# CHANGE MANAGEMENT STRATEGIES FOR THE ADMINISTRATION DEPARTMENT IN THE MINISTRY OF FINANCE IN SWAZILAND

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ABSTRACT

Despite numerous reforms in a bid to improve service delivery, and ensure transparency and greater accountability, African civil services are still not performing satisfactorily.

This research study is aimed at interrogating whether the public service in Swaziland, and the Ministry of Finance in particular, is performing unsatisfactorily due to the procedures and systems that are used in the organisation. The main purpose of the research is to suggest change management alternatives that can be used by the Human Resources department to enhance performance.

Participant observation and documentary analysis were the primary methods used to gather data for the research. The findings of the research indicate that the department is using outdated managerial systems and procedures which are not responding to the demands made by the current technological environment. The conclusion is that the Human Resources department in the Ministry of Finance needs to update its managerial systems to improve efficiency and maintain a competitive advantage in relation to human resource management issues. Change management alternatives to enhance the operational systems of the department in order to improve its efficiency were recommended. These include the instalment of an e-filing system, conducting training needs assessment exercises and the introduction of a performance management system.

## DECLARATION

I, Siceliwe Doreen Mngomezulu, declare that this report is my own unaided work. It is submitted in partial fulfilment of the requirements of the degree of Master of Management in the field of Public and Development Management in the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination in any other University.

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Siceliwe Mngomezulu

_29th day of_August_ 2008

## DEDICATION

To the memory of my beloved mother, Eunice Thokozile Mngomezulu, who always believed in me.

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## LIST OF ABBREVIATIONS

| | |
|---|---|
| BARS: | Behavioural Anchored Rating Scales |
| BPR: | Business Process Re-engineering |
| CSC: | Civil Service Commission |
| CSD: | Critical Skills Development |
| DOL: | Department of Labour |
| HOD: | Head of Department |
| HR: | Human Resources |
| HRM: | Human Resources Management |
| IT: | Information Technology |
| KM: | Knowledge Management |
| MBO: | Management by Objectives |
| MOPSI: | Ministry of Public Service and Information |
| NPM: | New Public Management |
| NSA: | National Skills Act |
| OD: | Organisational Development |
| OECD: | Organisation of Economic Co-operation and Development |
| PSMP: | Public Sector Management Programme |
| SAP: | Structural Adjustment Programme |
| SETA: | Sectoral Education and Training Authorities |
| TQM: | Total Quality Management |

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# CHAPTER ONE

# INTRODUCTION

## 1.1 Introduction

After more than thirty-five years of independence, the performance of the civil service in Swaziland has not yet reached levels aspired to by the civil servants, legislators and the population in general. This is despite various reforms which Swaziland has experimented with, with the intention of formulating and implementing sound policies that will contribute towards sustainable economic development through enhanced service delivery. The fact that resources are scarce cannot be ignored but there is a need to examine whether the procedures and systems used by the public sector are keeping up with current human resource managerial systems, such as performance management.

## 1.2 Contextual Background

The Kingdom of Swaziland is a small land-locked country with a population of about one million five hundred thousand (1 500 000) people. It is seventeen thousand, three hundred and sixty three (17 363) square kilometres in size and bounded by South Africa on the South East, South and West. Mozambique lies to the North of the country (see figure 1).

### 1.2.1 Socio-economic overview

Swaziland's GDP growth was estimated at 1.2 per cent in 2006, inflation rate at 5.4 per cent in the same year and the unemployment rate at 40 per cent in 2005. The literacy rate was estimated at 82 per cent in 2003 and subsistence agriculture occupies more than 80 per cent of the population. The main industries are mining (coal and raw asbestos), wood pulp, sugar, soft drink concentrates and textiles. About 70 per cent of the Swazi people live in the rural areas where drought and poverty are rife. The situation is worsened by the alarmingly high incidence of HIV and AIDS infection.

Almost 40 per cent of adults are infected with HIV (Swaziland Government, 2005, p. 1).

The administrative headquarters of the country is in Mbabane which also serves as the capital city. Like most developing countries, Swaziland inherited a highly bureaucratic public service from its colonial masters. It comprises forty-six (46) ministries and departments and has a total of about thirty-one thousand (31 000) civil servants. About seven hundred and twenty (720) of these civil servants are senior managers and one-thousand six hundred and ten (1 610) are middle managers. The rest are clerical officers and support staff. There is a wide-ranging perception on the part of the Bretton Woods institutions (World Bank, International Monetary Fund) and other donor agencies that there is general over-staffing in government, accompanied by poor quality services being offered by many departments. Furthermore, the day-to-day management of the public service appears to be inadequate and there also appears to be many instances of overlap and duplication of efforts (PSMP, 1997, p. 4).

### 1.2.2 Public sector reforms

The performance of the public sector in most countries of the African continent is less than satisfactory. Several reforms have been undertaken to overhaul governments with the aim of improving service delivery. These reforms include Structural Adjustment Programmes (SAPs) and reforms under the New Public Management (NPM). Most countries have experimented with downsizing or right-sizing, fixed term contracts and improved pay, amongst other approaches. As observed by Haruna (2003), Olowu (2001) and Bongyu (2003), these endeavours have been ambiguous and they have often failed.

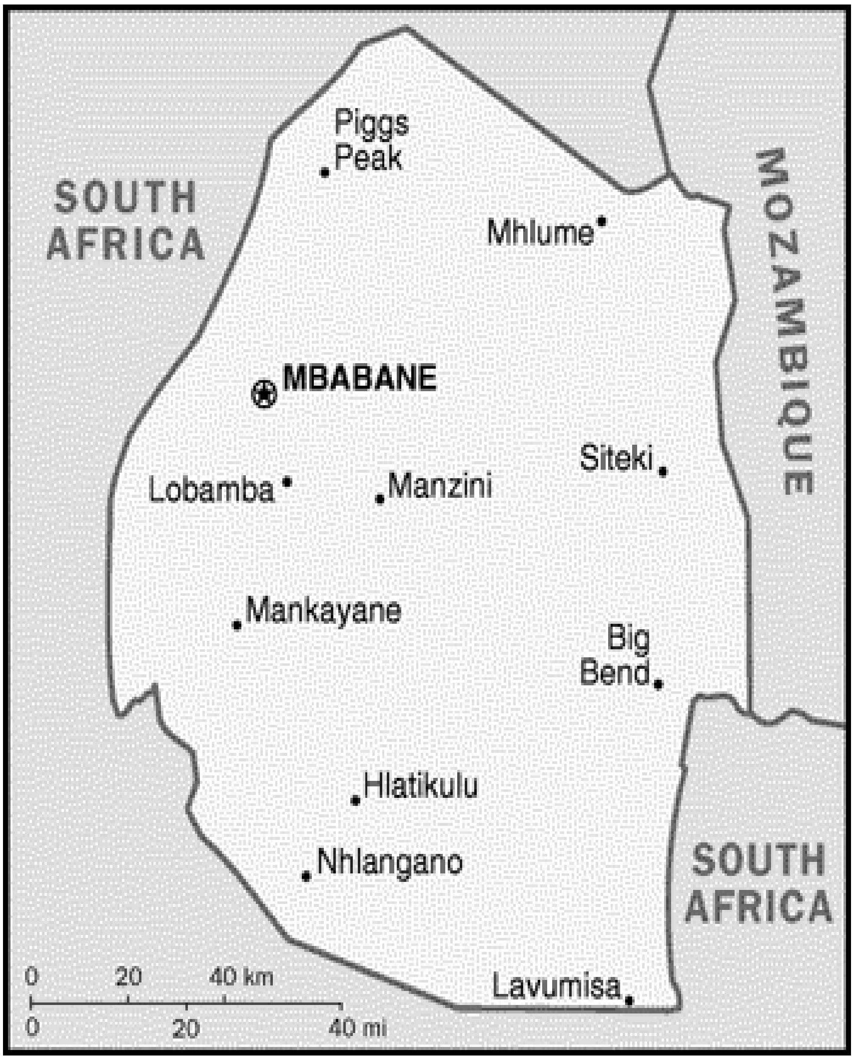
With public services all over the world redefining their mandates and the way they operate, the public service in Swaziland has also embarked on implementing reform initiatives to improve the sector. One of the initiatives, introduced in 1995, is the Public Sector Management Programme (PSMP). In its endeavour to raise the standards of service delivery and promote efficiency of the public service, the PSMP (1999, p. 7) programme consists of projects such as:

1. Undertaking a comparative study to determine the required size and sustainable cost of the Swaziland civil service.
2. A new approach to the policy framework for the synchronization of skills with jobs in the restructured ministries and departments.
3. Adaptation of information and communications technologies to networking, team-building and performance management needs.
4. A review of the human resources management function in the Swaziland civil service.
5. A new approach to, and the policy framework for, alternative delivery of public services.
6. Development of a performance management system for the Swaziland civil service, and
7. Capacity building through training and other measures.

The above projects are aimed at boosting the country's economy, which has been deteriorating for the past twelve years. The rate of expenditure far exceeds the rate at which revenue is collected. Among the expenditure items, personnel costs take more than 40 per cent of the revenue in a bid to curb unemployment. Even though some of the projects have been piloted, none of them have been implemented twelve years after the PSMP launch. For the purpose of this study, the focus will be on the projects pertaining to the development of a performance management system for the Swaziland civil service, adaptation of information and communications technologies to networking and capacity-building through training and other measures.

The implementation of the programmes which is a mandate of the Ministry of Public Service and Information can assist in turning around the performance of the public sector. However, in the absence of any urgency to roll out the PSMP programme by the relevant ministry, there is an urgent need for other government ministries and departments to design change management alternatives to improve the performance of their organisations and specific functions.

Figure1: Map of Swaziland




Source: Adapted from Infoplease (2007).

## 1.3 Problem Statement

The government launched a programme aimed at initiating reforms in the public sector. However, twelve years after the launch, the programme has still not been implemented; the sector is characterised by poor quality services, and the day-to-day management of the sector appears to be inadequate. After thirty-nine years of independence, government departments are still using systems and procedures which are outdated. These procedures include, amongst others, keeping officers' personal information in hard files, not reporting on courses attended and using the old performance appraisal form which has fallen into disuse in evaluating officers' performance in the Ministry of Finance. This directly affects the evaluation of training needs and skills development in the ministry. This situation justifies the need for the current study which will examine the importance of changing the systems and procedures of the Human Resources (HR) department so that they keep up with advancing technology and improved approaches.

## 1.4 Purpose of the Research

The purpose of the study is to explore strategies or alternatives in initiating reforms in the Human Resources department within the Ministry of Finance through change management procedures. The alternatives will focus on three key areas which are: capturing officers' personal information and personal file circulation for the payment of gratuities, performance management, evaluation of training needs and the enhancement of skills development. This study is aimed at exploring alternatives that the Ministry of Finance can use in order to bring about changes in its managerial procedures. The experiences of the ministry can in turn be used by other government departments to enhance their human resources managerial systems while waiting for the implementation of reforms initiated by the Ministry of Public Service and Information.

## 1.5 Research Questions

The core assumption of this research is that the poor performance of the public sector in Swaziland, and the HR department in the Ministry of Finance in particular, is attributed to the use of procedures and systems which are outdated and not in line with advanced managerial systems. The research seeks to address the following three questions:

a) What alternatives can be developed to bring about change in procedures when dealing with personnel information, performance measurement and skills development in the HR department?
b) What are potential barriers to implementing these changes?
c) How can these challenges be addressed?

## 1.6 The significance of the Study

The HR department in the Ministry of Finance is faced with the challenges of assessing staff members' training needs and development skills by using systems and processes which are no longer viable. The old filing system is still used for capturing and storing staff's personal information and when this information is needed, it takes a long time to retrieve it. Even though the performance appraisal form has fallen into disuse, no other system has been put in place to replace it.

