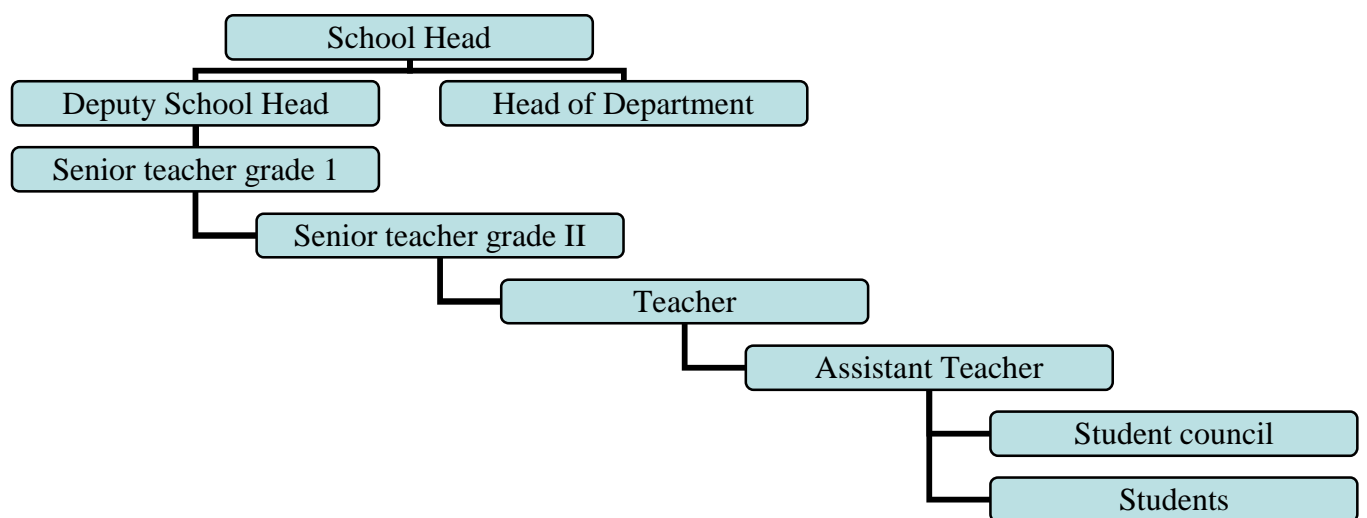
## **2.9 History of PMS in Botswana**

The Botswana Government has been faced with challenges of improving public service performance and service delivery; as a result, over the years several performance tools were introduced to reform public service (Republic of Botswana, 2002). The reforms that were once introduced include the following: localization of top and middle management positions; job evaluation exercise to ensure that remuneration is commensurate with the job responsibility; organization and methods (O&M) to facilitate the establishment of clear goals and objectives by ministries and departments, and work improvement teams (WITS) to facilitate problem solving through the use of specially trained teams and parallel progression to enhance employer/employee relations (Republic of Botswana, 2002). Other reforms introduced include scarce skills allowance for professionals with special skills needed in public service, and teacher's appraisals (Republic of Botswana, 2002). The reforms have always been taken to align the public sector to global trends and to strengthen and enrich the quality of public service. One fundamental basis of organizational trends is the establishment

of hierarchical structure. For this study junior secondary schools are used to clarify how PMS has been introduced in schools. Below is discussion on the organization structure at a junior secondary school.

It is important to show the organizational structure of junior secondary schools and shed light on how school hierarchy allows supervision to be carried out among the general staff. Therefore the structure depicts how supervisor-supervisee mode allows for PMS to be carried out in a school set up. Figure 1 below shows the teaching staff structure in Botswana junior secondary school.

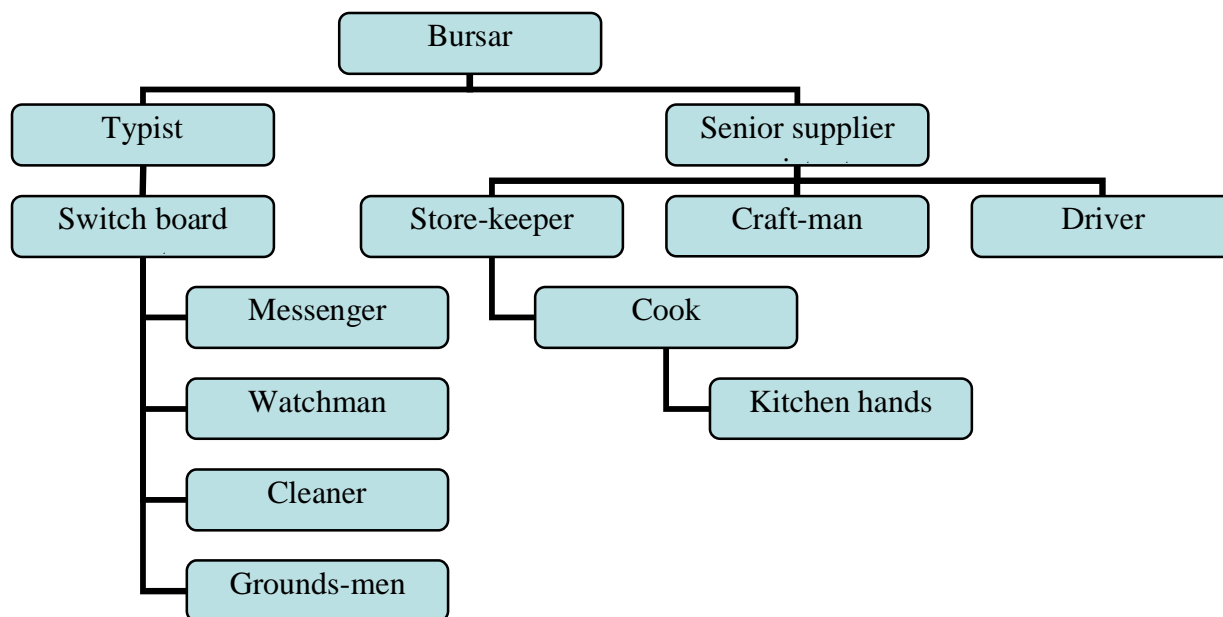
**Figure 3: Junior secondary school teaching staff organizational structure**



**Source: Adapted from Establishment Register for junior secondary schools in 2012 in Botswana.**

Figure 2 below shows non-teaching staff structure in Botswana junior secondary school.

**Figure 4: Non-teaching staff organizational structure**



**Source: Adapted from Establishment Register for junior secondary schools in 2012 in Botswana.**

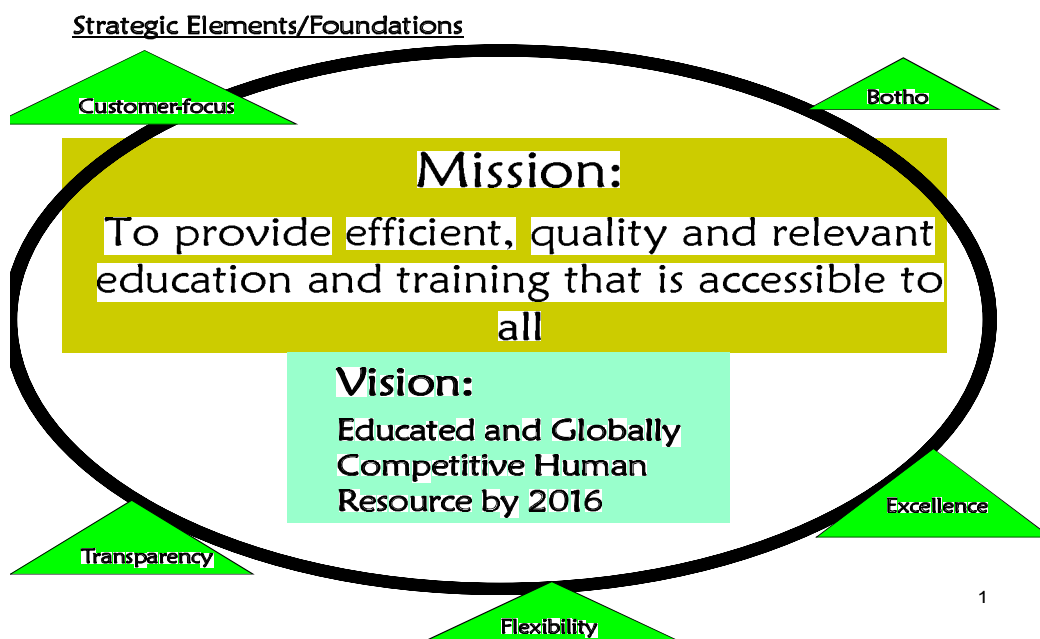
Botswana Government adopted the criterion based on the nine steps of the BSC to drive processes of PMS. The BSC is the driving mechanism needed for successful implementation of PMS. In addition, the emphasis from the beginning was that PMS is leader driven and those in supervisory positions needed to understand and develop the right attitude towards PMS. As a result leadership is also responsible for improving organizational moral of employees. Thus the Government introduced a reward system for excellent performance and improved service delivery. Performance Based Reward System (PBRs) was introduced to reinforce employee moral by creating an opportunity for them to be rewarded for good performance (Republic of Botswana, 2002).

In line with the Botswana Government development of the balance scored (BSC), the Ministry of Education Skills and Development (MoESD) then developed its BSC and strategic plan (SP) in 2000/2001. Based on MoESD strategic plan, the department of

Secondary Education also developed its SP in 2002-2008. This plan was implemented during the period 2002 – 2004 (Republic of Botswana, 2002-2008).

The BSC from MoESD was numerously changed because new attributes and initiatives in BSC and SP were introduced; another SP 2005 -2009 was developed for the Department of Secondary Education (Republic of Botswana, 2008- 2009). The 2005-2009 SP developed by MoESD brought a halt to the confusion and wider discrepancies in the development of SP among junior secondary as the SP was more contextualized to the schools. The MoESD made a decision to develop BSC and SP from which all education departments had to align and adopt them. Therefore the Department of Secondary Schools drew their SP from that of regional education office. The SP was developed and adopted for a 5-year period with minimum adjustments and corrections. The main strategic elements from MoESD that were proposed to remain unchanged are showed below on Figure 3.

Figure 5: Strategic elements of MoESD (2005 – 2009).



**Source: Adapted from Ministry of Education, Skills and Development Strategic Planning of 2005 – 2009 in Botswana.**

Figure 3 shows the Goals-Based strategic map adopted by the MoESD. This strategic model starts with focus on vision, mission, and values, goals towards mission, strategies to achieve the goals, and action planning (Republic of Botswana, 2002-2008). The adoption of Goal-Based SP helped the MoESD on strategic focus and alleviated the confusion and misalignment created by allowing the schools to carry out own Goal-Based SP.