Given the challenges faced by the HR department in the Ministry of Finance, this study will present alternatives that can bring about organisational change which will simplify the business processes of the organisation in order to enhance motivation amongst HR officers. The report will contain conclusions and recommendations that will assist to improve efficiency in the Ministry of Finance.

## 1.7 Limitations of the Study

The allocated period for the research was challenging considering the depth of the problem and the intentions of the study. The study therefore focused on designing alternatives that would bring about change to only three key business processes of the HR department.

In addition, as a novice researcher, the method of gathering data was a limitation in itself. Leedy and Ormrod (2005, p. 145) argue that in observation, novice researchers will not always know what things are most important to look for; especially at the beginning, and so may waste considerable time observing and recording trivialities while overlooking information more central to the research question. To overcome this limitation, the researcher constantly checked if the data collected was answering the research questions.

Another limitation was that the research employed qualitative methods of collecting data. By nature, qualitative research, unlike quantitative research, does not provide an adequate safeguard against bias which helps researchers to maintain an objective stance in the search for truth (Clarke and Dawson, 1999, p. 39). The researcher aligns herself with Lindblom and Woodhouse's (1993, p. 31) claim that "[at no point can] the thinking, research and action [be] objective or unbiased. It is partisan through and through [like] all human activities". For this research, potential bias could have emerged because of the close relation of the topic and the researcher's work activities. However, the researcher made every effort to minimise the bias.

## 1.8 Structure of the Study

Chapter one is an introduction, explaining the rationale of the study, problem statement, methodology and limitations of the research.

Chapter two deals with the theoretical perspectives of change management, it investigates literature which focuses on theories based on the key components and relevant approaches to change management and strategic HR management.

Chapter three deals with the methodology used which includes research approaches such as participant observation, documentary analysis and secondary evidence. It explains how data was collected and analysed.

Chapter four presents data collected through observation and documentation.

Chapter five analyses the findings presented in chapter four.

Chapter six is the conclusion and recommendation chapter, with conclusions drawn from the analysis of the results and recommendations made that could be employed to deal with the anticipated blockages to change management in the HR department.

# CHAPTER TWO

# THEORETICAL PERSPECTIVES ON CHANGE MANAGEMENT

## 2.1 Introduction

The aim of the chapter is to provide the conceptual framework that forms the basis of the study. It provides an insight into what is meant by change management and also outlines the various techniques and methods that can be used in change management.

## 2.2 Change Management

Change management is a structured approach to bring change in individuals, teams, organisations and societies that enables the transition from a current state to a desired future state (Schön, 1983). The change referred to in this context includes a broad array of topics. From an individual perspective, the change may be a new behaviour. From a business perspective, the change may be a new business process or new technology. From a societal perspective, the change may be a new public policy or the passing of new legislation (Argyris, 1982).

Models for change can be derived from an organisational development perspective or from individual behaviour models. Changing individuals means unfreezing or dismantling an existing state of mind in order to enable that individual to learn new procedures or routines. From an organisational perspective, change management includes using a structured approach to transition organisations through change. Change is usually initiated by organisational managers; therefore it is important for management to assess the impact a change is likely to have on employee motivation and behaviour (Lewin, 1951).

Change management involves identifying key areas where change is needed and initiating programmes to bring about the change. During implementation, the programmes must be monitored and evaluated for effectiveness. This means that change programmes must be flexible so that they can be adjusted when necessary during implementation. If the change management process is carried out well, it should lead to organisational improvements.

### 2.2.1 Organisational change

After many years of searching for greater control, many people sit in the unyielding structures of organisations they have created, wondering what happened to creativity, effectiveness, and meaning (Wheatley and Rogers, 1998, p. 1). This is a result of the fact that today, more than ever, organisations are becoming more and more exposed to a rapidly changing environment and they need to respond and adapt to the changes around them.

Organisational change is defined by Jones (2007, p. 269) as a process by which organisations move from their current state to some desired future state to increase their effectiveness. He further points out that the goal for planned organisational change is to find new or improved ways of using resources and capabilities in order to increase an organisation's ability to create value and improve the returns to its stakeholders.

Change in organisations is usually directed to four key areas: human resources, functional resources, technological capabilities and organisational capabilities. The human resources are the driving force behind every organisation because competitiveness depends on the skills and abilities of this resource. Jones (2007, p. 270) states that change efforts directed to this resource include:

a) New investment training and development activities so that employees acquire new skills and abilities;
b) Socialising employees into the organisational culture so that they learn the new routines on which organisational performance depends;
c) Changing organisational norms and values to motivate a multicultural and diverse workforce;
d) Ongoing examination of the way in which promotion and reward systems operate in a diverse workforce;
e) Changing the composition of the top management team to improve organisational learning and decision-making.

These changes come at a cost to organisations and it is not always easy to implement them. To minimise the costs, the Swaziland Ministry of Finance, for example, would have to concentrate on new investment training and development training so that employees acquire new skills and abilities. Once the employees have acquired the necessary skills, socialising employees into the new organisational approach is the next step in order to ensure that they are not resistant to the change. Generally, people are resistant to change by nature and tend to fear the unknown. The management has to present clear and precise strategies to be used in carrying out change directed at human resources. Changing the composition of the top management team, for example, can have adverse results since new managers might take time to understand the culture of the organisation or even change functions central to the running of the organisation.

Changing an organisation's functional resources entails improving the value of its functions by changing the organisational structure, culture and technology. Technological capabilities on the other hand focus on the development of new products or modifying the existing ones in order to exploit market opportunities. A change in organisational capabilities focuses on harmonising the relationship between the human resources and organisational functions. This can manifest itself in changes made to work groups, management or the way customers are treated when they conduct business with the organisation.

### 2.2.2 The public sector and change management

In the context of the public sector, organisational change comes in the form of what is termed New Public Management (NPM). NPM refers to reforms introduced by the public sector in an attempt to make the sector more-business-like and led by crude notions of efficiency (Ferile, Ashburner, Fitzgerald and Pettigrew, 1996, pp. 10-11). Stoker (1998) adds that NPM describes a public service that reflects a 'reinvented' government which is better managed and which takes its objectives not from democratic theory but from market economics.

The reforms are usually adopted by governments in the developing countries and they vary from country to country, although there are similar elements which can be identified in the reforms. These, according to Aucoin (1990) and Hood (1991), include deregulation of line management, conversion of civil service departments into free-standing agencies or enterprises, and performance-based accountability particularly through contracts and competitive mechanisms such as contracting-out and internal markets. Ingram (1996) and Minogue (1998) also include privatisation and downsizing as part of the reforms.

There are some success stories around implementation as well as monitoring of public sector reforms. Countries that have succeeded include Malaysia, Chile and the United Kingdom. These countries adopted reforms such as total quality management, results-oriented management initiatives and the restructuring of education along internal market lines (Polidano, 1999, p. 8). Most of the developing countries have, however, experimented with privatisation and downsizing.

NPM has not brought about the expected changes because most developing countries do not initiate the whole package, but rather consider only one or two aspects of the whole initiative even though reforms should be implemented in a holistic manner. Aspects such as capacity-building, corruption control or eradication and decentralisation are often not given priority. According to Christensen (1999, p. 173) public organisations undergoing reform will try to solve some instrumental problems while keeping some basic cultural norms. This they carry out by implementing those parts of the reforms that are adapted to existing tradition or are moulded together with it. This, the author argues, results in new institutional forms or hybrids, which are different from both the traditional and the instrumental thoughts behind the reforms.

As a result, Aucoin (1990), and Peters and Wright (1996) regard NPM as an incoherent wave consisting of a combination of ideological and instrument elements that are partly inconsistent and contradictory. Downs and Larkey (1986) further assert that the actual implementation and effects of NPM are often exaggerated, especially in research in the managerial tradition. Christensen (1997) further states that the reforms are unlikely to be carried out successfully in a country where a long tradition of an homogeneous and parliamentary-based political leadership peacefully co-exists. In such situations, the central political and administrative actors always agree on balancing political considerations with the value of a rule-oriented civil service, citizens' rights, equity and codes of professional behaviour (Egeberg, 1999). Hence, the narrow focus on economic values and norms which are a characteristic of NPM will be avoided.

Even though NPM is seen by Christensen and Laegreid (1998) and Rovik (1998) as a loose collection of ideas, derived primarily from the private sector and travelling between countries, generated and certified by international organisations such as the World Bank, Politt (1995, p. 50) sees the reforms as an important way of restraining public expenditure (and thereby assisting economic growth) as well as restoring governmental legitimacy. Ingraham (1996), Lundquist (1994), and Olsen (1998) state that for NPM to work, the administrative policy must take into consideration that the civil service of most developing countries is incorporated into a parliamentary governance process and that administrative reforms are not restricted to economies and efficiency but also relate to values, knowledge and power of the administration. Therefore, those who desire to reform the civil service require time, patience and tolerance. They also need to understand that small changes are easier to execute than undertaking major changes on short notice (Christensen, 1999: p. 187).

Similarly, the whole notion of organisational change and reforms must be carried out with the aim of enhancing organisational development rather than initiating change or reforms simply to appear innovative or up-to-date.

### 2.3 Organisational Development

Organisational development (OD) is concerned with the diagnosis of organisational health and performance, and the ability of the organisation to adapt to change. This involves the applications of organisational behaviour and recognition of the social processes of the organisation (Mullins, 2005, p. 887).

Toolpack Consulting (2005, p. 1) argues that the key premise of OD is that organisations are social systems which need to enrich the lives of their members. The consultants further explain that OD helps companies and governments by:

- Empowering leaders and individual employees;
- Creating a culture of continuous improvement and alignment around shared goals;
- Making change easier and faster;
- Putting the minds of all employees to work;
- Enhancing the quality and speed of decisions;
- Making conflict constructive instead of destructive;
- Giving leaders more control over results by giving employees more control over how they do their jobs.

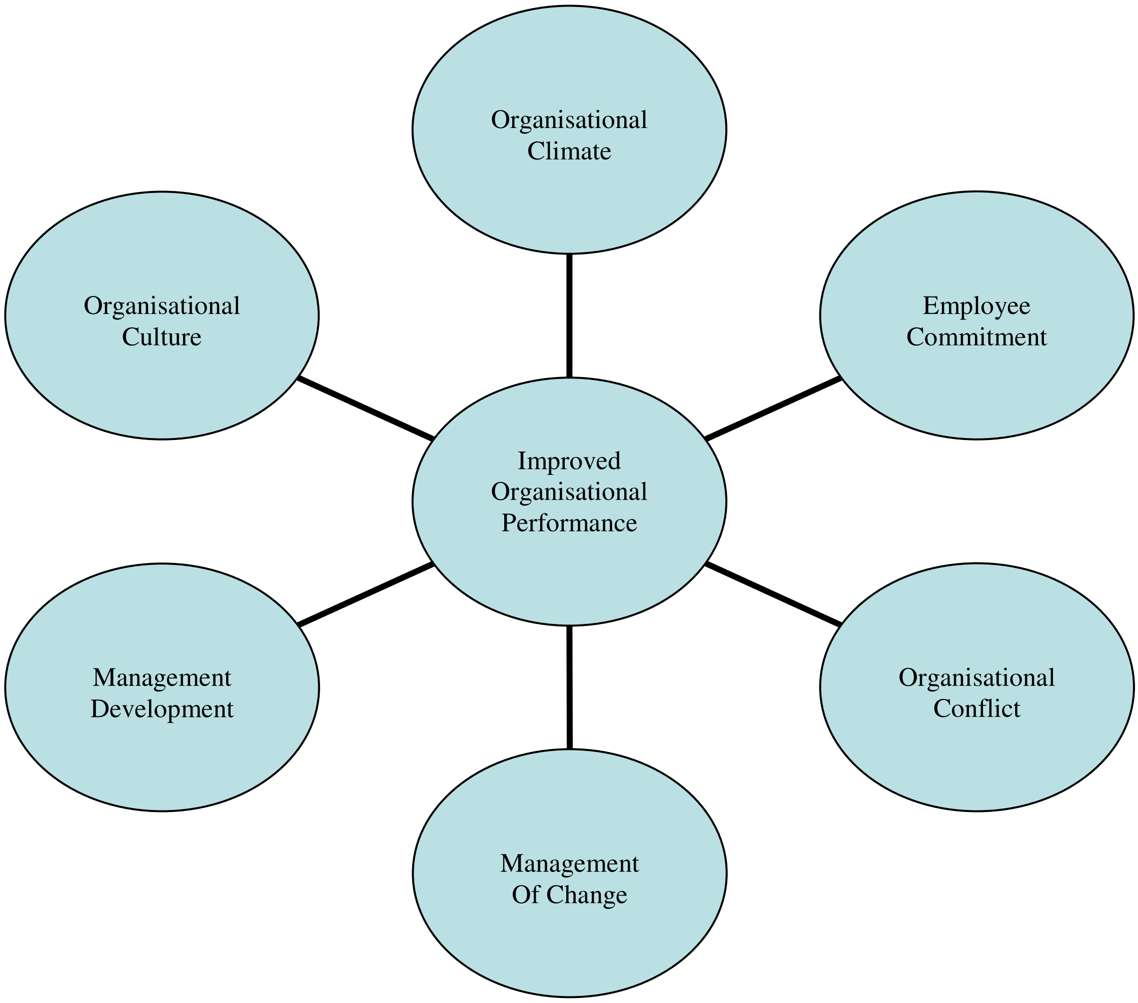
OD changes in the Ministry of Finance would empower leaders and individual employees thereby ensuring that a culture of continuous improvement and alignment around shared goals is created. As a result, employees would have more control over how they do their jobs.

From the aforementioned it is clear that the implementers of change – usually senior and middle managers in collaboration with change coalition teams – must understand the key features for successful implementation and management of organisational change. They should also understand the nature of staff commitment, and organisational culture and climate.

Organisational development can result in improved organisational performance if it is not carried out in isolation of the above factors. It can be said to have taken place when there is a systematic organisational change. Mullins (2005, p. 889) argues that there are major topics that can be considered as central to the study of OD and they are related closely to the effective management of change (see Figure 2).

The diagram illustrates that for organisational performance to improve, management capacity must be developed. This can be done by training management on how to control organisational conflict and how to motivate staff members. Improved organisational performance can also stem from organisational conflict because not all conflict is bad, but rather needs to be managed well in order for change to take place. Improvement in performance can also be enhanced if all employees are committed to the organisation and to the management of change. This requires a focus on the organisational culture and environment. If these two aspects are not conducive for the change being introduced, it is not wise to continue with the exercise because good results are unlikely to be achieved. Like any other asset in the organisation, change needs to be managed because it is not every change that will result in improved organisational performance. The diagram therefore illustrates that change cannot take place in isolation of other aspects such as organisational conflict, employee commitment, management development, organisational culture and climate. Most importantly, change needs strong leadership in order for it to be well managed.

Figure 2: Major topics associated with organisational change




Source: Mullins, 2005, p. 889.

A number of intervention strategies are used to implement organisational development. These include survey research or action-research and feedback which involve getting the perceptions of the employees about their organisation. This can be carried out through questionnaire surveys, interviews and other forms of data-gathering. The information obtained from the data is used by management to identify problems within the organisation and also outline solutions to these problems (Albrecht, 1983).

Further, in order for OD to yield desirable results for an organisation, the management must be aware that not all members of the organisation will welcome the change. Some will be resistant to the change and certain OD techniques must be used to promote the changes being carried out. These include, among others, sensitivity training and team-building. Sensitivity training entails arranging the work-force in small face-to-face groups and training them on the importance of the patterns of behaviour. Organisational members who are perceived as having problems dealing with others meet in a group with a trained facilitator to learn more about how they and the other group members view the world. The result of the exercise is that members of the group learn to deal more sensitively with others (Jones, 2007: p. 295).

Team-building, on the other hand, involves focusing attention on interpersonal relationships and work procedures. It refers to the selection of teams with the aim of helping them to embark on a process of self-assessment in order to gauge their own effectiveness and thereby improve performance (Wikipedia, 2007). This exercise is important because it helps team leaders to be aware of their influence on team members. Other techniques include role analysis, life and career planning, quality of work and counselling. Of importance when rolling out these techniques is that the implementer must be aware of the organisational culture, since undermining the culture can hinder the success of OD.

### 2.4 Organisational Culture

It is very difficult to define organisational culture because it can mean a number of things to different people. Zatz (1994, p. 1) loosely defines organisational culture as the shared assumptions, beliefs and “normal behaviours” (norms) of a group. It can also be explained as a reflection of the underlying assumptions about the way work is performed, what is "acceptable and not acceptable", and what behaviour and actions are encouraged and discouraged. A more detailed definition is that organisational culture is the collection of traditions, values, policies, beliefs, and attitudes that constitute a pervasive context for everything we do and think in an organisation (Mullins, 2005, p. 891).

Mullins (2005, p. 891) further argues that when accepted by employees, cultural values increase the power and authority of management in three ways:

- Employees identify themselves with the organisation and accept its rules when "it is the right thing to do;"
- They internalise the organisation's values when they believe these values are right;
- They are motivated to achieve the organisation's objectives.

From all these definitions it can be deduced that organisational culture simply means the way things are done in any given organisation. Organisational culture, just like organisational climate, can play an essential role in organisational change in that it helps to reduce complexity and uncertainty. It becomes easy for managers to make decisions because there is consistency in outlook and values across the organisation.

Organisational change is inevitable but it is not automatic. An advance in technology is one aspect which puts pressure on many organisations to usher in change. As such, change should be planned for and it should be well managed (Jones, 2007, p. 270). If not managed well, the components of change, such as organisational development and organisational culture, can be disruptive. People are naturally wary of change and the very culture which is supposed to embrace change can result in resistance.

In order to minimise the problems of change, it is important to create an environment of shared commitment and trust. Research must be carried out to ascertain the gains that will result from change and all employees must be involved in decisions and actions which will affect them. This research is referred to as action research. It legitimises the process of investigating the current status of an organisation and of proceeding from facts and intelligent speculation rather than from pure “gut judgment” (Albrecht, 1983, p. 35).

In addition, before the actual introduction of new systems, participation of all staff concerned should be encouraged. They should not be surprised by changes but they must be involved from the drawing board stage. If by adopting new work process systems some members would be laid off, they must be provided with every possible financial and other support either to set up their own business or to find alternate employment. In Swaziland, for example, Usuthu Pulp (Pty) Limited introduced new technology in 2000 in order to maximise profits and enhance efficiency. Labourers were given lucrative packages and also helped to set up their own companies. Functions like tree-felling and transportation were outsourced to these new entities. Before laying off the employees, the company made sure that they were equipped with the necessary skills and knowledge they would need to establish their own businesses. Change management therefore goes hand-in-hand with skills development and knowledge management.

**2.5 Knowledge Management**

Knowledge is a set of understandings used by people to make decisions or to take actions that are important to the company or organisation (Koteinov, 2006, p. 1). In order for knowledge to be useful in an organisation it must be turned into data and like change, it should be managed, hence the term knowledge management (KM). There are various definitions of knowledge management and for the purpose of this research the definition by Wiig (1997) will be used. He defines knowledge management as getting the right knowledge to the right people at the right time so they can make the best decisions. Therefore, KM involves the identification and analysis of available and required knowledge, and the subsequent planning and control of actions to develop knowledge assets so as to fulfil organisational objectives (Macintosh, 1996).

In order for knowledge to be shared, KM must be supported by information technology (IT) such as an IT knowledge network being put in place. The network ensures that knowledge and expertise are readily and easily accessible, understandable and retrievable (Tobin, 1998). In addition to having an IT infrastructure in place, organisations striving for change must be characterised by high adaptability. Adaptable organisations anticipate problems and opportunities and develop timely solutions and new routines. They are willing to accept new solutions quickly rather than reject them as disruptive. Adaptability also means being proactive, it allows organisations to deliberately and continually change routines to increase effectiveness and also introduce new products, services and routines (Basadur and Gelade, 2006, p. 45). It is not enough to invest in high technology when there will be resistance towards the use of that technology or there is no-one to teach staff members how to operate the highly technical equipment. In many organisations for instance, most employees use their computers to type letters and memoranda or play games. It is only when one goes through a course on Microsoft Excel or PowerPoint that the real value of having a computer can be appreciated.

Similarly, adaptive organisations must be flexible. Flexibility means that the organisation reacts quickly to unexpected situations while maintaining its routines or job processes. It is difficult for an organisation to embrace these characteristics if it does not allow for innovation. Innovation is the art of drawing on lessons from the past, particularly those that have been forgotten or those that can be put together in new combinations to achieve new results (Taylor, 2001, p. 51). He further argues that this application of old knowledge always involves some adaptation and in the process of adaptation new knowledge is created. In order for individuals to be creative, their skills must be constantly developed.

## 2.6 Skills Development

Knowledge management is not an end in itself but a means to an end. KM without proper skills development is a waste of financial resources. It is important for organisations to have a skills development policy which is in line with the national skills development act. Unfortunately, as the Ministry of Finance has not embarked on any of the aforementioned techniques for change management, it does not have a skills work plan. There is also no national skills development act in existence.

The 1997 Green Paper, Skills Development Strategy for Economic and Employment Growth in South Africa, defined a skill as the necessary competencies that can be expertly applied in a particular context for a defined purpose. The paper also outlines a number of competencies that denote what is meant by a "skill". These are:

- Practical competence – the ability to perform a set of tasks;
- Foundational competence – the ability to understand what we or others are doing and why;
- Reflective competence – the ability to integrate or connect our performance with an understanding of the performance of others, so that we can learn from our actions and are able to adapt to changes and unforeseen circumstances (DoL, 2005, p. 1).

For the purpose of this research, a skill denotes reflective competence because it is important for individuals to understand how their performance impacts on the performance of other employees so that everybody is able to adapt to changes and unforeseen circumstances.

Skills development therefore calls for the continuous assessment of the availability of specific skills within particular occupations in an organisation. This assessment is carried out to avoid planning and implementing for organisational change and then realising that there is a shortage of skills in that organisation. According to Daniels (2007, p. 1), skills shortage refers to the situation whereby demand for certain skills exceeds supply. The Department of Labour (DoL, 2005) defines a skills shortage as a situation in which employees are unable to fill, or experience difficulty in filling, vacancies in a specific occupation or specialisation due to an insufficient number of workers with the required qualifications and experience.

The shortage of skills can be avoided through training needs assessment and training. Training also introduces a culture of learning and innovation in organisations. A learning organisation encourages staff members to be creative but the creativity must not be to the detriment of the organisation. A study conducted in 1998 on training in 15 Organisation for Economic Co-operation and Development (OECD) member states found that the majority of enterprises acknowledged that training results in improved productivity, greater workforce flexibility, savings on material and capital costs, a more motivated workforce and improved quality of the final product or service (Department of Labour, 2007).