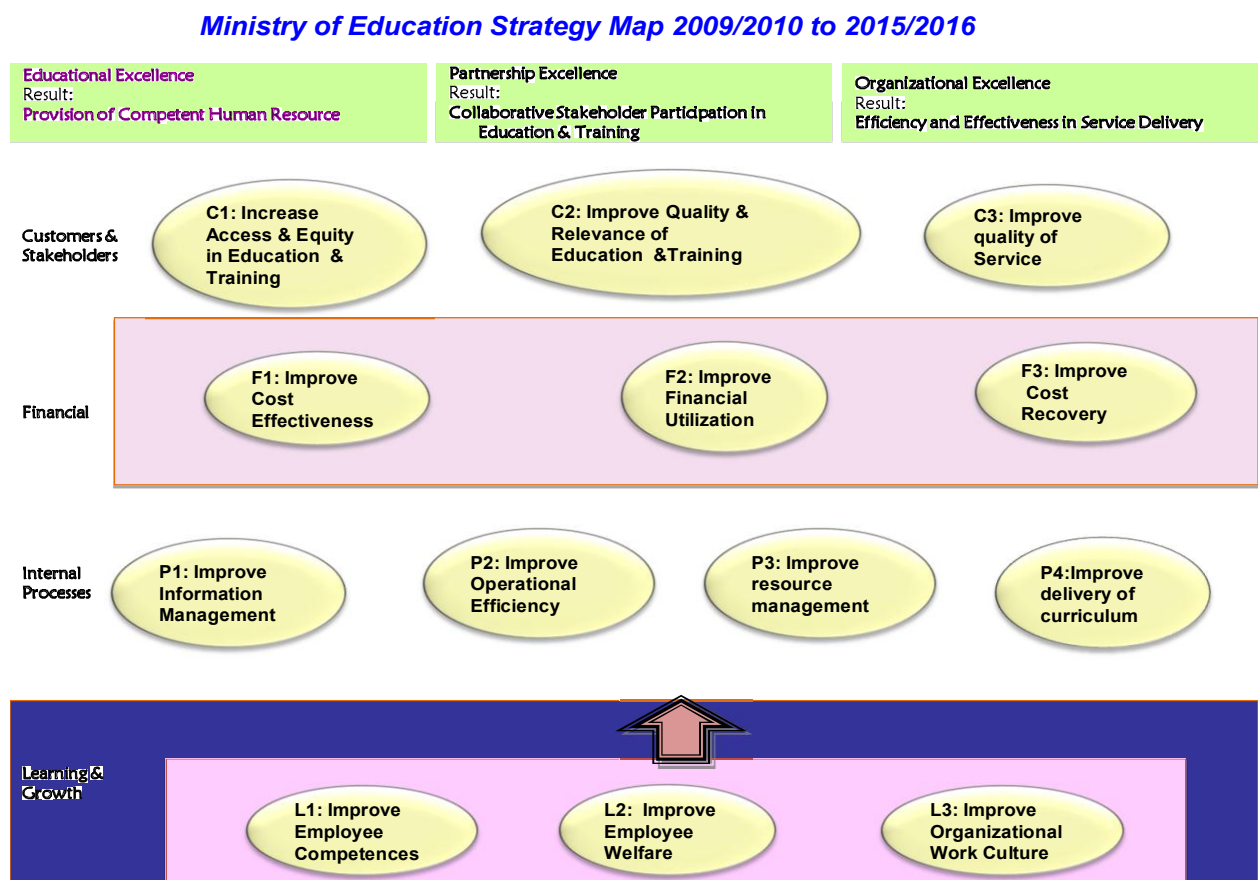
The SP from the MoESD as a result helped to create an environment for sustainable learning and this has enabled the schools to work on their SP and was easy to align to regional SP. Schools started to develop Annual Performance Plans (APP) based on Key Performance Areas (KPA) or the priority areas adopted by MoESD and department of secondary education. The APP is a short term plan that is done within a year. It supports the SP of the school through which goals and objectives of the school are set. The decision by MoESD to focus on developing the main SP of the ministry was informed by an evaluation carried in 2004 on the implementation of PMS in the education sector.

The evaluation revealed that PMS implementation in the education sector is faced with major challenges (<http://www.sarpn.org.za>). The report revealed that PMS was not overly accepted and supported by majority of departmental heads, school heads, and general management in the education sector. The majority of heads of departments delegated their subordinates to attend planning workshops as a result they overly missed on understanding the PMS processes and its operational tools (<http://www.sarpn.org.za>). The majority there after

developed a negative attitude and started disassociating from PMS as another program in the MoESD that was bound to fail like others.

Further more, failure to apply measurement tools of PMS was also a major difficulty and challenge (<http://www.sarpn.org.za>). To address, the challenges of evaluation of PMS in 2004, the Ministry’s BSC and SP were more simplified and a rigorous training of departments and staff in schools were undertaken. BSC and SP were made clearer and more linked to the Ministry’s Strategic Map (Mokobi, Ntseane & Van Wyk, 2005). Figure 4 below shows the MoESD simplified strategic map for years 2009/2010 to 2015/2016.

Figure 6: MoESD Strategy Map 2009/2010 to 2015/2016

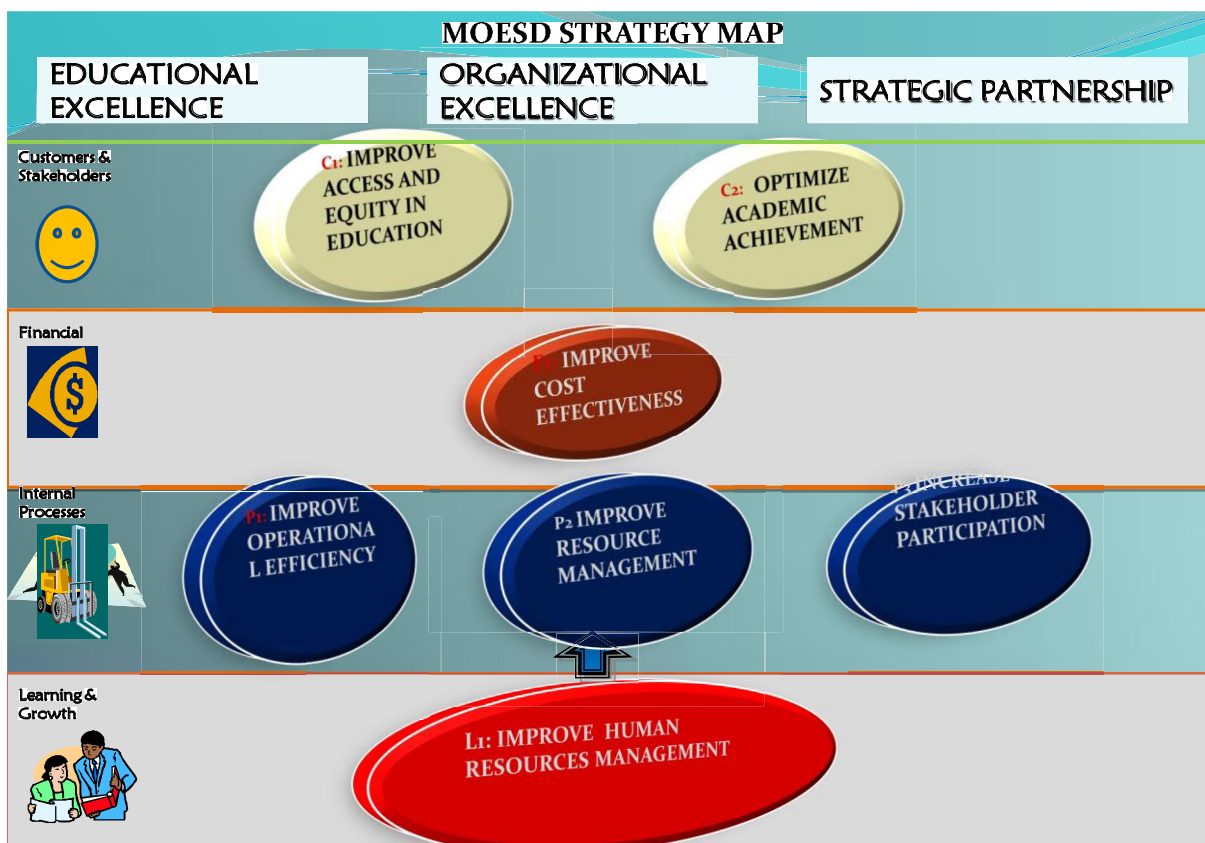




**Source: Adapted from Ministry of Education, Skills and Development Strategic Planning of 2009/2010 to 2015/2016 in Botswana.**

The Strategic Map is the foundation to design schools strategies or perspectives (Mokobi et al., 2005). The BSC introduced in 2005 included the following perspectives: stakeholder/customer, internal processes, learning and growth (Mokobi et al., 2005). Figure 5 below shows a strategic map 2012/2013 to 2015/2016 with a reduced number of objectives within the perspectives so that cascading and alignment is much easier.

**Figure 7: MoESD Strategy Map 2012/2013 to 2015/2016**



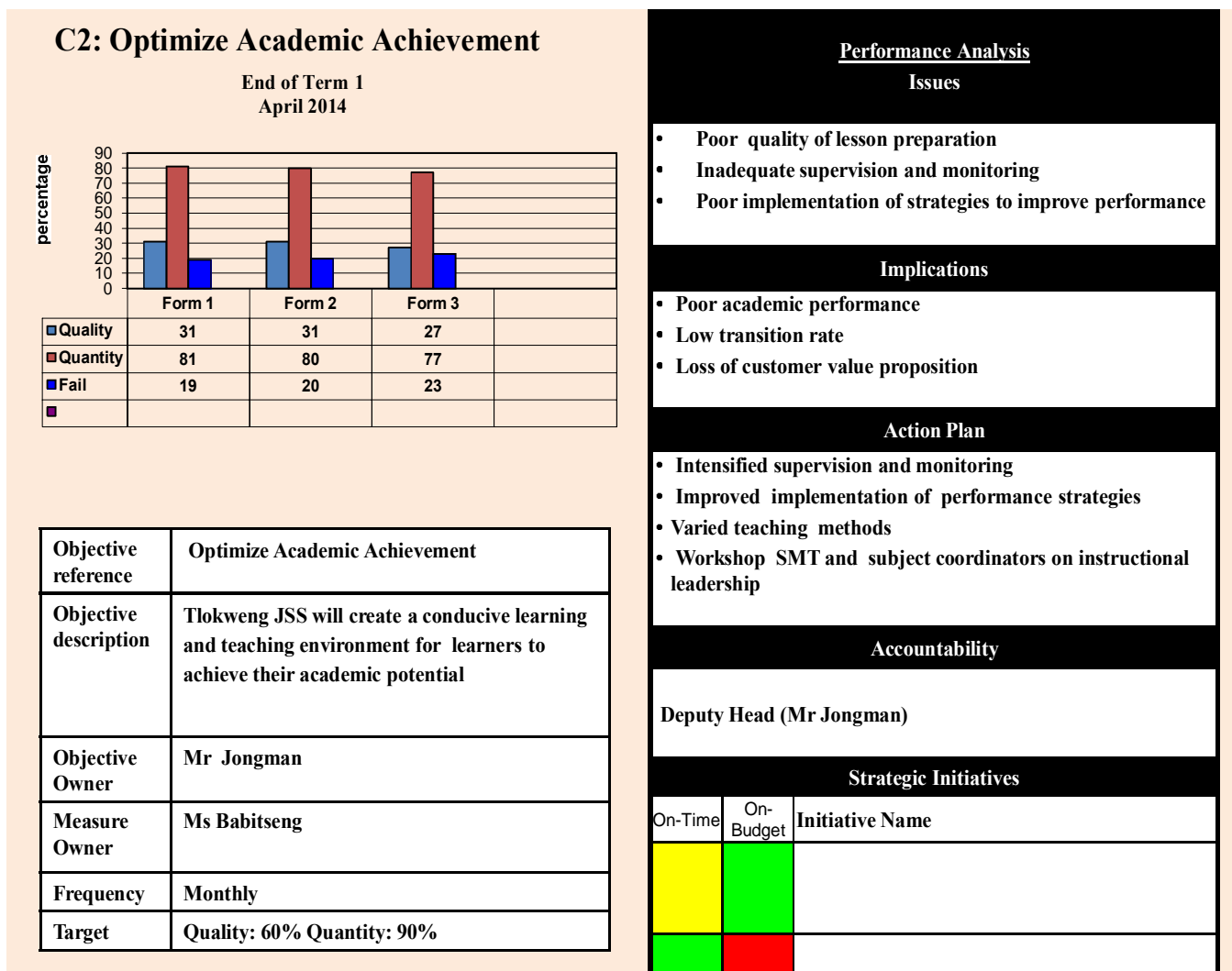
**Source: Adapted from Ministry of Education, Skills and Development Strategic Planning of 2012/2013 to 2015/2016 in Botswana.**