Skills development in South Africa has been facilitated by at least four important policy documents: the Skills Development Act (1998), the Skills Development Levies Act (1999), the National Skills Development Strategy (2001), and the Human Resources Development Strategy (2001). The Skills Development Act (SDA, 1998) was successful in establishing a single national regulatory framework consisting of a National Skills Authority (NSA) and 25 Sectoral Education and Training Authorities (SETA).

Even though these documents have limitations, they can still be used as benchmarks for organisations such as the Ministry of Finance which still needs to formulate a work-place skills plan. In addition to the formulation of the plan, there is a need to enhance the existing performance appraisal system to assess whether employees benefit from the training programmes and also assess the relevance of the knowledge gained to the individual's job.

## 2.7 Performance Appraisal

### 2.7.1 Definition and purpose of the appraisal

Performance appraisal is a technique for formally measuring the output of an employee against a pre-established set of criteria (Lindsey, 1986, p. 114). Appraisal therefore entails the evaluation of people in the workplace with regard to their job performance and potential for further development (Rademan, 2001, p. 54). If properly used, performance appraisal is a valuable tool which can be used for personal development by institutions.

Different authors agree that performance appraisal should comprise four basic steps: defining the goals of a specific job; defining the objectives in terms of quality, quantity and time spent performing a task; measuring the actual performance by first -

hand observation; and comparing the actual performance to the standards set (Lindsey, 1986, p. 114; Stueart and Eastlick, 1981, pp. 97-98).

The purpose of performance appraisal is to strengthen behaviours that lead to good job performance and to overcome those behaviours that pull down performance. Performance appraisal helps to determine how well an employee is doing the job and this can be achieved only when the employee being evaluated understands the appraisal process and believes it is fair, just and accurate.

Archer, unpublished, Gerber, Nel and Van Dyk (1968), and Stueart and Moran (1987, pp. 115-117) have highlighted the benefits of performance appraisal as the following:

- to help employees translate the goals of the institution into functions, tasks and objectives, to guide their efforts and to mark their achievements;
- to assess achievement of mutually agreed specific objectives, with feasible measurement criteria;
- to determine if decisions are sound, timely and effective and determine specific areas where development is needed;
- to improve morale and provide an enabling environment for self-development;
- to ensure employee opportunities for success through activity coaching and ongoing monitoring;
- to increase communication and co-operation;
- to identify deficiencies in job descriptions; and
- to serve as a useful instrument in organisational development.

The appraisal system therefore should not be considered as a management tool which needs to exist in the HR department without examining if it is contributing to individual and organisational development. If carried out properly, the appraisal can be essential not only to increase productivity but also to motivate and inspire workers. It can also help employees translate the goals of the department into functions, tasks and objectives which will in turn guide their efforts and mark their achievements.

### 2.7.2 Appraisal techniques

There are a number of techniques used by institutions for their performance appraisal processes. A summary of the most commonly used performance appraisal techniques will be discussed. There is no one best-fit model, thus each institution experiments with the techniques which will best suit that organisation.

#### 2.7.2.1 Trait, graphic rating, numerical or scaling method

The first technique to be discussed is the trait, graphic rating, numerical or scaling method. This technique is one of the earliest approaches and it has remained popular over the years. A five-point scale is used and an individual is appraised on a number of job-related and personal characteristics. The employee is graded on a scale which may range from unsatisfactory to outstanding on factors such as job knowledge, accuracy and dependability. Sometimes an employee is ranked from highest to lowest according to the supervisor's analysis (Cummins, 1990, p. 34).

Graphic rating scales require little time to construct, thus their popularity. They force an evaluator to consider several dimensions of performance; and they are standardised and comparable across individuals (Stueart and Moran, 1987, pp. 120-121). However, it is difficult for supervisors to agree on the meaning of terms such as unsatisfactory, average, outstanding or excellent. Another problem with this technique is that it is top down and is therefore susceptible to errors such as the halo central tendency. This is the tendency where managers have preconceived attitudes about personnel (Aluri and Reichel, 1974, p. 150). Someone who is not liked by the manager is downgraded and someone who is liked even if the performance is poor is upgraded.

#### 2.7.2.2 Critical incidents technique

Another technique is the critical incidents technique. Here the supervisor keeps a record of both positive and negative behaviours of each subordinate in the form of behavioural incidents during the appraisal period. The technique is believed to eliminate bias in respect of the employee's most recent behaviour because information on the employee is divided into categories which may differ according to the job. All these incidents are rated at the end of the appraisal period enabling the evaluator to arrive at a positive or negative rating in view of specific incidents of behaviour. This technique enables employees to receive job-related feed-back as supervisors record in writing the subordinates' critical incidents in order to have a complete set of information by the time they sit for the appraisal interview (Cummins, 1990, p. 35; Gerber*, et al.*, 1998, p. 385).

This technique does not, however, eliminate the supervisor's subjectivity. In most cases the supervisor does not spend sufficient time with the subordinate to be in a position to observe him or her objectively. Even though subordinates are encouraged to keep a record of their own incidents, with the supervisor editing them, some subordinates do not have enough knowledge of what exactly an incident is. The technique also falls short in the sense that few people are able to report on their own negative incidents objectively.

**2.7.2.3 Narrative or essay appraisal**

The narrative or essay appraisal is another performance appraisal technique used by institutions. This technique is usually used in conjunction with the critical incidents technique or another appraisal technique (Stueart and Moran, 1987, p. 119) and it allows the supervisor to describe an individual's performance in a written narrative form. The supervisor is usually requested to respond to general questions pertaining to the employee's job knowledge and the essay can be unstructured with the length and contents of the essay varying according to the supervisor.

A major problem with this type of technique is that it is hard to achieve consistency because different supervisors may emphasise different factors and the appraisal can be affected by the supervisor's writing style. Cummins (1990, p. 35), and Stueart and Moran (1987, p. 119) argue that an employee may receive a weak rating in comparison with others because the supervisor lacks good writing skills.

**2.7.2.4 Behavioural anchored rating scales (BARS)**

The behavioural anchored rating scales (BARS) is yet another performance appraisal technique. It was developed to address the shortcomings of the graphic rating scale. This technique encourages the active participation of job-holders and supervisors to identify key job dimensions and areas of responsibility. There are different scales for each task and each task has several dimensions. Descriptions of actual job behaviours that supervisors agree on represent specific levels of performance and are called “anchors”. To appraise an employee using this technique, the supervisor reads through the list of anchors on each scale until the anchor that best describes the employee’s job behaviour is identified and the scale value opposite that anchor is checked. The total for the appraisal is determined by combining the scale values chosen for each of the job dimensions (Stueart and Moran, 1987, pp. 124-125).

The limitation of this technique is that it takes a lot of time as a separate form must be developed for each job. It also uses the unpleasant and ambiguous terms used with performance appraisal such as ‘unsatisfactory’, ‘below standard’ or ‘outstanding’ (Gerber, *et al.,* 1998, p. 35).

#### 2.7.2.5 Productivity and forced choice rating techniques

The productivity technique and the forced choice rating are also techniques for performance appraisal. The productivity technique is mostly used in production companies where quality and quantity production data is available (Cummins, 1990, p. 35). An employee is appraised according to the quantity and quality of his or her production, thus eliminating the supervisor’s subjectivity. With the forced choice rating technique the supervisor is expected to choose a statement which would best describe the appraised employee. The questions on the appraisal are designed in such a way that items are divided into categories such as interpersonal relationships, learning ability and leadership skills (Cummins, 1990, p. 36). These techniques are also susceptible to the subjectivity of the supervisor. To correct some of the deficiencies of performance appraisal, most institutions have substituted this system with performance management.

## 2.8 Performance Management

A number of authors view performance management as a substitute for performance appraisal. Armstrong (2006, p. 500) is one author who argues that the two procedures are different. He defines performance appraisal as the formal assessment and rating of individuals by their managers at an annual review meeting. In contrast, performance management is a continuous and much wider, more comprehensive and more natural process of management that clarifies mutual expectations and emphasises the support role of managers who are expected to act as coaches rather than judges; it also focuses on the future.

More and more institutions are adopting performance management as a means of measuring performance due to the proven success of the system, even in situations where appraisal has failed. Performance appraisal tends to employ a backward focus on what has gone wrong instead of looking forward to future development needs. The appraisal is also a top-down approach which is unfortunately disliked by line managers; it is perceived to be time-consuming and irrelevant as it is owned by the HR department. Armstrong and Murlis (1998) assert that performance appraisal has degenerated into a dishonest annual ritual.

Performance management, on the other hand, is seen as a joint process and instead of being owned by the HR department, it is owned by line managers. It focuses on changing individuals' behaviour rather than concentrating on paperwork. It is also interested in making changes where possible rather than being a painful annual exercise where the manager rates the performance of subordinates over the preceding twelve months (Grote, 2000, p. 2). Table 1 below lists the differences between performance appraisal and performance management as summarised by Armstrong and Baron (2004).

**Table 1: Performance appraisal compared with performance management**

| Performance Appraisal | Performance Management |
|---|---|
| Top-down assessment | Joint process through dialogue |
| Annual appraisal meeting | Continuous review with one or more formal reviews |
| Use of ratings | Ratings less common |
| Monolithic system | Flexible process |
| Focus on quantified objectives | Focus on values and behaviours as well as objectives |
| Often linked to pay | Less likely to be a direct link to pay |
| Bureaucratic-complex paperwork | Documentation kept to a minimum |
| Owned by the HR department | Owned by line managers |

Source: Armstrong and Baron (2004)

From the table it can be deduced that performance management is an improvement on performance appraisal. Its key features are that it is a joint effort between the supervisor and the subordinate. Its key aim is not to emphasise the errors of the past but rather to focus on finding solutions to problems. Performance management is also not a once-off ritual but rather an ongoing process with the interview between the supervisor and the subordinate being one element of the whole process. This type of performance measurement is also owned by all line managers instead of being an HR process. Before adopting this kind of performance measurement system, line managers have to understand that organisations are people, so in order for organisations to function properly, peoples' needs in the organisation must be well taken care of. Those needs can be detected through measuring their performance so that where they are lacking, they can be assisted through being coached or trained. Performance management, like performance appraisal can be implemented through several techniques. For this research two of the commonly used techniques will be discussed, namely management by objectives and the 360 degree feed-back technique.

### 2.8.1 Management by objectives (MBO)

With this technique, the supervisor and the employee jointly establish objectives for the subordinate. The advantage of this technique is that the individual (subordinate) feels involved in setting the objectives for himself or herself and also feels involved in the organisation or decision-making of his or her success or failure as an employee. At the beginning of the year or the financial year, both the supervisor and the subordinate establish objectives related to the organisational objectives and goals which will be used to measure the employee's performance against objectives during the course of the year. Plans for achieving the set objectives are also developed jointly (Cummins, 1990, p. 36).

The technique is not without shortcomings. Gerber, *et al.* (1998, p. 36), and Martin and Bartol (1998, p. 223) identify the following shortcomings in MBO as a performance management technique:

- there are too many objectives set which could lead to confusion;

- MBO may be used as a rigid control mechanism which intimidates rather than motivates;
- objectives as they were originally set are often not adapted later;
- there is a lack of training of supervisors in using the MBO technique;
- MBO may be forced upon institutions where it is difficult to determine objectives; and
- there is too much emphasis on short term objectives.

The problem that may arise from using MBO in the Ministry of Finance is that there are no set objectives, and setting performance objectives might prove difficult because of the nature of the organisation. Objectives are easy to set in a profit-making institution as opposed to a service provision institution because it becomes easy to evaluate whether objectives were met by looking at the profits.

From the shortcomings listed above, it can be deduced that MBO cannot be effectively used as a performance management technique on its own. First, managers need to be trained on the technique so that they do not end up formulating too many objectives which may be confusing to subordinates. Secondly, instead of motivating the staff, the technique can be overly controlling, resulting in low morale amongst staff members. Therefore the technique needs to be coupled with a further technique which is stronger on the motivation aspect.

### 2.8.2 360-Degree feedback technique

This is the latest technique which attempts to address the shortfalls of the previous technique and performance appraisal systems which were mostly based on supervisor-subordinate performance measurement. The supervisor was the only point of reference and these techniques did not inspire the subordinate's confidence; at the same time they consumed a lot of time and paper. Whereas performance appraisal is viewed by most as a once-off event, the 360-degree feedback allows an organisation to obtain information over time and it also increases employee development and accountability (Katz, 1998, p. 42).

The “360” in this technique refers to the 360 degrees in a circle because the assessed employee receives feedback from all around him or her. The technique can be contrasted with upward feedback where managers are given feedback through a traditional performance appraisal and employees are most often reviewed only by their manager (Adley, 2006). When using this technique, which is also referred to as the “multi-rater feedback”, “multisource feedback” or “multisource assessment”, the feedback comes from subordinates, peers and managers as well as self-assessment and in other cases from customers, suppliers and interested stakeholders.

Employees usually ask themselves why they need to improve their performance, what they should do to improve and how they can improve. The feedback they receive through the technique answers these fundamental questions and it also helps the individual to plan for training and development. The results can also be used by the organisation to make promotional and pay decisions as the questionnaire used for the technique contains dozens of questions that measure responses to one or more dimensions. The dimensions set out to measure employee skills such as problem-solving, planning and organising, adaptability, communication, supervisory skills, administrative skills, analytical skills, creativity skills, business control and manager potential index.

The benefits of the 360-degree feedback as stated by Bracken, Timmeck and Church (2001) are as follows:

- Individuals get a broader perspective of how they are perceived by others than previously possible;
- Increased awareness of, and relevance of, competencies;
- Opens up feedback and gives people a more rounded view of performance than they had previously;
- Supports a climate of continuous improvement;
- Improves the perception of feedback as more valid and objective; leading to acceptance of results and actions required;
- Identifies key development areas for the individual, department and the organisation as a whole;
- Identifies strengths that can be used to the best advantage of the organisation;

- It focuses the agenda on development, forcing line managers to discuss development issues;
- It minimises the use of paper as the whole exercise can be done through the internet and at the same time confidentiality is assured.

Benefits that would accrue to the Ministry of Finance from using this technique are that it would introduce and support a climate of continuous improvement because it would identify strengths that can be used to the best advantage of the organisation. This technique would also make employees and leaders appreciate the importance of performance measurement and improve their perception of feedback.

Unlike most performance measurement techniques where employees are rated but without any feedback on their performance being given to them, the 360 degree feedback technique specialises in giving the rated employee feedback on her or his performance. Rating is also based on objectives set by both the subordinate and the supervisor. Similarly, the feedback is not only from the supervisor but is obtained from other managers from different departments, subordinates, peers, and where possible, customers.

The limitation of this technique is that, if not introduced properly, both the recipients and reviewers may have concerns about issues like confidentiality of reviews, how the completed reviews will be used in the organisation and what sort of follow-up they can expect (Massey, 2007). The feedback process can produce hundreds or even thousands of pieces of data; it therefore requires a careful and dedicated co-ordinated effort.

As alluded to earlier, there is no consensus on whether performance management and performance appraisal are separate or not, as some authors use both terms interchangeably. The previous discussion suggests that performance management is an improvement on performance appraisal. Grote (2000), on the other hand, argues that performance management is the handy umbrella term for all of the organisational activities involved in managing people on the job. The performance management umbrella encompasses management issues such as the disciplinary system and performance appraisal. Various research studies carried out by different authors have established that performance appraisal alone has failed as a performance measurement tool and should thus be combined with other techniques, such as the 360-degree feedback. The introduction of a supporting performance measurement technique can be effected through a change management strategy.

## 2.9 Change Management Strategies

Jones (2007, p. 288) uses a theory developed by researcher Kurt Lewin to explain organisational change. The theory asserts that implementing change is a three-step process which involves unfreezing the organisation from its current state; making the change; and refreezing the organisation in the new, desired state so that its members do not revert to their previous attitudes and behaviours.

Doing this is no easy task. Before embarking on unfreezing the organisation, proper planning for the change must be done. For example, the anticipated changes must be specified, since change can affect all or some of the following: structure, systems, processes, technology, resources and skills base or staffing (Ntombela, 2007). In addition to planning, change calls for communication across the organisation. Everyone should be familiar with the process, and with the pros and cons of introducing the change; and these must be communicated to all the stakeholders. Implementing change also calls for everybody’s participation. Change is therefore carried out through careful strategies.

Kaplan and Norton (2001, p. 2) define a strategy as the unique and sustainable ways in which organisations create value. The concise Oxford Dictionary defines a strategy as a plan of action in business or politics (Allen, 1990). From the above definitions of strategy it can be understood that in order for organisations to create value for their customers and their staff members they must posses a unique way of conducting business and also plan before they take action.

Strategies for change management include, amongst others, the introduction of a Balanced Scorecard, Total Quality Management (TQM), Business Process Reengineering, E-Engineering, Re-structuring, Innovation, Six Sigma, Performance

Prism Value Management and Investing in People. Change can be either evolutionary or revolutionary. Evolutionary change is gradual and incremental while the latter is rapid and dramatic. Before embarking on organisational change it is important to understand and analyse whether the change must be evolutionary or radical in order to select the most appropriate strategy for the type of change.

For the purpose of this study only two strategies will be examined. These are TQM and business process re-engineering. Business process re-engineering (BPR) is a management approach aiming at improvements by means of elevating efficiency and effectiveness of the processes that exist within and across organisations (Davenport and Short, 1990). BPR is also referred to as Business Process Change Management. Hammer (1990) argues that most of the work being done in any organisation does not add value for customers and should be removed and not accelerated through automation. BPR is a radical strategy; information technology plays an important role in this concept because IT allows for shared databases, making information disbursed easy to disseminate and readily available in many places at once.

This strategy has been used by the Ford Motor Company to change from simply manufacturing cars to manufacturing quality cars. This led to the company saving millions on recalls and warranty repairs (Wikipedia, 2007, p. 8). In spite of the many success stories, BPR has been criticised for overly trusting in technology solutions which often results in disregarding people in the organisation. Therefore, this strategy is often considered negatively because it is associated with work-force reduction. This technique can, however, be applied in the public sector where it can shake up the system without people losing their jobs.

A more revolutionary strategy is TQM, a management system embracing a set of beliefs and principles designed to empower all associates to continually improve organisational processes, with the goal of meeting or exceeding customer expectations (Koehler and Pankowski, 1996, p. 15). They further state that in a public sector environment, TQM refers to a management system that allows people to use their intellect to improve organisational processes. They argue that most government workers, even with a lack of financial incentive, appreciate the opportunity to use their intellect.

The goals of TQM are to bring change in the organisation by focusing on meeting or exceeding the customers expectations. This can be achieved if everyone in the department aims to be efficient. The customers of the HR department are the staff members of the ministry and other civil servants from other ministries. These are people whose expectations must be exceeded. TQM is premised on the following principles:

- Realising that there is a problem;
- Setting goals for improvement;
- Management overseeing the running of the programme;
- Provision of training;
- Reporting progress and giving recognition for a job well done (Juran, 1988).

TQM would contribute to employees' motivation in the Ministry of Finance because it would ensure that they are trained in the new procedures and systems that would be introduced in the ministry. They would receive reports on their progress at work from their supervisors and also be given recognition for a job well done.

Where TQM has failed, it is not because the technique is not working, but because the management was not totally committed to its implementation, or because the challenges of implementing the technique were underestimated. In order for TQM and BPR to yield the expected and desired results, especially in the public sector, the HR departments should become more strategic in their functions.

## 2.10 Strategic Human Resources

In broad terms, strategic management addresses the issue of how an organisation, in its entirety, can best be directed in a changing world (Moore, 1992, p. 3). Strategic management calls for an organisation to ask itself what must be done for it to maintain its competitive advantage and how it can ensure that the advantage contributes to acceptable long term future performance.

It has been customary for almost all departments in organisations to be involved in the planning and implementation of organisational strategies, except for the Human

Resources department. The HR department was considered suitable for dealing with staff matters such as the maintenance of leave records and other record-keeping. It was consulted only when an organisation was in trouble and employees had taken the organisation to court in order for a certain dispute to be resolved. However, a number of organisations are realising that they cannot obtain excellent results and work effectively towards the realisation of the organisational vision if decisions about people are not integrated into major organisational decisions. Strategic human resources management (HRM) is therefore more about getting things done than merely thinking about them. It leads to the formulation of HR strategies, which first define what an organisation intends to do in order to attain defined goals in overall human resource management policy and in particular areas of HR process and practice. Secondly, it sets out how they will be implemented (Armstrong, 1990).

The first step towards strategic HRM is for the HR department to convince line managers that the organisation’s employees are a source of sustained competitive advantage and that they can determine the ultimate success of their organisations (Pfeffer, 1994). A strategic HR department therefore, will make the management of the competencies and capabilities of these human assets its primary goal. A strategic HR department will not manage human costs such as wage bills and benefit expenses as liabilities. Instead the department will be future-oriented and invest in human resources in line with the overall business plan of the organisation.

The investment in the organisation’s human resources is aimed at meeting the greater goal of strategic human resources which is supporting, management and maintaining high commitment and high-performance employees (Burack, et al., 1994). Organisations can maintain high commitment and high-performance employees by promoting the organisation’s credibility with employees and encouraging the use of participative management. Participative management can be realised through the development of a combined group approach to management and in the process create a culture in which individual employees are encouraged to be adaptive, competitive and successful. This kind of culture can be internalised and institutionalised through the establishment of employee involvement programmes, focusing on high achievement and building mutual trust and commitment between subordinates and managers.

Inasmuch as the concept of strategic Human Resources Management is good to have, it is also very hard to achieve. Adopting strategic HRM and doing away with the more bureaucratic, traditional human resource management is another change management strategy in itself which, if not implemented carefully, can block other future changes that are supposed to be embarked on by the organisation. After the successful transformation of the HR department into a strategic department, HR officers or personnel must work out ways in which they will deal with blockages to any changes they hope to introduce in the future.

## 2.11 Blockages to Change

Over the past decade, a number of large organisations have made fundamental changes in the way they conduct business in order to help cope with a new and more challenging market environment. While there have been a few success stories, some organisations have failed in this endeavour. From the few companies that have succeeded in bringing about change, it has been learned that the change process undergoes a series of phases. Skipping phases or making grave mistakes in any of the phases can have a negative impact on the whole change process (Kotter, 1995).

### 2.11.1 Failure to create a sense of urgency

Kotter (1995, p. 61) states that the most successful change effort begins when some individuals or some groups start to look hard at a company's competitive situation, market position, technological trends and financial performance. They focus on the potential financial drop or an emerging market that everyone is ignoring. The next step is to broadly and dramatically communicate the crisis or potential crisis or opportunity to everyone in the organisation.

The aim of the communication is to drive individuals in the organisation from their comfort zones. This phase requires a strong and dedicated leadership (Kotter and Cohen, 2002). Contrary to management, which is about coping with complexity, leadership is about coping with change; so enough real leaders need to be promoted to senior management positions or be hired in this phase (Mullins, 2005). The main function of these leaders is to create a sense of urgency in the organisation. If this is not strong enough, then the change process cannot succeed. Therefore, not establishing a great enough sense of urgency is one blockage to change.