The figures 5, 6 and 7 above shows strategic elements and strategic maps from MoESD that has been cascaded to Ministry's departments through workshops and seminars targeting heads of departments with intention that they will carry out the similar training to staff at their respective institutions.

In addition to the improvement of BSC and SP realignment was also made to the performance reporting tool (Republic of Botswana, 2002). According to Reeves et al. (2002), reporting performance should be in accordance with policy requirements. The reporting model of PMS adopted by Botswana Government is guided by a policy framework guiding performance management. The reporting system used in the Botswana public service is based on model referred as IIAA an acronym for:

- a) I = Issues; what are the critical issues the organization faces with rest to the achievement of the specific objectives;
- b) I = Implications; what are the implications of the current level of performance. What are the effects (positive/negative) that the level of performance has on the organization;
- c) A = Actions; what are the requisites actions that the organization should take to achieve the desired level of performance and;
- d) A = Accountability; what part of the organization and who is accountable for executing the actions to ensure the organization achieve the desired performance (Republic of Botswana, 2001). Figure 8 shows an example of the IIAA tool template for performance reporting in a junior secondary school.

Figure 8: IIAA reporting template for Tlokweng JSS 2014



Source: IIAA report of Tlokweng junior secondary school in 2014.

The introduction of PMS in 1999 was also to improve the quality of service which was declining in the public service. The issue of poor quality service delivery in Botswana was revealed in a study on “pragmatic institutional design in Botswana: salient features and an assessment” conducted by Adamolekun and Morgan (1999). According to Adamolekun and Morgan (1999), poor quality of service of basic public services is a result of a drop off of morale and motivation of the civil service in Botswana. At its inception, the basic structure of

PMS comprised setting up of vision, mission and value statement to guide its implementation in the ministries (Republic of Botswana, 2002). The vision, mission, and values were used to guide the development of strategic plans to achieve goals and objectives (Monyatsi, 2004).

### **2.10 Challenges of PMS**

Several challenges of PMS implementation in Botswana schools are communicated by several studies and literature. In a study by Koruyezu (2010), on the impact of performance management system on teacher performance in Botswana junior secondary schools, it was revealed that school heads and teachers have an imperfect knowledge of PMS. Other studies by Mohiemang (2001), on teachers' perceptions on performance management system and Keatimilwe (2005), on performance based reward system in selected senior secondary schools in Botswana; the findings revealed that there is lack of understanding and knowledge of PMS in the schools.

Lack of understanding and knowledge can be associated with the cascading training approach which was adopted by MoESD. The cascading training is whereby information is disseminated from one group to another group until it has reached wider group (Bulawa, 2011). It was adopted based on the fact that information may be disseminated through ranks or positions of employees within a short period of time but its limitations overran its benefits as less and less information is understood further down the cascade (Armstrong & Baron, 2004). The fact that cascading training is used by schools to disseminate MoESD strategy has resulted in lack of involvement in planning by all and this is supported by Koruyezu (2010), study as it has revealed that teachers are not adequately involved in the planning stage of PMS. This lack of planning has negatively affected teacher's perception on the importance of PMS. Another challenge is setting up workshops and in-service training for staff which require more funds, and with limited funding it has always been difficult to organize staff training (Monyatsi, 2004). In the same line Mayne (2007) maintains that "fundamental

changes requires time, if we require significant outcome in behavioral change; it take years, integrating performance information into managing takes time and perseverance; and it costs, cost time and money”(p. 34)

Lack of in-service training had a negative effect on the conduct of performance review. Koruyezu (2010), study revealed that performance reviews are only on paper, but not in practice for most teachers in schools. The challenges of PMS implementation alluded above indicate clearly that there is a problem regarding PMS implementation in schools. Is the problem a lack of understanding of PMS processes or lack of skills and training by the implementers? This study intends to investigate the challenges of implementation of PMS in junior secondary schools in the South East region in Botswana.

## **2.11 Summary**

This chapter has reviewed literature related to the study. Reviewing performance can be traced back to 221 AD, but what actually gave birth to the current PMS is the work of Frederick Taylor. Several performance measures have been initiated in organizations to increase worker productivity. Some of the performance measure tools include: performance appraisal, merit rating, management by objectives (MBO), balance score card (BSC), and performance based reward system (PBRS). It also highlighted the challenges regarding the implementation of PMS. The challenges include among others failure to account for performance results in organizations, inappropriate reviewing of employees, lack of knowledge and understanding of PMS processes and lack of funding to support performance management activities. To be able to implement PMS extensive training, funding, reviewing and reporting is required. The next chapter, chapter three of the study focuses on the methodology.

## CHAPTER THREE

### RESEARCH METHODOLOGY

#### 3.0 Introduction

This chapter discussed the research design, population, sample and sampling procedures, data collection instruments, and ethical consideration for the study. Methodology is the heart of the research as it is where the whole research description and interpretation is based on. It is where the reader must obtain an understanding on how research will be conducted (Wiersma & Jurs, 2009). According to Cohen and Manion (1997), methodology is a range of approaches used in educational research to collect information, which is a base for inference, explanation, and interpretation. Best and Kahn (2006) state that methodologies of educational research are commonly based on research methods in the behavioral and social sciences, relying most heavily on psychology, sociology, and anthropology.

#### 3.1 Research design

In trying to adopt a research design, a researcher must first adopt a research paradigm (Chilisa & Preece, 2005). There are basically three research paradigms, namely: positivist or post positivist, interpretive and emancipatory or transformative (Chilisa & Preece, 2005; Cohen & Manion, 2007). For this study, both positivist and interpretive philosophical paradigms were adopted. Positivist research includes an emphasis on the scientific method, statistical analysis, and generalizing the findings (Mack, 2010). The positivist paradigm was adopted because it deals with a basic belief system or worldview that guides action in inquiry or research. In addition, positivists rely on the fact that reality can be observed, that genuine knowledge is based on experience and can be advanced by means of observation and experiment (Cohen, Lawrence, & Morrison, 2000). Cohen et al. (2000) emphasize that a positivist paradigm enables the researcher to easily select a research design.

According to Wiersma and Jurs (2009), a research design is a plan, technique or method of investigating whose motive is to furnish answers to the research questions. This study adopted a survey design. A survey design permits a researcher to gather information from a large sample of people relatively quickly and inexpensively and information is descriptive (Borg, Gall & Gall, 2003). Cohen and Manion (1997) further reveal that surveys gather data at a particular point of time with the intention of describing the nature of the existing conditions and identifying the standards against which existing conditions can be compared or determine the relationship that exists between specified events. A nominal scale was used to offer precise method of quantification, since the sampled population was randomly stratified into two groups of teaching staff and non-teaching staff. Best and Kahn (2006) indicate that nominal data are counted data, each individual can be a member of only one set, and all other members of the set have same defined characteristics.

The second choice of paradigm used in this study is interpretive. In an interpretive paradigm the belief is that reality is a social construction from people's experiences. In this study the non-teaching staff and school heads were expected to re-live their experiences or at least give their perceptions about the PMS and what can be done to improve implementation of PMS in junior secondary schools. The essence of this approach is captured by Schurink (1989) in De Vos (1998; p. 277-294), who points out that:

It is believed the social construction of reality or the process through which people make out of their lives can be understood best through an interpretative approach. It can only be achieved by some form of participation in and experience of, that which is to be understood.

In order to appreciate the suitability of the interpretive paradigm for this study Schurink (1989) in De Vos (1998; p. 277-294) further states that "interpretive paradigm has the following characteristics: is holistic, it looks at the larger picture, the whole picture and

begins with a search for understanding the whole, looks at relationships within a system or culture, refers to the personal, face-to-face, and immediate, is focused on understanding a given social setting, not necessarily making predictions about that setting, requires the researcher to become the research instrument and require ongoing analysis of the data”.

### **3.1.1 Research method**

This study adopted a mixed method of research. It is sometimes referred to as Quan- Qual model (Gay, Mills & Airasian, 2006). According to Creswell (2005), the mixed method approach is a model through which the researcher uses two or more methods in an attempt to confirm and corroborate the findings within a single study. Both qualitative and quantitative methods were used to enrich the results through triangulation. Triangulation is a process of using different data collection methods in order to raise a study’s reliability and validity (Best & Kahn, 2006).

The use of both quantitative and qualitative research methods was preferred for this study. For this study two types of questionnaire methods were used as follows; the first type of the questionnaires used was a closed questionnaire (Likert scale) which is quantitative in nature and used as a dominant method because it enabled the researcher to cover a wider population (Mack, 2010). The second type of questionnaire used in this study was the structured interview (open and limited) questionnaire which is qualitative in nature and was used to gather first-hand information through direct interaction with the respondents (Best & Kahn, 2006).

### **3.2 Population**

In choosing a population, the researcher considered commonalities of characteristics that the population possesses as enunciated by Best and Kahn (2006) that population is any group of individuals that has one or more characteristics in common and that are of interest to the



researcher. The essence of population is also captured by Gay et al. (2006), as they pointed out that population is a larger group of interest believed to have the capacity to supply the necessary data for a study and it is from this group that the sample was selected. The population for the study was staff members in junior secondary schools from South East region in Botswana. In South East region there are 21 junior secondary schools.

The South East region junior secondary schools were chosen as the area of study because the researcher is a teacher in one of the schools in the region. As a result the South East region schools were easily accessed by the researcher when administering the questionnaires and conducting the interviews. It also reduced the costs of traveling as the schools chosen were within less than forty kilometers radius from the South East region offices in Gaborone. The target population comprised of school heads, deputy schools, and heads of departments, senior teachers, teachers, bursars, school head's secretaries, supplies officers and cooks. They were all chosen because they represent the managerial staff members in most junior secondary schools who are to implement and supervise PMS activities.

Staff members were grouped into teaching staff and non-teaching staff. The teaching staff comprises deputy school heads, head of departments, senior teachers and teachers while non-teaching staff comprises of school head, bursar, school head's secretary, supplies officer and cook. In order to understand staff compliment per junior secondary school the researcher interviewed J. J. Van Wyk as the Chief Education Officer (CEO) for Gaborone East schools who supervises those schools. From the interview with J. J. Van Wyk (personal communication, February 7, 2014) the projection of staff in any junior secondary school is 50 teaching staff members with 20 non-teaching staff members making a total estimate of 70 employees in any junior secondary school. Therefore the total number of teaching staff in all junior secondary schools in South East region is projected at 1050 and that of non teaching staff at 420. Altogether the total number of staff members in junior secondary schools in the

South East region is approximately 1470 (J. J. Van Wyk, personal communication, February 7, 2014).

### **3.2.1 Target Population**

The population of this study was staff members in junior secondary schools from the South East region in Botswana. Twelve junior secondary schools were selected while 60 non-teaching staff respondents were selected for the structured interview questionnaire and 60 teaching staff respondents were targeted for the closed questionnaire, therefore making a total of 120 staff members participating in the research.

### **3.3 Sample size**

It is not always possible in research to carry out a study with the whole target population, hence the need to draw a sample. Sampling is the process of selecting a manageable part, called a sample from the population in order to make inferences about the population (Obasi, 2008). Bauer and Gaskell (2000, p. 21), concur by stating that “sampling is a design, scheme of action or procedure that specifies how participants are selected”.

From the large population, there was need to reduce it to a manageable number. Best and Kahn (2006) pointed out that “a sample is a small proportion of the population that is selected for observation and analysis” (p.13). Out of 21 junior secondary schools in South-East region 12 schools were selected for this study. Best and Kahn (2006) are of the view that a population of 30 or more is usually considered a large population. Therefore, there is need to draw a sample that will be representative and manageable.

For purposes of monitoring and supervision of junior secondary schools the South East region divided the junior secondary schools into groups or clusters. This arrangement came up with three clusters in South-East region, namely: Gaborone East, Gaborone West and Ramotswa schools. From each cluster four schools were picked to make a total of 12 junior

secondary schools that participated in the study, 60 teaching staff members: one deputy school head, one head of department, one senior teacher and two teachers making a total of five teaching staff members in each school and 60 non-teaching staff members were interviewed: one school head, a bursar, school head's secretary, supplies officer and a cook making a total of five interviewees in each school. In total 120 staff members were targeted as respondents. Convenience selection of schools was used to select schools that could be easily accessed and where cooperation is highly anticipated.

### **3.3.1 Sampling procedure**

A simple random sampling technique (Chilisa & Preece, 2005) was used to select 12 schools out of 21 secondary schools in the South East region. Simple random technique gives an equal chance to all the selected schools in the South East region (Chilisa & Preece, 2005). According to Chilisa & Preece (2005, p 102), "one way to select the individuals that form a sample is to write down the name of each individual on a piece of paper, place all the papers in a container and randomly pick papers from the container until a desired sample is achieved". Therefore, a simple random sampling was used to select the 12 participating schools from the 21 junior secondary schools in the South East region by placing all their names in 3 containers and from each cluster, Gaborone East, Gaborone West and Ramotswa four schools were picked. The participating schools were given pseudo names of A, B, C, D, E, F, G, H, I, J, K, and L.

The second sampling procedure is purposive. According to Cohen and Manion (2007, p114 – 115), purposive sampling is a "feature of qualitative research, researchers hand pick the case to be included in the sample on the basis of their judgment or their typicality or possession of the particular characteristic being sought". In this study, staff members in junior secondary

schools were picked as respondents because they are expected to carry out performance plans and evaluate performance as matter of policy.

The sample from the population was stratified randomly into three groups. The groups were selected based on staff position or structural hierarchy. The groups were selected using stratification because the interest of the researcher was premised on the staff members responsible for the implementation of PMS in junior secondary schools. The groups are top management, senior management team, teaching staff and non-teaching staff. From each group, respondents were selected by purposive sampling and random sampling to guarantee that all relevant levels were represented in the sample. From top management, one respondent was picked per school; senior management, three respondents were picked per school; teachers, two respondents were per school and non-teaching staff, four respondents were targeted per participating school, which made a total of 120 respondents.

### **3.4 Data Collection**

The sources of data that were used in this study were closed questionnaire (Johnson & Christensen, 2004), structured interview questionnaire (Cohen & Manion, 2007) and document analysis (Chen, 1998) on PMS implementation. According to Johnson and Christensen (2004), questionnaires are “a set of carefully constructed questions designed to provide systematic information in a particular area or concern in a given subject” (p. 164). Closed questionnaire was selected over other sources of data collection such as observations because it gave respondents time to think about answers, they were easy to distribute and administer and covered a large number of respondents (Chilisa & Preece, 2005).

Supporting the use of closed questionnaire, Johnson and Christensen (2004), mentioned that “researchers use closed questionnaires so that they can obtain information about the thoughts, feelings, attitudes, beliefs, values, perceptions and behavioral intentions of research

participants” (p.164). The questionnaire questions were closed ended in the form of Likert-scale and the respondents rated their views on statements. The Likert-scale was used to provide more precise information about the respondents’ degree of agreement or disagreement (Johnson & Christensen, 2004). This assisted in preventing irrelevant responses and the possibility of misinterpretation and researchers’ bias during analysis of responses (Johnson & Christensen, 2004). The options had numerical referents as Agree = 1, Strongly Agree = 2, Neutral = 3, Disagree = 4 and Strongly Disagree = 5.

The second method used in collecting data was the structured interview questionnaire (Best & Khan, 2006; Patton, 2001). According to Patton (2001), “structured interview questionnaire (open and limited) consist of a set of questions carefully and arranged with intention of taking each respondent through the same sequence and asking each respondent the same questions with essentially the same words” (p. 342). Similarly, Best and Khan (2006) pointed out that the structured interview questionnaire should assist the researcher to clarify questions that may seem confusing to the respondents. In addition to the advantages of structured interviews questionnaire over closed questionnaire, Cohen and Manion (2007) maintain that structured interviews questionnaire are:

...a two-person conversation initiated by the interviewer for the specific purpose of obtaining research-relevant information, and focused by him/her on content specified by research objectives of systematic description, prediction or explanation (p. 47).

The third method used in collecting data was consulting of documents on PMS implementation. This is an indirect collection method that deals with materials or artifacts such as books, journals, magazines, newspapers and letters (Chen, 1998). According to Chen (1998), documentary analysis identifies the absence, presence and frequency of some items in the data being collected. The documents included Botswana Government papers on PMS, and unpublished thesis and dissertations on PMS.

Therefore, the use of closed questionnaire, structured interview questionnaire and document evaluation were aimed at triangulating (Cohen & Manion, 2007) information from the respondents. Furthermore, Cohen and Manion (2007) are of the view that to triangulate information is essential because exclusive reliance on the one method may distort the researcher's picture of a particular reality under investigation.

### **3.5 Pilot Study**

A pilot study was conducted in Tlokweg junior secondary school which falls under the Gaborone East junior schools. This was done to get the glimpse of how respondents would answer the questionnaires and thus would help to review the closed questionnaires, structured interview questions and evaluate their clarity. The respondents were requested to critique the instrument on the following: double barreled questions, language, ambiguity, instructions, time taken to fill in the questions and format.

The suggestions were considered in order to reconstruct the instruments. The questionnaires were then submitted to the research supervisor to critique the instrument design and to assure face and content validity of the questionnaire by checking the questionnaires against the research objectives and research questions to achieve the validity of the instruments. This is in agreement with Fraenkel and Wallen (1993) who state that the purpose of pilot testing is to detect any problem so that it can be corrected before the study is carried out.

### **3.6 Data Analysis**

Data analysis is the presentation of data collected from the respondents. The data analysis was guided by a sequential exploratory approach of a mixed model, in which priority is given to quantitative approach. The quantitative data (numerical) was analyzed through the Statistical Package for Social Sciences (SPSS) to come up with frequency analysis of variance (ANOVA) of predictable assumptions (Ary, Jacobs & Sorensen, 2010). In addition,

the qualitative (interview) data was analyzed through coding and developing themes. Themes are defined as units derived from patterns such as "conversation topics, vocabulary, recurring activities, meanings, feelings, or folk sayings and proverbs" (Taylor & Bogdan, 1984, p.131).

Aronson (1994) argues that thematic analysis focuses on identifiable themes and patterns of living, and or behavior. In addition, Aronson (1994) proposes three steps which could be followed during thematic analysis: First step was to collect data. Second step was to relate the data to the already classified patterns. The last step was to combine and catalogue related patterns into sub-themes. The above mentioned steps were followed to analyze the structured interview questionnaire.

### **3.7 Validity of the instruments**

Cohen et al., (2000), define validity as the extent to which an empirical measure adequately reflects the real meaning of the concept under consideration. Bouma and Atkison (1995) advise that researchers should seek friends or colleagues' opinions or comments that could help in the instruments' design and recommend the pre-testing or piloting of the research instruments in order to increase validity. In respect of that, the closed questionnaire and structured questionnaire were piloted in one of the junior secondary schools in South East region. In support of piloting the instruments, Bouma and Atkison (1995), maintain that the purpose of piloting is to thrash out snags in the instrument so that respondents in the main study do not experience any difficulties in completing it. The exercise enables the researcher to carry out preliminary analysis (Cohen et al., 2000) and see whether the wording and format of questions would present any difficulty during analysis. In order to ensure validity a pilot test was done.

### **3.8 Reliability of the instruments**

Borg, Gall and Gall (2003) define reliability as the degree to which the instrument measures something consistently. The most used technique for determining the reliability of an

instrument is the test-retest method. Mertens (1998) points out that an instrument is administered on individuals and the same individuals receive a second administration of the same instrument. The second administrations are compared to determine the consistency of responses. In this study, a test-retest method was used to test the reliability of both closed questionnaire and structured interview questionnaire at one of the participating schools in the South East region in Botswana on the same respondents on whom the instruments have been pre-tested.

### **3.9 Ethical Consideration**

Research ethics refers to the appropriateness of behavior in relationship with others involved in the research project (Kumar, 2005). In addition, Kumar (2005) points that ethical consideration entails ethical principles, rules and conventions which distinguish socially acceptable behavior from that which is generally considered unacceptable. Ethical concerns always arise throughout the whole research process: planning the research; seeking access to data; collecting data; analyzing data, and finally report writing (Bryman and Bell, 2007) hence a critical aspect of research. For this study, the following were seriously considered: consent, anonymity or confidentiality, access and acceptance and the public's right to know.