### 2.11.2 Powerful guiding coalition

The change idea usually starts with an individual and it grows to involve more people over time. It is true that in order for the change process to succeed, the head of the organisation must be an active supporter of the change programme. In addition to a committed leadership, a number of people must come together and develop a shared commitment to excellence performance through renewal. In a small organisation the guiding team can consist of three to five people but in a large organisation it ranges from twenty to fifty people (Kotter and Cohen, 2002).

The team is formed by individuals from all sectors of the organisation and should consist of individuals with different titles, information, expertise, reputations and relationships. The team should be balanced with individuals from both the management and lower levels of the organisation so that everybody will buy into the change process. Due to the fact that the team will consist of individuals outside senior management, awkward though it may be, the team tends to operate outside the normal organisational hierarchy (Kotter, 1995). This informality will fast-track the communication needed to create enough urgency and often it is this hierarchy that brings about the need for transformation.

In order for the team to establish a minimum level of trust and communication and a shared assessment of the organisation’s problems and opportunities, the team should plan for off-site retreats of two to three days over a period of months (Mullins, 2005). Not creating a guiding coalition which will convince individuals in the organisation about the change can prove to be another blockage to the change transformation. Without this team, the opposition to the transformation will gather itself and prevent the change.

### 2.11.3 Lack of vision and under-communicating the vision

A vision points at the direction an organisation should take (Heathfield, 2008). Without a vision the transformation can dissolve into a list of ambiguous and incompatible projects. Programmes and projects cannot successfully transform an organisation from a current state to a desired future state if there is no clear vision. A complicated and blurry vision will not assist in transforming any organisation. What is needed is a clear and compelling statement of where the transformation will take the organisation. The vision, which is either formulated by the guiding coalition or the individual who came up with the transformation idea in the first place, must be communicated to everybody in the organisation.

As a guideline (Kotter, 1995, p. 63) asserts that if the vision cannot be communicated to someone in five minutes or less and elicit a reaction that signifies understanding and interest then the organisation should not continue to the next phases of the change process. Once the vision is clear, all communication channels to broadcast the vision and the message must be used. These include communicating the vision through informal and formal meetings, tea-break conversations, chat rooms and the organisation's newsletter. Similarly, the most effective way of communicating the vision and the transformation message is for the management to "walk the talk". Failure to create a sound vision and to successfully communicate the vision is yet another blockage to change.

### 2.11.4 Removing obstacles to the new vision

Not removing obstacles to the new vision is another obstacle to change (Duffy, (1996). A clear vision can be formulated and be well communicated but if organisational systems that are inconsistent with the change effort remain intact, then the transformation will fail. Part of management can be an obstacle itself. For example, if the people who are supposed to play a lead role in directing the change only pay lip service to the process and still stick to the old processes, then the new initiative will be undermined (Kotter and Cohen, 2002).

Action to remove obstacles is essential. At the beginning of the change initiative it might be difficult for the organisation to obtain the necessary resources in terms of power, time and momentum to get rid of all obstacles. Real transformation takes time and the organisation must make sure that short-term goals are set and celebrated. The organisation must create short-term goals and once short-term wins are celebrated, a lot of people will support the change initiative and will be less likely to give up on the process or to support the opposition. The short-term celebration though does not mean that the battle has been won. A lot of organisations commit the mistake of declaring victory too soon. A premature victory kills the momentum needed to drive the change initiative to completion (Kotter, 1995). Setting the short-term goals and deciding when and how victory should be celebrated is crucial because the most problematic blockage to change is resistance from employees.

## 2.12 Dealing with Resistance to Change

Resistance to change takes place at both the individual and organisational levels. People are naturally wary of change and there is almost always a belief that change is out of control (Jones, 2007, p. 276). Resistance to change is usually caused by the fear of losing control over one's work, greater management control and loss of job satisfaction, amongst other things.

### 2.12.1 Individual resistance

Individuals usually resist change because they perceive the change in their own way and they develop their own interpretations of the reality. This perception is described by Kegan and Lahey (2001) as the 'big assumption'. People do not realise that they hold the big assumption due to the fact that the assumption has been accepted as a reality. If an individual assumes that the traditional way of doing his or her job is the best way, then the big assumption will be that change is disruptive and should not be implemented.

Another reason why people resist change is that they have developed certain habits in particular situations. When people get used to responding to situations in an established and accustomed manner, they are likely to be resistant to change because habits breed security and provide a comfort zone. On the other hand, individuals are less likely to oppose change if they perceive that they will benefit greatly from the change. For example, fewer working hours without a reduction in pay is less likely to spark resistance.

On the contrary, if the change is likely to be inconvenient, make life difficult, reduce the individual's freedom or autonomy and result in increased control, then there will be resistance. Change can also be resisted if it will directly or indirectly impact negatively on remuneration or allowances.

### 2.12.2 Organisational resistance

Organisations, like individuals, also adapt to their environments and once they have created a comfortable operating environment they become resistant to change. They tend to concentrate on the routines and procedures that make them perform well and are sceptical about trying new procedures (Jones, 2007).

Another factor which contributes to organisational resistance is the organisational culture. Once an organisation has developed a way of doing things, it is not easy to bring about change because culture is built over a long period of time (McNamara, 2008). If the organisation's culture is one that encourages flexibility and is thus accommodative to new ideas, then change will be accepted more easily.

Past contracts and agreements can also prove to be problematic where change is concerned. Organisations enter into contracts with different bodies such as suppliers, customers, trade unions, government and others. These contracts and agreements can limit the behaviour of an organisation (Carbajal, 2006). For example, an organisation might be interested in introducing new technology to enhance its efficiency, but it may be restricted from doing so by trade unions if it had to render some employees redundant.

Another organisational aspect which may cause resistance to change is the organisational structure. Mechanistic structures tend to be more resistant to change as opposed to organic structures. Mechanistic structures tend to be characterised by a tall hierarchy, centralised decision-making and the standardisation of behaviour through rules and procedures. Organic structures, on the other hand, are flat and decentralised and they rely on mutual adjustment between people to get the job done (Jones, 2007, p. 275). Whereas the mutual adjustment in organic structures fosters the development of skills and responsiveness to new ideas, people in mechanistic structures are expected to abide by established rules; thus they do not develop the capacity to adapt to changing conditions. Mechanistic structures are mostly found in bureaucratic organisations.

### 2.12.3 Bureaucracy

The theory on bureaucracy was developed by Max Weber towards the end of the nineteenth century to describe a certain trend of organisation which was emerging then. He observed that, contrary to the other forms of administration, this one was based on legal rational authority. This legal rational authority has resulted in "bureaucracy" to be turned into a word which in ordinary use conjures up negative images in people's minds (Wallis, 1989, p. 1). It suggests a slow-moving organisation usually associated with government, which serves the public with a combination of arrogance, deliberate obstruction and incompetence (Wallis, 1989, p. 1). This negative attitude towards bureaucracy stems from its characteristics.

#### 2.12.3.1 Characteristics of bureaucracy

Bureaucratic organisations are top-heavy and bottom-lean. Johnston (1993, p. 17) advocates that the hierarchical design of the bureaucracy results in the administrative and management segment of the agency growing steadily over time regardless of what happens to the operating segment or lower ranks of the agency. Hierarchy means that there are various layers of administration with lower positions under the control and supervision of higher ones. This brings order into the organisation because each person knows exactly who to report to.

Another characteristic of bureaucracy is that it is based on rules which are accepted by all the members in the organisation. Bureaucracies are said to be instrumental because they are viewed as instruments designed to achieve an objective (Jaffee, 2001, p. 92.).

In order for bureaucratic organisations to achieve these set objectives, they use procedures and rules and these rules are followed to the letter. The rules are based on technical knowledge and are established with the expectation that they will regulate the organisation's structure and processes so as to attain maximum efficiency (Wieland and Ullrich, 1976).

Bureaucracies are also highly formalised. This pertains to the degree to which rules, procedures, regulations and task assignments exist in written form (Jaffee, 2001, p. 91). This formalisation of procedures and rules is the centrepiece of bureaucracy. Wallis (1989, p. 3) stresses that maintaining records by way of files is the main way in which decisions and processes are made available for administrators to trace precedents and to check the facts in a particular case. This verification of facts therefore results in the successful and continuing operation of bureaucracies. In summary, bureaucracy is characterised by impersonality, rules, written records and power and authority being vested in the office rather than an individual.

Even though most people view bureaucracy as an evil that should be dispensed with, there are some aspects of bureaucracy that are functional. Within bureaucratic organisations there are formal and informal organisations. Formal organisations are characterised by rules and authority and the human forces within these formal organisations bear informal organisations which help to diffuse the rigid nature of the formal organisation. Authors like Goulder (1954) and Parsons (1947) argue that bureaucracies are not as rigid as Weber portrayed them. As the environment changes, bureaucracies adapt to the change. For example, governments are shifting from the machine model which is dominated by rules and standards to the network model which is loose, free-flowing and less controlled. In the light of this argument, resistance to change not only stems from the organisation but also from the system of government of that particular country in which the organisation is operating.

### 2.12.4 The system of government in Swaziland

The country gained independence from the British Empire in 1968 and has a traditional monarchy, and one cultural identity characterised by one language and one set of traditions. Political parties were banned in 1973 after the independence constitution was revoked and parliament dissolved.

Swaziland has a dual system of government wherein the traditional system co-exists with the modern system comprising Parliament and the Cabinet, but with all legislative, executive and judicial powers vested in the king. This situation compromises the principles of good governance which are entrenched in the separation of powers between the three arms of government. The modern system of government is characterised by a documented set of Roman-Dutch and English Common Laws whilst the traditional system is underpinned by a non-codified set of Swazi laws and customs (National Development Strategy, 1997).

The traditional system is based on the *Tinkhundla*, a traditional meeting place where traditional matters of local concern are discussed, and is designed around chieftaincy. The chiefs govern by using the unwritten Swazi laws and customs. This leads to confusion and inconsistencies since individuals will apply the laws differently. In addition, the dual system of government leads to ambiguities because the king rules in consultation with certain councils and elders. There is a tendency therefore, for some politicians to use the king's name or elders to reject change strategies that are likely to challenge their position of power and impact negatively on their status quo. As a result, there is a need for the two systems of governance to be separated if government departments are to embrace change and respond positively to the shifting demands of development and delivery.

## 2.13 Conclusion

The chapter has considered and presented concepts and theories of change management whilst trying to highlight what will be discussed in the following chapters. It also provides an insight into the number of techniques involved in change management that are necessary for good results. The central theme is that change management is not a once-off phenomenon but an ongoing process, and solving one problem creates an opportunity to change other aspects of the organisation.

From the literature, one learns that change cannot be carried out by using "quick fix" programmes. Change is an ongoing process which is usually a very difficult and painful exercise. In the case of the HR department, both the radical and incremental forms of change would have to be used. Changing from keeping employee personal information in hard files to soft files would need a radical approach. This calls for an introduction of a software system which may be costly but which can be acquired if there is strong leadership commitment.

However, the chapter also demonstrates that the introduction of a new management performance system and assessment of training needs and skills development needs an incremental approach. Attitudes need to be changed, starting from the attitudes of managers. In addition, patience, and a lot of education and training must be facilitated through the whole organisation.

The chapter also clearly states that change must be planned for because there is no guarantee that the organisation will get it right the first time. If a certain strategy fails in bringing the desired change, the original plan must be revisited and amended or changed altogether. That is why the change programmes must be flexible.