Miles and Huberman (1994) posit that when dealing with consent of respondents, the following questions need to be asked: do the people have full information about the study; is their consent to participate freely given and un-coerced? According to Tsayang (1995, p. 55) "in order to openly conduct a study particularly in schools, permission has to be sought from the powers that be, at ministerial as well the as school". A letter of request for research data was written to the Director of Regional Operations South East (**Appendix D**) to sought permission to carry the study in the region. After permission was granted by the Director (**Appendix E**), an introductory letter (**Appendix F**) and request for participation (**Appendix**



G) were issued to the target schools, soliciting cooperation from the respective school heads so as to administer questionnaires and interviews in the schools were done. Appointments with the school heads were made to explain the research and request to distribute questionnaire and conducting interviews with staff members.

### **3.10 Summary**

This chapter laid out the underlying principle for selection of research paradigms. Both positivism and interpretative paradigms were adopted. It stated the adoption of both quantitative and qualitative research methods. It also stated the target population and the rationale behind the selection of that given application. The chapter has also explained what sampling is and the procedures that were carried out through out the sampling process were also stated. It also explained how the validity and reliability of the research instrument were ensured. The chapter also explained how data was collected and how data was analyzed. It lastly looked at ethical considerations that were employed for this study. The next chapter, chapter four presents the findings of the study.

## CHAPTER FOUR

### DATA ANALYSIS AND PRESENTATION OF FINDINGS

#### 4.0 Introduction

In this chapter the findings of the study from quantitative and qualitative data are analyzed and interpreted. According to Airasian and Gay (2003), the researcher inductively constructs patterns that emerge from the data and tries to make sense out of them. The discussion seeks to narrow responses from the respondents to the key issues of objectives and questions of the study. In addition, Airasian and Gay (2003) point out that interpretation is the reflective, interpretative and explanatory aspect of dealing with a study's data.

The quantitative data (numerical) was analyzed through the Statistical Package for Social Sciences (SPSS) to come up with frequency analysis on main questions while the qualitative data dealt with meanings and themes in the data in answering the questions and what can be learned from the data. In this way preliminary conclusions are drawn on each objective and research question.

#### 4.1 Rate of return

The rate of return of closed questionnaires and conducting structured interview questionnaire were 100% successful. This high rate and success is attributed to the researcher's high commitment to the study as it took a period of three weeks making repeated trips to the schools to collect data. The information led to a deeper analysis of the research questions.

#### 4.2 Analysis and Interpretation of the Findings

Table 1 to Table 15 focus on the findings based on the quantitative method used. Thereafter from 4.2 to 4.2.5 it is the themes which were found to be consistently occurring that form the major findings from the qualitative method used.

#### 4.2.1 Analysis of closed questionnaire

For analyzing quantitative data, in this section the findings of the study are presented according to the research questions. The study investigated the following questions: How much do you know and understand PMS? What problems have been encountered by the school administration in the implementation of PMS? In order to ensure the implementation of PMS schools should do what? Lastly how can PMS in junior secondary schools be improved?

#### 4.2.2 How much do you know and understand about PMS?

This question sought to find out if there was a degree of knowledge and understanding of PMS among the staff members in junior secondary schools. It aimed at establishing the knowledge level and understanding of PMS processes and how it helps them to do their school duties. To address this objective five items were used to indicate the degree of respondents' agreement and disagreement with the main question.

Item one (1) sought whether knowing what is expected of them in the implementation PMS processes is important.

**Table 1: Knowing PMS expectation**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	2 Disagree	1	1.7	1.7	1.7
	3 Neutral	4	6.7	6.7	8.3
	4 Agree	19	31.7	31.7	40.0
	5 Strongly Agree	36	60.0	60.0	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings from Table 1 show that 55 of respondents (91.7%) agree that having the knowledge and understanding of PMS processes is important while 1 respondent (1.7%)

disagree with the statement. About 4 respondents (6.7%) were none committal. Considering the views of the respondents, it can be deduced that the respondents understand the importance of having the knowledge and understanding of PMS processes.

Item two (2) sought whether respondents view knowledge as a strategic resource.

**Table 2: Knowledge is strategic resource**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	2 Disagree	1	1.7	1.7	1.7
	3 Neutral	5	8.3	8.3	10.0
	4 Agree	24	40.0	40.0	50.0
	5 Strongly Agree	30	50.0	50.0	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings indicate that 54 respondents (90%) agree that knowledge is a strategic resource, whilst 1 respondent (1.7%) disagree. However, a substantial number of respondents (8.3%) did not express any opinion with regard to knowledge as a strategic resource.

Item three (3) asked whether respondents can work on their performance and development plans (PDP's) with little or no help.

**Table 3: Working on my PDP**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1 strongly disagree	1	1.7	1.7	1.7
	2 Disagree	5	8.3	8.3	10.0
	3 Neutral	7	11.7	11.7	21.7
	4 Agree	31	51.7	51.7	73.3
	5 Strongly Agree	16	26.7	26.7	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings indicate that 47 respondents (78.4%) agree that they can work on their PDP's while 5 respondents (8.3%) disagree that they can work on their PDP's. Seven respondents (11.7%) remained non committal.

Item four (4) asked whether the respondents have knowledge of PMS.

**Table 4: Little or no knowledge of PMS**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1 strongly disagree	26	43.3	43.3	43.3
	2 Disagree	18	30.0	30.0	73.3
	3 Neutral	2	3.3	3.3	76.7
	4 Agree	10	16.7	16.7	93.3
	5 Strongly Agree	4	6.7	6.7	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings show that 14 of respondents (23.4%) agree that they have some knowledge of PMS while 44 respondents (73%) disagree that they have knowledge of PMS processes. About 2 respondents (3.3%) remained non committal. The high number of respondents who disagreed implies that 14 years later since PMS introduction teachers have not accepted and supported the implementation of PMS as result a negative attitude towards PMS has become a major problem.

Item five (5) sought to establish whether the purpose of PMS was initially made clear.

**Table 5: Purpose of PMS clear**

		Frequency	Percent	Valid Percent	Cumulative Percent
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Valid	1 strongly disagree	3	5.0	5.0	5.0
	2 Disagree	6	10.0	10.0	15.0
	3 Neutral	7	11.7	11.7	26.7
	4 Agree	29	48.3	48.3	75.0
	5 Strongly Agree	15	25.0	25.0	100.0
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings indicate that 44 respondents (73.3%) agree that the purpose of PMS was made clear while 9 respondents (15%) disagree that the purpose of PMS was not made clear. About 7 respondents (11.7%) opted to remain neutral.

Considering the views of respondents, it can be deduced that the respondents acknowledge: the importance of knowledge, the importance of job expectation, in majority (78.4%) they can develop their PDPs, the purpose of PMS implementation in the junior secondary schools was made clear, but the respondents in majority (73%) feel they have inadequate knowledge of PMS processes.

#### **4.2.3 What problems have been encountered by the school administration in the implementation of PMS?**

This section intended to investigate the barriers that schools meet as they strive to implement PMS. The findings therefore show the problems that administration encountered in the process of implementation of PMS in junior secondary schools. The first which is table 6 shows the change of mind set of employees when PMS was implemented.

Item one (1) asked respondents whether they felt that there is need to have a change of mind set towards PMS as a new appraisal strategy.

#### **Table 6: Change of mind set**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1 strongly Disagree	1	1.7	1.7	1.7
	2 disagree	3	5.0	5.0	6.7
	3 Neutral	1	1.7	1.7	8.3
	4 agree	20	33.3	33.3	41.7
	5 Strongly Agree	35	58.3	58.3	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

From the findings it came out clear that 55 respondents (91.6%) agree that there should be a change of mind set among staff while 4 respondents (6.7%) disagree with the notion of a change of mind set among staff. Only 1 respondent (1.7 %) opted to remain neutral.

Item two (2) established whether moving away from the old appraisal takes time.

**Table 7: Moving away from old practice**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1 strongly disagree	1	1.7	1.7	1.7
	2 Disagree	4	6.7	6.7	8.3
	3 Neutral	7	11.7	11.7	20.0
	4 Agree	30	50.0	50.0	70.0
	5 Strongly Agree	18	30.0	30.0	100.0
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings indicate that 48 respondents (80%) agree that moving away from the old appraisal takes time while 5 respondents (8.4%) disagree that moving away from the old appraisal takes long. A total of 7 respondents (11.7%) remained neutral to the statement moving away from old appraisal take time.

Item three (3) asked respondents whether more funds are needed for training staff on PMS processes.

**Table 8: More funds needed**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1 strongly disagree	1	1.7	1.7	1.7
	2 Disagree	5	8.3	8.3	10.0
	3 Neutral	7	11.7	11.7	21.7
	4 Agree	16	26.7	26.7	48.3
	5 Strongly Agree	31	51.7	51.7	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings indicate that 23 respondents (78.4%) agree that more funds are needed for training while 6 respondents (10%) disagree with the statement that more funds are needed for training of staff. About 7 respondents (11.7%) opted to remain neutral.

Item four (4) asked respondents whether PMS implementation was rushed in the schools.

**Table 9: Implementation rushed**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1 strongly disagree	3	5.0	5.0	5.0
	2 Disagree	8	13.3	13.3	18.3
	3 Neutral	10	16.7	16.7	35.0
	4 Agree	15	25.0	25.0	60.0
	5 Strongly Agree	24	40.0	40.0	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	



The findings indicate that 39 respondents (65%) agree that PMS implementation was rushed while 11 respondents (18.3%) disagree with the statement that PMS implementation was rushed. About 10 respondents (16.7%) opted to remain neutral.

Item five (5) asked respondents whether performance appraisal is not accounted for at school level particularly to show any link of performance results to rewards.

**Table 10: Appraisal not accounted**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1 strongly disagree	5	8.3	8.3	8.3
	2 Disagree	10	16.7	16.7	25.0
	3 Neutral	10	16.7	16.7	41.7
	4 Agree	12	20.0	20.0	61.7
	5 Strongly Agree	23	38.3	38.3	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings indicate that 35 respondents (58%) agree that performance appraisal is not accounted for in the schools while 15 respondents (25%) disagree with the statement that appraisal is not accounted for in our schools. About 10 respondents (16.7%) opted to remain neutral. The (25%) disagreement is a significant percentage this implies some respondents are satisfied with the level accountability on performance appraisal.

The general picture depicted by the findings show that the main problems impeding on PMS implementation in the junior secondary schools result from a compound resistance to change as (91%) of respondents advocate for a change of mind set towards PMS. The second indication of a problem emanate from a clear acknowledgement of refusal to move away from the old appraisal as (80%) respondents maintain it takes time to move away from a known practice. The third impediment that has been deduced from the finding is funding,

(78.4) respondents advocate for more funds to drive PMS implementation. The fourth problem identified is the rushing of PMS implementation in junior secondary schools, (65%) respondents agree to the fact that PMS was rushed. The last problem deduced is the lack of accountability on performance appraisal, because (58%) of the respondents agree that accountability on performance appraisal is lacking as there is no link of performance results to rewards.

#### 4.2.4 Strategies to improve implementation of PMS in junior secondary schools

In this section, the aim was to ask respondents about strategies that can be used to improve implementation PMS. The aim was to identify the measures taken to ensure successful implementation of PMS in junior secondary schools. In addressing this objective five item statements were used to show whether the respondents agree (yes) or disagree (no) with the statement.

Item one (1) proposed that staff members should be trained on PMS processes.

**Table 11: Train Staff**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1 yes	59	98.3	98.3	98.3
	2 no	1	1.7	1.7	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings revealed that 59 respondents (98.3%) agree with the statement that staff should be trained on PMS processes while only 1 (1.7%) disagree. Generally the responses indicate that training on PMS processes is highly required in junior secondary schools.

Item two (2) asked the respondents whether the school should be allowed to operate as it was done in the past before PMS implementation.

**Table 12: Allow the school to operate as usual**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1 yes	24	40.0	40.0	40.0
	2 no	36	60.0	60.0	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings indicate that 24 respondents (40%) agree with the statement that the school should operate as usual while 36 (60%) disagree. It can be deduced that while the majority respondents advocate for implementation of PMS in junior secondary schools, there is a significant number of respondents not in support of PMS implementation who maintain schools can still operate better under the old appraisal system without PMS.

Item three (3) asked respondents whether staff performance is reviewed.

**Table 13: Review staff performance**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1 yes	59	98.3	98.3	98.3
	2 no	1	1.7	1.7	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings indicate that 59 respondents (98.3%) agree with the statement that staff performance should be reviewed while 1 (1.7%) respondent disagrees. The general picture here is that respondents acknowledge the importance of reviewing performance. This implies that reviewing staff performance is critical to implementation of PMS.

Item four (4) asked respondents whether performance should be reported.

**Table 14: Report performance of staff**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1 yes	59	98.3	98.3	98.3
	2 no	1	1.7	1.7	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings indicate that 59 respondents (98.3%) agree with the statement that performance should be reported while 1(1.7%) respondent disagrees with reporting performance. This reflects that respondents recognize that adequate reporting performance is significant to the implementation of PMS.

Item five (5) asked respondents whether performance plans should be implemented as per the institutional needs.

**Table 15: Implement performance plans**

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1 yes	52	86.7	86.7	86.7
	2 no	8	13.3	13.3	<b>100.0</b>
	<b>Total</b>	<b>60</b>	<b>100.0</b>	<b>100.0</b>	

The findings indicate that 52 respondents (86.7%) agree with statement that performance plans should be implemented while 8 (13.3%) of respondents disagree. This indicates that respondents acknowledge the importance of implementing performance plans. It reflects that planning for improving performance is important towards PMS implementation in junior secondary schools.

Considering the views of the respondents it can be deduced that the respondents think that there should be strategies used to improve PMS implementation in junior secondary schools. The strategies supported to ensure PMS implementation include: training of staff on PMS processes (98.8%), continuous review of staff performance (98.3%), reporting of staff performance (98.3%), and implementation of performance plans (86.7%).

#### 4.3 Thematic analysis of structured interview questionnaire

The second part of research findings come from structured interview questionnaire. Table 18 below present the themes and sub-themes derived from six structured interview questions and it also indicates how data was collected and its source. The major themes include: understanding and knowledge of PMS processes, roles of staff members in the implementation of PMS, benefits of PMS implementation, problems encountered by schools and improving PMS implementation.

**Table 18: Themes**

Theme	Data Source	Data collection method	Data analysis
<b>1. Understanding and knowledge of PMS processes</b> <ul style="list-style-type: none"> <li>• Awareness of PMS</li> </ul>	SH, BR, SC, SO and CK	Interview	Qualitative
<b>2. Roles of staff members in the implementation of PMS</b>	SH, BR, SC, SO and CK	Interview	Qualitative

<ul style="list-style-type: none"> <li>• <b>Leading PMS</b></li> </ul>			
<b>3. Benefits of PMS implementation</b> <ul style="list-style-type: none"> <li>• <b>Is PMS useful in the school</b></li> </ul>	SH, BR, SC, SO and CK	Interview	Qualitative
<b>4. Problems encountered by schools</b> <ul style="list-style-type: none"> <li>• <b>Challenges of PMS</b></li> </ul>	SH, BR, SC, SO and CK	Interview	Qualitative
<b>5. Improving PMS implementation</b>	SH, BR, SC, SO and CK	Interview	Qualitative

**Legend: SH = School Head, BR = Bursar, SC = Secretary, CK= Cook, SO = Supplies Officer.**

#### **4.3.1 Aware of PMS processes**

The theme under the understanding and knowledge of PMS processes asked interviewees whether they are aware of PMS. There is evidence that the interviewees are aware of PMS in all the schools. Asserting the strong knowledge of PMS one CK from school A lamented “*ke a itse ka lenaneo la PMS ka gore ke kile ka tsenelela dithuto-seka-dipuisano bogologolo*” (*I know about PMS because I once attended a workshop here in this school a long time ago*). Corroborating this assertion a SH from school K commented that “*leadership in the school is trying hard to educate and help all staff members to understand what is expected of them*”

*regarding PMS, but its only that majority of staff members also believe that the demands that are made on performance improvement are imposed on them by management”.*

It emerged from the interviews that being aware of the PMS is not adequate as there is confusion about many aspects of PMS. The confusion on PMS processes revealed by the findings from structured interviews is corroborated by the findings from closed questionnaire as the findings also revealed that 73% of respondents affirm that they have no knowledge of PMS processes. This implies that there is inadequate knowledge and understanding of PMS processes in junior secondary schools. However, there is substantial evidence that since PMS introduction in the junior secondary schools as a performance evaluation tool, the majority of staff members are in compliance with some of the PMS expectations, for example, some staff members are able to draw performance development plans (PDPs) as a start to begin a performance contract at the beginning of the year.

#### **4.3.2 Roles of staff members in the implementation of PMS**

The theme on staff members in the implementation of PMS shows that other members of staff are aware that school heads are the main accountable officers for performance appraisal. One BR from school D responded *“in the workplace there is an employee who is placed at the top of the school hierarchy and that is the school head. In fact every now and then the school head is out of school attending some workshop commonly on PMS, those are individuals who are better trained than us”*. Out twelve school heads interviewed only seven agreed that they are the main overseers of PMS implementation. The other five school heads were not clear about their role in PMS rather they lamented that senior teacher staff development is responsible for PMS implementation.

In support of their role in PMS implementation, one SH from school C, committed his responsibilities to overseeing PMS implementation by stating that *“am expected to oversee*

*PMS activities, I have signed a performance contract with the Director at the regional office therefore I am accountable and responsible for coordinating everything that goes in the school*". The rest of other interviewees maintained that their roles are to implement all agreed strategies and tools of PMS especially that they are also supervisors.

#### **4.3.3 Benefits of implementing PMS**

In finding out if there are benefits of PMS implementation in the schools; interviewees indicated that PMS can improve schools performance and productivity. In acknowledging the significance of performance appraisal, one SC from school E remarked "*I just completed a diploma in secretarial work and was actually recommended after an appraisal was conducted and that information can be obtained from my PDP*". This implies that performance appraisal is significant in guiding supervisors in appraising staff members.

The findings indicate that since the inception of PMS in the schools accountability has improved. PMS require all staff members to develop performance plans which are continuously reviewed throughout the year, schools strategic plans are used to guide development of projects, PMS calls for close supervision and monitoring of school activities especially classroom instruction and students performance, and PMS philosophy demands that all members of staff be trained on priority area to meet the demand of their duties.

#### **4.3.4 Problems encountered by schools**

The findings show that there are barriers that are faced by junior secondary schools in the implementation of PMS. The findings from structured interviews revealed that majority interviewees contended on following as common problems encountered by junior secondary schools in the implementation of PMS: low understanding of PMS processes by school leadership led to wrong perceptions about PMS, most staff members are still resistant to change and this led to negative attitudes towards PMS, lack of resources to support PMS processes led to poor implementation of PMS in junior secondary schools, inconsistency in



conducting performance reviews led to non performers and disgruntled members of staff scoring higher than performers and lacking adequate funding for training led to limited knowledge and understanding of PMS processes.

#### **4.3.5 Improving PMS implementation**

In this theme the respondents and interviewees' were asked to suggest what junior secondary schools can do to improve PMS implementation. The findings from the closed questionnaire revealed that, training of staff stands out as the highest proposed suggestion (94.3%) and similarly the majority of interviewees' advocate for staff training on PMS processes. Another suggestion by respondents is that performance reviews should be rewarded in order to continuously improve staff motivation (77.1%), this is supported by interviewees' on the ground that motivating staff members should be a common feature in performance appraisal. A substantial number of respondents proposed that rewards be meaningful (74.3%). Similarly majority of interviewees' maintain that rewarding is key to improving productivity and service delivery.

The respondents also suggested that there is need for PMS to be directly linked to job promotion or advancement (65.7%), a factor that is also shared by interviewees' as it came out that performance assessment and appraisal scores should be linked to rewards and promotions. The respondents (54.7%) lastly suggested that both teaching staff and non-teaching staff members should be involved in performance management decision making. Similarly, majority of interviewees' are in support of a participative approach towards decision making.

#### **4.4 Summary**

The findings from this chapter suggest that both teaching and non-teaching staff are aware of PMS and why it was introduced in the junior secondary schools. Furthermore, the findings

show that there is inadequate knowledge and understanding of PMS processes among both teaching and non-teaching staff. The information collected from the teaching and non-teaching staff also shows that there are several challenges that impede on the implementation of PMS in junior secondary schools such as; inadequate funding for training, inadequate knowledge and skills, negative attitudes towards PMS by some teaching and non-teaching staff members. The inadequate understanding of PMS processes by school leadership led to wrong perceptions about PMS. These impediments have resulted in PMS being unable to improve productivity and good service delivery.

## CHAPTER FIVE

### DISCUSSIONS, CONCLUSION AND RECOMMENDATIONS

#### 5.0 Introduction

This chapter discusses and interprets the findings of the study. The findings are discussed on the basis of the research questions which were set in chapter one to guide the study. The main findings of this study are presented as follows; first a synopsis of rate of return of questionnaire, major research questions; basic knowledge and understanding of PMS, challenges of implementation of PMS and improving PMS implementation to investigate challenges facing implementation of PMS in junior secondary schools in South East Region in Botswana. The chapter further draws conclusions and recommendations of the study. The study ends by presenting a brief summary of findings of the study and its implications.

#### 5.1 Basic knowledge and understanding of PMS

Discussions will draw from both quantitative and qualitative findings in order to show commonality in the findings.