Due to the fact that change threatens the power relations in an organisation, it is bound to be resisted. Resistance to change can be both on an organisational level and on an individual level. Certain groups of people who have become influential in the organisation will resist change if they perceive that they will lose that privilege. Organisational culture and the organisational structure can also be major obstacles. The structure of the organisation can also present barriers to change, since hierarchical structures, which are a common characteristic of bureaucracies, tend to be more resistant to change than flat flexible structures. In addition, the system of government also plays an important role in how organisations (especially government organisations) respond to change. Where there is democracy, organisations tend to be adaptive to change because the government and organisations are characterised by accountability and transparency. In a situation where there is a dual system of government, there tends to be ambiguity and officers are sceptical of change because they are not sure of how their power and status will be affected by the change.

Change therefore needs dedication on the part of management. Before initiating the change process an assessment of the internal and external environment must be done in order to investigate threats and opportunities to the change. Once the change has been initiated and resistance is evident, management must understand the reasons for and nature of the resistance and then adopt a clearly defined strategy for dealing with such resistance.

# CHAPTER THREE

## RESEARCH METHODOLOGY

### 3.1 Introduction

The aim of the chapter is to discuss the methods used to collect data for the research. The research is a qualitative study and the aim is to describe in detail why and how particular instruments of data collection were used.

### 3.2 Research Approach

The study is a qualitative study. In a qualitative study the researcher seeks to discover and understand a phenomenon, a process, the perspectives and worldviews of people or a combination of these (Merriam, 2002, p. 6). The qualitative technique was chosen because it offers a deeper understanding of the phenomenon and allows the researcher to provide a rich description of the problems faced by the HR department.

The qualitative method was further useful to the research because it is field-based and in this case it focused on examining the problems brought about by the use of outdated managerial procedures and systems. It also allowed for the design of change management alternatives that would reduce the identified problems.

### 3.3 Data Collection

The researcher used observation and documentary analysis as the primary method of collecting data. Observation included both participant and direct observation. Two months were spent in the HR department of the Ministry of Finance in Swaziland collecting data through engaging with the day-to-day running of the department. Documents such as minutes from meetings, memoranda and reports were used to collect data in order to support the information collected through observation. Secondary data –which O'Sullivan and Rassel (1989) describe as existing data that results from the efforts of an individual researcher or a research team for a management system or to maintain a database – was sourced from textbooks, journals, research reports and the internet.

### 3.3.1 Participant and direct observation

Observation was central to the research as it was aimed at identifying the problems faced by the HR department and coupled with the data collected from documents; it provided alternatives to deal with these challenges. Participant observation in particular was believed to be appropriate for the research because it is a unique mode of observation in which the researcher may actually participate in the events being studied (Yin, 1994, p. 80). This allowed the researcher to get first-hand information as opposed to second-hand information sourced through interviews because that information includes the perceptions of the interviewed. In addition, participant observation further provides for flexibility, that is, the researcher was able to take advantage of unforeseen data sources as they surfaced (Leedy and Ormrod, 2005, p. 145).

The researcher also had informal conversations and posed questions to the HR officers in the Ministry of Finance and other HR officers in the Ministry of Public Service and Information. These conversations assisted to determine if the problems faced by the Ministry of Finance were similar to the ones faced by other departments in order to assess whether all the other HR departments in the public sector face the same problems that are experienced by the Ministry of Finance. This was done so that other government departments could use the experience of the Ministry of Finance's change management initiative in improving their service delivery and efficiency.

For this study, the researcher played the role of a collaborative partner or observer because she could not be a complete observer. Both collaborative and complete observations are part of participant observation. A complete observer as stated by Merriam (2001, p. 100) is a member of the group being studied and conceals his or her observer role from the group so as not to disrupt the natural activity of the group. A collaborative partner on the other hand, as explained by Munro (1993), is a role closest to being a complete participant but the investigator's identity is clearly known to everyone involved. The researcher opted for the latter observation because she could not hide her identity as she is well-known in the department.

The researcher mainly focussed on observing the challenges that were experienced by the Ministry of Finance in general and the HR department in particular as a result of using outdated human resource management systems and procedures. These systems and procedures pertained to record-keeping, file circulation, performance appraisal and skills development.

The researcher collected data in the department where she is employed. She assumed her duties for two months after having being in South Africa for a year. She was involved in the department's central activities such as providing advice to heads of sections and staff on human resources matters. She also assumed responsibilities that advance the department which include the administration of the Finance Management and Audit Act of 1967 (as amended) and providing advice to the public and civil servants on the interpretation and application of policies, regulations and government standing orders formulated by the Ministry of Finance.

According to Yin (1994, p. 87) direct observation refers to instances when the researcher makes a field visit to the "site". He further explains that the researcher is merely a passive observer due to the fact that she may not assume any role within the observed situation and she does not participate in the events being studied. Direct observation in this research was used in instances where the researcher was no longer participating fully in the department's activities but occasionally made site visits to conduct her observations for clarity on the data she had collected, to collect additional data or to gather data that had been overlooked during participant observation.

#### 3.3.1.1 Advantages of participant observation

The major advantage of participant observation concerns financial costs. Some researchers argue that surveys are generally more expensive than field observation and interviewing because surveys involve expenses such as recruiting and training interviewers, administering and supervising the field work, coding and punching the questionnaires as well as running the hundreds of tables for analysis (McCall and

Simmons, 1969, p. 24). In this research, field work was carried out in one organisation thereby limiting the need to travel to places which are widely scattered.

Another advantage is that observation takes place in its natural environment thus allowing behaviour to be studied in its totality. The researcher does not rely on an artificial environment or on verbal answers limited to a set of questions (Bailey, 1994, p. 244). As a result, the researcher was able to study events as they occurred rather than relying on the memory of a respondent. Observation also makes it easy for the field worker to move easily back and forth from data gathering in the field to analysis at the desk. Unlike in a survey where questionnaires are sent to different places and thereafter collected to be analysed, observation allowed the researcher to record data and categorise it on a daily basis. For this research therefore, analysis was carried out simultaneously with data gathering to avoid having a lot of information at the end and not being equipped to properly analyse it.

#### 3.3.1.2 Disadvantages of participant observation

A major limitation of observation is that due to its nature of using non-standardised ways of collecting data, the data cannot be useful for statistical treatment (McCall and Simmons, 1969, p. 20). The observation was carried out in one ministry using qualitative methods of data collection; therefore, the results cannot be used to generalise for the whole of the public sector.

Another disadvantage of the method is that it needs a reasonable period of time for the researcher to collect all the necessary data. First, the researcher needs to familiarise himself or herself with the environment and then go on to conduct unfocused or unstructured observation. Later the researcher needs to narrow down the area to be researched and conduct focused or structured observation. Sometimes during the first weeks of observation, the researcher is not even aware of what to observe and time is wasted observing and recording information that is not useful for the study.

### 3.3.2 Documentary analysis

Documents were used as another form of collecting data to complement observation in this research. Documentary analysis involves the study of existing documents, either to understand their substantive content or to illuminate deeper meanings which may be revealed by their style and coverage (Ritchie and Lewis, 2003, p. 35). Documents always exist in organisations and they provide information which otherwise would not have been made available because the person who has access to that information may no longer be available in the organisation or could not recall the events accurately.

Furthermore, some of the aspects of the research could not be investigated by observation because of the long time lapse, and documents were helpful in providing such data. Documents can be study reports, inter-office memos, minutes of meetings, letters, and files containing various other materials relevant to maintenance of the organisation (Bailey, 1987, p. 290). The documents used for this study were the Government's General Orders of 1973, Consultants' Reports, Finance Circulars and Establishment Circulars.

#### 3.3.2.1 Advantages of documentary analysis

Like observation, documentary analysis involves low costs. The cost of documentary analysis can vary widely depending on the type of document analysed, how widely documents are dispersed and how far one must travel to gain access to them (Bailey, 1994, p. 296). The researcher travelled a short distance to gain access to the documents and they were in one central location so their access and analysis was inexpensive.

Another advantage is that documentary analysis is another form of indirect observation. Documents were used to fill in information that was overlooked during participant observation or that could not be obtained through that kind of observation. This kind of indirect observation allowed for research on subjects that the researcher could not have physical access to. This refers to consultants who, after compiling their reports, had to go back to their countries of origin; and civil servants who had either left the service through retirement or were deceased.

Most documents are written by skilled writers such as executives and consultants thus they are of high quality. Taking into account the nature and purpose of this research, documents tended to be more valuable than mailed questionnaires with poorly written responses.

### 3.3.2.2 Disadvantages of documentary analysis

A major disadvantage of documents is that they were not written for research purposes therefore they provide an incomplete account of the events being discussed. They often deal with a specific issue and the researcher has to fill in the missing information by interviews, observation or by conducting surveys. For example, government standing orders stipulate a certain policy and leave out the reaction and feelings of the recipients of that policy.

Another disadvantage is that documents vary in subject matter, format and length (Bailey, 1994, p. 297) making coding very difficult during analysis. This is due to the fact that documents are written in words rather than in figures and this makes it difficult to quantify them. The researcher had to employ qualitative methods of analysing data from the documents; this proved to be a difficult task compared to quantitative analysis which uses frequency tables and percentages.

## 3.4 Method of Data Collection

At the outset of the inquiry, even though the researcher had previous experience of the setting, the observation was unstructured. Unstructured observation is a flexible technique that allows the observer to concentrate on any variables that prove to be important. The researcher does not look for any particular behaviours but merely observes and records whatever occurs (Bailey, 1994, p. 244). This helped the researcher to remain open to the unexpected and to be in a position to make new discoveries because previous experience and knowledge could be slanted or incorrect. Unstructured observation was carried out for a week so that the researcher could become familiar with the organisational context.

The second week and the consequent weeks shifted the focus to more focused or structured observation. This entailed limiting the observational field from a wide range of phenomena to a particular phenomenon. The observation was mainly focused on the department's procedures pertaining to record-keeping, performance appraisal and skills development. This type of observation led to greater involvement with people in the HR department and it also consisted of informal conversations and questioning. The questions asked were simple requests for general information raised as part of an ordinary conversation and not as a formal interview.

The questions were intended to obtain the HR officers' perceptions of the procedures and systems used by the HR department and the reasons for the inefficiency in the department. The questions were further aimed at getting the HR officers' views of how the systems and the procedures can be enhanced in order for them to be in line with the current managerial systems. The questions were a mixture of structured questions and open-ended questions which requested illustrations where necessary and for officers' direct experiences of what actually happened.

Apart from engaging in informal conversations with other HR officers, the data collection strategy entailed observation, participating and recording as much detail as possible of the day-to-day activities in order to form the database for analysis. The researcher took field notes (recorded data). Emerson, Fretz and Shaw (1994) advise that field notes must combine two elements: what seems important to those studied and what seems important to the researcher. Following this advice, the researcher's field notes included descriptions of events and behaviours, direct quotations and observer comments.

The observer comments were identified by the initials "OC" (observer comments) which were in italics and were placed in the margins of the notepad. The comments were the researcher's thoughts about the setting of the environment, people and activities. By these comments the researcher was already involved in some preliminary data analysis. To preserve interactional details (sequences of interaction), writing of the field notes took place as soon as the events had occurred, where possible. In most cases, recording of the data was done during the lunch hour or after work when none of the studied persons was observing. According to Lofland (1971, p. 102) conspicuous note-taking can make the subjects being studied self-conscious and cause them to act abnormally even if one is a known observer.

The field notes contained a day-to-day account of what happened, when, with whom and what was said. Notes were jotted down during the day and full field notes were recorded in the evening. The full notes included descriptions of events and the researcher's feelings. These full notes were photocopied. The original copy was kept for reference purposes and the copies were used to be rewritten and reorganised. The copies were also used for analysis because this is where the researcher added notes and information gathered from documents. The copies also helped the researcher to make further notes on things that remained to be investigated further or other persons to be observed. An analysis of the researcher's feelings which were recorded as observer comments was made on the copies for possible sources of bias.