The research question sought to find out basic awareness, knowledge and understanding of PMS processes by asking respondents from the closed questionnaire to rate their understanding against five statements. The statements rated the respondents on the following: knowing the expectation, knowledge is strategic resource, able to draw a performance plan, having little or no knowledge of PMS and purpose of PMS. The interviewees' were probed on awareness, knowledge of PMS.

On these questions the findings revealed that there is inadequate knowledge of PMS processes among staff members in junior secondary schools. It came out clear that a significant number (91.7%) of respondents agree that knowing the expectation is important

and also (90%) agrees that knowledge is a strategic resource. On the other hand, it also emerged from interviews that awareness of PMS implementation is very high. The fact that both the respondents and interviewees' indicated a higher degree of awareness of PMS yet the findings also revealed that a significant number of respondents and interviewees' have inadequate knowledge and understanding of PMS processes show that although staff members are aware of PMS, they do not understand the basic processes of implementing PMS. The findings show that 1.7% respondents disagree with knowing the expectation and also 3% disagree that knowledge is a strategic resource. Furthermore, about 15% of respondents were non-committal on both cases.

It also emerged from interviews that there are gaps in supporting the importance of knowledge. Corroborating this assertion a SH from school K commented that *“leadership in the school is trying hard to educate and help all staff members to understand what is expected of them regarding PMS, but it is only that majority of staff members believe that all the tools of performance are imposed on them by management”*. The statement indicate a negative feeling of resentment and an acknowledgement that under various circumstances school K is doing all to educate all employees but as a school they are not doing better because of a continued resistance to embrace PMS. In support of the existing lower levels knowledge and understanding of PMS, Dzimbiri (2008), points out that a varying degree of knowledge gaps among public servants, consultants and those that were to coordinate PMS activities indicate that there is lack of information on processes of PMS. So this is not unique to Botswana junior secondary schools.

However, it has been well argued that having the knowledge on PMS can support staff members to improve PMS implementation in junior secondary schools. From the findings, 78.4 % of respondents agree they can work on their PDPs while 8.3 % disagree. Those that remain neutral were 11.7%. To support the varying inconsistencies of skills needed for

drawing PDPs and to illustrate that a substantial number of staff members cannot work on their own to develop PDPs, one SC from school F lamented "*never! I am not able to do that, how can I do it? The thing sometimes disappears, and when we have forgotten people come running after us*". The comment implies that because of inconsistencies in carrying out PMS activities staff members continue to fail to own and support PMS implementation. Another interviewee BR from school A pointed out that "*I think only one group of teachers were trained, many of us we survive by duplicating the work of other staff members who understand, in the end we fail to account and to provide information during reviews*". This reflects that staff members in junior secondary schools continue to fail to own PMS as school evaluation tool.

The ability to align and educate all members on how to develop PDPs is could be of improving implementation of PMS. In order to improve staff members ability to develop PDPs, Armstrong and Baron (2004) points out that coaching can develop the person's skill and knowledge so that their job performance improves, leading to the achievement of and organization's objectives. The findings also revealed that 73% of respondents have no knowledge of PMS processes while only 23% have some knowledge of PMS processes. Probe further on PMS processes one interviewee CK from school E commented "*we just call it by it name, but the actual doing, we are lost*". This comment can be linked to findings which reveal that 15% of respondents felt the purpose of PMS has never be made clear to made.

According to Reeves, Forde, O'Brian, Smith, and Tomlinson (2002), there is substantive evidence that corroborate unproductive work force and inadequate knowledge of work processes negatively affects productivity. Therefore, lack of knowledge on the processes of PMS can be associated with poor implementation of PMS in junior secondary schools and poor service and productivity. This finding contradicts Armstrong (2009), view that

performance management is concerned with aligning individual objectives to organizational objectives, encouraging individuals to uphold corporate core objectives, enabling expectations to be defined and agreed in terms of role responsibilities and accountabilities.

## **5.2 Problems encountered by schools in the implementation of PMS.**

The study investigated the barriers that the schools encountered since the implementation of PMS in junior secondary schools. The findings from quantitative data revealed that 91.6% of respondents agree that there is a need to a change of mind set among staff members. This is also supported by the findings from the qualitative data that majority of interviewees' think there is no change in the way things are done in the schools which could guarantee a mind set of change. In both cases it could be said that the main problem is refusal/resistant to change by staff members.

To show that there is resistance to change, one BR from school C said that "*I just do not understand, we have not changed the way we do our work and the way they supervise us.*"

The comment made by the interviewee can be linked to the findings from the closed questionnaire that reveal that 73% of respondents do not have the knowledge and understanding of PMS processes despite 14 years of continuously use of PMS as a performance evaluation tool in the junior secondary schools. To understand resistance to change Mayne (2007) maintain "fundamental changes require time, if we require significant outcome in behavioral change; it take years, integrating performance information into managing takes time and perseverance; and it costs, cost time and money"(p. 34). This is clear indication that a resistant to change is a problem towards implementation of PMS in junior secondary schools.

The findings also revealed that moving away from the old appraisal system to pave way for PMS in junior secondary schools would take long because significant 80% of respondents

supported the fact that a longer period is required in order to move from the old appraisal system to PMS. On the other hand, the interviews revealed that interviewees' could not really distinguish between what has been an old appraisal and new performance appraisal as they maintain their duties have not changed. One CK from School F said "*wa reng? Go a tshwana (what? It is the same thing over a long time*". This findings show that majority of staff members have not been taught or understand what PMS is and how it is used to evaluate employees' performance.

The other findings reveal that lack of funds to train staff members on PMS processes is another problem. Majority (78.4%) respondents agree that there is inadequate funding for staff training. It has also emerged from the interviews that there is inadequate training of staff members on PMS processes especially the non-teaching staff. One SH from school H admitted "*there is no regular training for non-teaching staff and most information relayed to them go as announcements*". This view is supported by show one BR from school G who was furious and said "*this issue of training is just in papers not in practice.*"

The findings further show that PMS was rushed in junior secondary schools because (65%) of respondents agree that PMS implementation was rushed in the schools. It also emerged from the interviews that PMS was rushed and that is the reason why supervisors are not well vested with PMS processes. Monyatsi et al. (2006) agree that all parties involved in the teacher appraisal process should know and understand its purposes, and should interpret and apply these in a uniform, professional way, if the whole process is to be effective and beneficial for the whole-school development.

The study has established that performance appraisal is not used as means to reward, promote, and train employees'. The findings reveal that 58% of the respondents observed lack of unaccountability on performance appraisal. Similarly, it also emerged from the

interviews that performance appraisal results are not used as any means of closing gaps particularly by training or rewarding for good performance. This goes against the expectation that the role of supervisors is to make sure that supervisees do their work effectively, by coaching, mentoring and rewarding for good performance.

In order to improve implementation of PMS, Hartle, Everall, and Backer (2001) held that staff members should be committed to doing their best; the person doing the work is the best person responsible for the quality of that work. In addition, the success of the schools depends upon its ability to unlock the potential for growth and development of the staff members. Moreover, that people work more effectively when they are clear about what they have to do, why they do it; get feedback and recognition for what they have contributed through their job (Hartle et al., 2001). In support of Hartle et al. (2001), Mayne (2007) emphasizes that organizational performance challenges include issues of avoiding distorting behavior and accountability for outcomes.

### **5.3 Strategies to improve PMS implementation in junior secondary schools**

The findings of the study revealed that there is inadequate training of staff members on PMS processes. This is in line with 98.3% of respondents who affirm that staff should be trained on PMS processes. There is coherence of sentiments among respondents and interviewees' that training is one of best strategies to develop skills, attitudes and knowledge needed for the smooth implementation of PMS in the schools (Bartlett, 2000). 98.3% is a significant indicator that training on PMS processes is lacking in junior secondary schools. Training is among the best priorities (Reeves et al. 2002) of the development better skills and understanding of the purpose of performance evaluation.

The other issue paramount to implementation of PMS is moving away from the old appraisal. The findings revealed that 60% of respondents disagree with the notion that schools should



be allowed to operate on the old appraisal system. This implies that more staff members are in support of implementation PMS in junior secondary schools.

The findings revealed that 98.3% of respondents support performance review. However, it emerged from the interviews that staff performance reviews should be used for individual growth in the workplace. One SH from school E agrees that “PMS is supposed to be used for developmental purposes rather than used for punitive measures” The results indicate that staff appraisal remains one of the most important strategies needed to address performance evaluation of employees. Performance framework and performance measures require a comprehensive evaluation so that better ways are implored to provide solutions to performance problems (Bartlett, 2000).

Performance review results are important to performance reporting. The findings revealed that 98.3% respondents support performance reporting. It also emerged from the interviews that performance should be noted and communicated to employees as this might improve work performance. Reporting performance is part of PMS processes. The performance reports assist institutions to work on their strategic plans in view of improving old intentions. The findings revealed that 86.7% respondents support implementation of plans as per the school priorities.

The findings from the quantitative data revealed that, training of staff members stands out as the highest proposed suggestion (94.3%) that can improve implementation of PMS. Similarly the majority of interviewees’ state that staff training on PMS processes is important. In support of training, Reeves et al. (2002) maintained that the training of employees is an indispensable route to acquiring knowledge that will establish high quality skills which could result in staff members using PMS to improve productivity in their work place.

Another strategy from the findings is that performance reviews could be used to continuously to improve staff motivation. This was said by (77.1%) of the respondents. This indication is that motivating staff members should be a common feature in performance appraisal. This is the case in UK as the implementation of PMS in UK schools was introduced as performance reviews/assessment of staff performance as an integral part of the appraisal system (Bartlett, 2000).

The other findings indicate that rewarding is key to improving productivity and service delivery. The respondents also suggested that there is need for PMS to be directly linked to job promotion or advancement (65.7%), a factor that is also shared by interviewees'. This strategy is similar to Hellriegel and Slocum (1996) view that maintain that rewards are job outcomes that employee's desire. Furthermore the findings show that teaching and non-teaching staff members needed to be involved in performance management decision making.

#### **5.4 Knowledge Gaps**

One of the key challenges from this study was the lack of knowledge in terms of implementation of the PMS processes among both teaching and non-teaching staff members in junior secondary schools. To a large extent staff members showed they had little or no knowledge about PMS. This might have been precipitated by the challenge of training as majority of staff members indicated that they were not trained on how to implement the tool. Furthermore, school management too had limited knowledge about PMS. Despite all these, training of staff on the implementation processes of PMS is fundamentally the most appropriate skill that can be used to address levels of declining schools performance results and improve productivity levels in junior secondary schools in Botswana.

#### **5.5 Conclusion**

The findings from this study indicate the following:

- a) There is a clear inadequacy of knowledge of PMS as indicated by 73% of respondents and majority of interviewees' who responded on the affirmative that they have no knowledge of PMS processes.
- b) Teaching and non-teaching staff members agree that a change of mind set is needed towards PMS to move away from the negative attitude that exist towards PMS in junior secondary schools. This shown by the fact that 91.6% teaching staff and majority of interviewees' responded on the affirmative.
- c) The priority of training staff members rely largely on the available of funds. The study results revealed that more funds are needed for training staff on PMS processes. This is indicated by 78.4% of the teaching staff responded on the affirmative to more funds needed for training purposes. It is in this respect that strategies to improve implementation of PMS need to be introduced and implemented. Improving implementation of PMS in junior secondary schools call for strategic direction from the MoESD.

## **5.6 Recommendations**

Subsequent to the discussions above, the recommendations are proposed on the basis that it is necessary for staff members to acquire knowledge on PMS processes and to improve PMS implementation in junior secondary schools. It has emerged from the study that staff in junior secondary schools lacked skills, knowledge and understanding of PMS processes. There is also inadequate funding, poor training and motivation to implement performance management system. The rushing of the introduction of PMS in the schools by Botswana Government had negatively affected the desirable attitude towards PMS by staff members in junior secondary schools and this created lack of ownership by those who were expected to implement it. Lack of involvement in decision making by both teaching and non-teaching staff on matters of performance improvement tend to also affect negatively staff members

attitude towards PMS. To improve PMS implementation in junior secondary schools, it is recommended that:

- The MoESD should customize the performance management system strategies to enable schools to easily adapt to the plans and improve strategy execution.
- the MoESD should engage all stakeholders in the drawing of the school's strategic plan.
- the MoESD should train all staff members on the importance of PMS and allow them to own it so as to be change agents.
- junior secondary schools enhance PMS training by organizing school-based workshops for school management teams since PMS is leader driven.
- subsequently junior secondary schools should embark on regular, extensive and continuous refresher training sessions in the form of school-based workshops for all members of staff.
- junior secondary school should plan a detailed performance reviews schedule, and work on quarterly performance reports.
- junior secondary schools should adopt a participatory approach in PMS activities whereby staff members will participate with and will raise issues for discussion by all.
- A future research study on this topic should be extended to other schools.

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## Appendix A Questionnaire

I am Thapelo Molefhi, a student at the University of Botswana doing Master in Educational Management. In fulfilling my degree programme I have to carry out a research on **challenges facing the implementation of performance management system: a case of south east region junior secondary schools in Botswana**. With that I have design this questionnaire to gather data that will be used to draw conclusions based on the results that would be obtained from it. So you are kindly requested to answer this questionnaire as best as you can. Note that all information received will be treated confidentially and will be used solely for research purposes. Do not write your name on the questionnaire. Thank you in advance.

### SECTION A

#### DEMOGRAPHIC INFORMATION

1. Gender (tick appropriate box)

<b>Gender</b>	M	
	F	

2. Age Range (tick appropriate box)

	Below 25	
	25 – 29	
3.	30 – 35	
4.	36 – 39	
5.	40 - 44	
6.	45 above	
7.		

4. Academic qualification: **(tick appropriate box)**

STD 7	<input type="checkbox"/>
JC	<input type="checkbox"/>
BGCSE	<input type="checkbox"/>
Others (Specify)	<input type="text"/>

5. Professional Qualification **(tick appropriate box)**

Diploma	<input type="checkbox"/>
First Degree	<input type="checkbox"/>
Master's Degree	<input type="checkbox"/>
PhD	<input type="checkbox"/>
Other(s),specify:	<input type="text"/>

6. Work Experience **(tick appropriate box)**

<5	<input type="checkbox"/>
5 – 9	<input type="checkbox"/>
10 – 14	<input type="checkbox"/>
15 – 19	<input type="checkbox"/>
>20	<input type="checkbox"/>



7. Job Title (tick appropriate box)

Senior Management Team	
Teaching Staff	
Support Staff Administration	
Industrial Class	

SECTION B

Please tick the appropriate box for the following statements. There are no correct answers and the best answers are those that honestly reflect your feelings

1. How much do you know and understand PMS.

1 = Strongly Disagree   2 = Disagree   3 = Neutral   4 = Agree   5 = Strongly Agree

STATEMENT	SD	D	N	A	SA
1. Knowing what is expected of me regarding PMS is important					
2. Knowledge is a strategic resource in PMS					
3. I can work on my PDP with little or no help					
4. I have little or no knowledge of PMS					
5. The purpose PMS have been made clear					

2. What problems have been encountered by the school administration in the implementation of PMS?

**1 = Strongly Disagree   2 = Disagree   3 = Neutral   4 = Agree   5 = Strongly Agree**

STATEMENT	SD	D	N	A	SA
1. There is need to have change of mind set					
2. Moving away from the old appraisal takes time					
3. More funds are needed for training					
4. PMS implementation was rushed					
5. Appraisal is not accounted for					

**3. In order to ensure the implementation of PMS schools should**

**Yes/No questions (Tick in the box provided for a correct answer)**

STATEMENT	YES	NO
1. Train staff on PMS processes		
2. Allow the school to operate as usual		
3. Review staff performance		
4. Report performance		
5. Implement the performance plans strictly		

**4. How can PMS in Junior Secondary Schools be improved?**

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**Thank you very much for time and responses. Le kamoso.**

## Appendix B

### Structured Interview Guide

1. In your opinion, what is your understanding of PMS and what is its aim in the schools?
2. What is your role and others in implementation of PMS?
3. How is the implementation of PMS in your School? Any notably achievements and any challenge you experiencing?
4. What problems have been encountered by the school administration in the implementation of PMS?
5. What initiatives can you say can improve PMS implementation?
6. In what ways do you think PMS in Junior Secondary Schools can be improved?

**Thank you for your cooperation**

### Setswana Translation

1. Go yaka wena, kitso ya gago ka PMS ke eng? Maikaelelo a yone mo dikolong ke eng?
2. Dikgwetlho tse boetelepele jwa sekolo bo kopaneng natso mo tiragatsong ya PMS ke dife?
3. Ke megopolo efe e o e akanyang gore e ka tokafatsa PMS?
4. PMS e ka tokafadiwa jang mo dikolong tse di kgolwane?.

**Kelebogetse thuso ya gago, le kamoso**

**Appendix C**  
**Construction of questionnaire items**

<b>Independent Variable: <u>Challenges</u> (Indicants)</b>	<b>Dependent Variable: <u>Implementation of PMS</u> (Indicants)</b>
1. Lack of knowledge of PMS	1. Knowledge and understanding of PMS processes improves performance standards.
2. Inadequate training of staff on PMS processes	2. Regular and frequent training of staff on PMS processes reduces confusing.
3. Lack of review of staff performance (assessment)	3. Conduct reviews of staff on quarterly bases adequately respond to expectation.
4. No rewards and recognition for good performance	4. Reward and recognize good performance and achievement motivates staff.
5. Change of mindset (negative attitude).	5. Change mind set ( positive attitude)
6. Inadequate reporting	6. Regular reporting and take appropriate action.
7. Poor management and accountability	7. Doing things right (Effectiveness) and doing the right things (efficiency).
8. Weak strategic planning	8. Staff participation in developing school strategy.

## Appendix D



**Faculty of Education**  
**Department of Primary Education**  
Corner of Notwane & Mobuto Road  
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11<sup>th</sup> February, 2015

Director  
Regional Operations-South East Region  
Gaborone

Dear Sir/Madam,

### Re: Request for Research Data

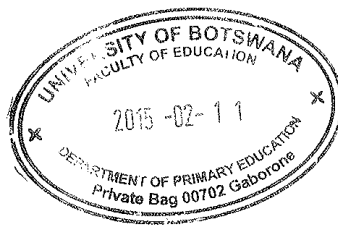
This letter serves to inform you that Mr Thapelo Molefhi is a student at the University of Botswana enrolled on a Postgraduate Programme in the Faculty of Education. As part of his studies, the student is working on a research project that requires him to approach your office for permission to collect data from secondary schools. Members of staff will be requested to complete questionnaires and respond to interview questions. His topic is Challenges Facing Implementation of Performance Management System (PMS).

In my capacity as his supervisor, I wish to request your office to assist him.

Yours faithfully,

A handwritten signature in black ink, appearing to read 'Philip Bulawa'.

Philip Bulawa (PhD)  
Research Supervisor



## Appendix E

MINISTRY OF EDUCATION  
AND SKILLS DEVELOPMENT

TELEPHONE: (267)  
3972454/3625000  
FAX: (267) 3972915/3975899



Republic of Botswana

Director, Regional Operations  
South East  
Private Bag 00343  
GABORONE  
BOTSWANA

REF: 1/15/2 V (53)

13 March 2015

Mr. Thapelo Molefhi  
University of Botswana  
Faculty of Education  
Private Bag 00702  
**GABORONE**

Dear Sir,

**RE: PERMISSION TO CONDUCT RESEARCH STUDY**

Permission is granted to conduct research study in junior secondary schools in South East Region.

This permission is dependent on the School Management satisfying themselves that it is convenient and possible.

By copy of this letter, the School Heads are requested to arrange and facilitate the carrying out of the requested research.

I look forward to a good relationship with the school and the region.

Yours faithfully

Daphney B. Moikabi  
**FOR DIRECTOR, SOUTH EAST REGION**

Cc. School Heads

## Appendix F

University Of Botswana

Private Bag 0022

Gaborone

\_\_\_\_\_March 2015.

The School Head

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UFS: Research supervisor \_\_\_\_\_

Dear Sir/Madam

### **RE: REQUEST FOR STAFF PARTICIPATION**

I am Thapelo Molefhi, a student at the University of Botswana doing Master in Educational Management. In fulfilling my degree programme I have to carry out a research on **challenges facing the implementation of performance management system: a case of south east region junior secondary schools in Botswana**. I am using a questionnaire and interviews to collect views and opinions from the general staff in your school.

I therefore request your support by completing the questionnaires or answering interview questions. Participation in the study is voluntary and has no financial reward. I give you full guarantee that there is absolutely no risk involved in the participation in the study. Participants are not required to write their names or any other information that might give away their identity.

Your anticipated cooperation is highly appreciated.

Yours faithfully

Thapelo Molefhi (Mr)

Student ID No 20090126

## Appendix G

University of Botswana

Private Bag 0022

Gaborone

\_\_\_\_\_March 2015

The School Head

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UFS Principal Education Officer

\_\_\_\_\_ Inspectoral Area

Dear Sir/Madam

### **RE: REQUEST TO CONDUCT A STUDY IN YOUR SCHOOL**

It is through this letter that I, Thapelo Molefhi, seek permission to conduct a research study in your school. My research topic is **challenges facing the implementation of performance management system: a case of South East Region junior secondary schools in Botswana**. The study will be conducted during the second term of the school calendar and will focus on the general staff. The study will also involve the completion of questionnaires and responding to an interview questions.

I am a third year student at the University of Botswana, pursuing Master in Educational Management. Conducting a research is a requirement for my degree program.

Your positive response in this endeavor will be greatly appreciated.

Yours Faithfully

Thapelo Molefhi (Mr)

Student ID No 200901264

Contacts: 72111233

Dr Philip Bulawa- Supervisor