### 3.5 Data Analysis

Data analysis for this study was done concurrently with data collection to allow for adjustments to be made and to test more data as it emerged. The constant comparative method of data analysis was used. Glaser and Strauss (1967) developed this method which entails comparing data within and between levels of conceptualisation, thus leading to tentative categories that are compared to each other and to other instances. The information thus obtained through observation which, according to Walker (1985), involves examining the minutiae of everyday life of the department, was first collected in the form of notes arranged, organised, coded and filed.

Organisation took the form of summarising field notes and constructing categories or themes that captured some recurring pattern across the data. The categories were described by names or descriptive terms such as "problems deriving from outdated management systems" and "problems deriving from bureaucracy". The second step was to integrate the categories by comparing pieces of data within the categories. Related categories were configured into a larger category. Information in the larger category was checked against the data in the original categories to further refine the basic categories as well as scan for more similar patterns that cut across them.

The information in the larger category was represented in flowcharts that showed temporal development. Examples of flowcharts include stages in file circulation which are: (1) personal file leaves parent department or ministry; (2) file is taken to the Ministry of Public Works and Transport; (3) file is taken to the Treasury department; (4) lastly file is forwarded to Pensions Fund by the Treasury department. Documentation was used to cross-reference and enrich the data collected through observation. The data was presented qualitatively in a narrative form. To maintain confidentiality, peoples' names were not included in the presentation because permission to publish the names was not received from all those involved in the informal conversations. Instead, for direct quotations, individual's designations and titles were used to present the data. Conclusions and recommendations were then made.

### 3.6 Limitations

The limiting factor was time. Two months was too short to conduct an adequate observation. Some of the procedures in the department take longer than two months to process. Therefore some of the problems experienced by the HR department were discovered through casual conversations with HR officers as opposed to the researcher's observation.

### 3.7 Conclusion

The chapter has discussed the methodology which was followed to collect data. The next chapter will present the findings of the observation.

# CHAPTER FOUR

# PRESENTATION OF RESEARCH DATA

## 4.1 Introduction

The purpose of this study is to explore alternatives for initiating reforms in the HR department within the Ministry of Finance through change management procedures. Data collected through observation and from documents will be drawn on and examined in terms of the hypothesis that government departments are falling short of the efficiency that is expected of them. The data will be presented under three themes which are based on the following research questions:

a) What alternatives can be developed to bring about change in procedures for dealing with personnel information, performance measurement and skills development in the HR department?
b) What are potential barriers to implementing these changes?
c) How can these challenges be addressed?

The themes that were formulated as a result of the above-mentioned research questions are:

a) Record keeping
b) Performance appraisal
c) Skills development.

Firstly, data responding to question one will be presented under the three themes mentioned above. Data obtained through observation will be presented first followed by data collected through documentary analysis; and a summary of the data collected under this question will be presented once all the themes have been covered.

Secondly, data responding to question two will discuss the blockages that can affect the changes introduced in response to question one. Data pertaining to the anticipated blockages collected through observation will be presented first, followed by the data collected through documentary analysis. A summary of the data collected for this question will be provided at the end.

Thirdly, data pertaining to how the anticipated blockages that were presented in question two can be resolved will be presented. Data from observation will be presented first, followed by data from documentary analysis. A summary of the data collected for this question will be presented next, followed by a summary of the whole chapter.

### 4.2 Alternatives to Bring Change

The first research question is: what alternatives can be developed to bring about change in the procedures required to deal with personnel information, performance appraisal and skills development in the HR department? Before presenting change management alternatives, the data will first outline the problems which are to be addressed by the alternatives.

#### 4.2.1 Record keeping

##### 4.2.1.1 Observations

***a) Confidentiality***

From the observation it was apparent that employees' personal information is not being kept confidential by the HR department. The information is kept in files in an unlocked filing cabinet. Anyone can have access to the information if they enter the office while the HR officers are within the building because they do not lock the office. The information kept includes employees' particulars such as birth date, qualifications and salary grade. The file also contains the appointment letter, promotion letter and any communication between the individual and the ministry or other government departments concerning disciplinary actions, grievances or scholarship issues. All documents pertaining to the exit of an employee from the civil service are also contained in the file. While examining the filing system, the researcher concluded that this is a key area of inefficiency, which will be explained further below.

***b) Record keeping problems***

What the researcher noticed is that the key challenge related to keeping personal information in hard files as the main record-keeping system is that information is mislaid. One file is kept by the parent ministry of the employee and another file is kept by the Civil Service Commission (CSC) which is the hiring agent for government. Should some documents go missing in the file kept by the parent ministry; copies can be obtained from the CSC. The problem which arises from such a situation is that the Pension Fund which is responsible for paying out gratuities does not accept copies but requires original documents.

The result is that the efficiency of the HR department is reduced because time is spent trying to locate original documents or consulting the CSC to start afresh and obtain further original documents. This was confirmed by one of the Finance Officers in the HR department, who noted that the ministry was being taken to court by a former employee who was requesting his pension contributions. He explained:

> the former employee has written to the ministry giving us a month to sort out his pension contribution issue or otherwise he will take legal actions against us. I am so frustrated because I can not locate his file which I understand was sent to the Ministry of Education in 2004. I cannot sort anything out with the Pensions department without the file and compiling another file for him will take more than a month because as it is, I have been trying to get original documents from the CSC for the past three weeks (conversation, 9 January 2008).

Most former employees, especially retired officers, are frustrated by trying to get original documents from the CSC because once they leave the service they depend on their gratuities and the monthly pension for a living. If the original documents such as the acceptance letter, promotion letter and leave forms (see Appendix 1) are not in the file that goes to the Pension Fund, the payment can take up to six months to process and yet if the documents are in order; the payment process only takes between two to three weeks.

Another Finance Officer in the HR department, confirmed that missing documents in personal files are problematic. She stated that

> an officer retired at the end of January 2008 and his gratuity could not be processed on time because his confirmation letter was not in the file. I had to do a research as to when he was confirmed and request for a confirmation letter from the CSC. Meanwhile the retired officer was calling every day demanding for his gratuity (conversation, 8 February 2008).

The delay, it has been observed, is also encountered when the personal file is circulated around the relevant ministries and departments in government.

***c) File circulation***

Before reaching the Pension Fund, the personal file of a retiring or deceased officer must first be submitted to the Ministry of Public Works and Transport where a clearance certificate should be attached. The certificate is issued if the employee was not occupying a government house or if the individual was occupying a government house and the rental payments are up-to-date. This is where the delays commence. Normally, the clearance certificate is issued as soon as the file has been submitted by the HR officer, but if the officers at the Ministry of Public Works and Transport are busy, short-staffed or attending meetings, the process can take three to four days.

From the Ministry of Public Works and Transport the file is taken to the Treasury Department which is responsible for the banking of government's funds and payment of salaries for all civil servants. It first goes to the Sundries Section where there is a check done on whether the employee owes the government for items such as furniture. This process does not take long and is completed on the same day the file is submitted because the information is retrieved from the computer system. The next stop is the Car Advance Section. The file is left for three days in this section to verify if the officer obtained a car loan with government and if that loan has been cleared. The file is then forwarded to the Salaries Section, where it can stay for up to two weeks depending on the time of the month. From the thirteenth of every month this section is occupied with capturing civil servants salaries and sending the information to banks. They start dealing with personal files after the first day of the following month once everybody has been paid. This is where the files could go missing. After carrying out the necessary procedures with the information on file it is then sent by this department to the Pension Fund. The whole process of taking the file from one department to another can last to a month or more; this can be frustrating to a retired officer who is in need of the gratuity or to the family of a deceased officer.

The researcher noticed that the inefficiency of the filing system frustrates not only former employees but is also cumbersome where information is required about a particular officer. For example, a head of section may require information about when a certain officer joined the civil service and in some cases when that officer was transferred to the Ministry of Finance; accessing such information can take a long time and may often not even be available, such as the date of transfer between ministries. In such a case the information must be obtained from the individual concerned; and then the CSC confirms the information. It has been observed that to get a confirmation from the CSC requires concerted effort and calls for a serious follow-up.

For example, the researcher received a call on the 19$^{th}$ December 2007 from a director requesting information regarding the transfer date to the ministry of a particular officer. He needed the information in order to decide on the seniority of the officers in his department for promotion purposes. Unfortunately the information was not in the file and it had to be obtained from the officer concerned. Confirmation was sought from the CSC and since then a form has been designed to be completed in cases where officers are transferred from other departments to the ministry.

Apart for purposes of file circulation, a senior official in the National Archives Department, has emphasised the need for the proper record-keeping of records and files, stating that a programme for computerising all government registry departments is underway and the government of Swaziland is undertaking this exercise with the assistance of the Swedish government. She also asserted that

> there is a need to transform registries and bring them under the Ministry of Enterprise and employment which is housing the National Archives department since they are currently under the Ministry of Public Service and Information. This is an anomaly because as a National Archive department we need to monitor the life of a file from the time it is created until it is brought to the archives (conversation, 30 April 2008).

#### 4.2.1.2 Documentary analysis

***a) Proper record keeping and confidentiality***

The government's General Order A1.113, (1973, p. 22) states clearly that employees' personal files are confidential and the HR personnel are the only custodians of the files. The same General Order also emphasises proper record-keeping and confidentiality of all government information. To ensure the safe-keeping of documents and vital information, the government has made record-keeping and proper filing one of the projects under the Public Sector Management Programme, known as the Adaptation of Information and Communications Technology to Networking and Performance (Proposal for Reform Projects under PSMP, 1999).

The Public Sector Management Document (1995, p. 38) states that if the public service is to enhance efficiency and proper management of financial resources, there is a need for an efficient information system. It is believed that a gap in information results in "ghost workers" remaining on the public payroll. The information and communication infrastructure that the government is proposing to install is aimed at improving the performance standards of ministries and also promoting information sharing and networking among the different units of government. Efficient information storage calls for serious strategies around the current filing and record-keeping systems. In the same context, the computer department has stated that by the year 2009 the information technology of government would have improved immensely because they are upgrading on-line services (Computer Services report for the development of a Strategic Plan for the Ministry of Finance, 2008).

The need for proper record-keeping has been stressed by the National Archives Department, which stated that "clerical duties are done manually and the general feeling is that functions of the registries be computerised to be in line with developments in information technologies. This would ensure that information is secure and readily accessible to the users" (Report on the Review of Government Registries in Swaziland, 2008).

In summary, observation and documents have revealed that keeping employees' personal information in hard files can be useful for back-up purposes, with the primary storage system being the computer. All the important documents which include appointment letters, promotion letters and the exit letter can be scanned and the file can exist electronically. Storing employees' personal information in the computer system would make retrieving information on officers very easy. Updating information on the file would be simple such as changing the marital status or the employee's designation after a promotion.

### 4.2.2 Performance appraisal in the Ministry of Finance

#### 4.2.2.1 Observations

***a) Appraisal form***

From conversations with personnel in the HR department, it was revealed that ideally the appraisal form is supposed to be completed annually. Support staff and clerical officers complete the form in September and the rest of the staff members (junior and senior managers) in February. The appraised employee completes the first part of the form which requires the name, designation, qualification and courses that the employee has attended (long and short courses) (see Appendix 2).

The immediate supervisor then completes the rest of the form which requires information on the employee's capabilities and shortfalls in performance. A date for an interview between the subordinate and the immediate supervisor is set. After discussion, both the subordinate and the supervisor sign the form acknowledging that the discussion was held and the results of the discussion are recorded in the form.

From the observation it was clear that what takes place in the Ministry of Finance is that the appraisal form is no longer completed as required by the General Orders. Employees only complete the form when they are due for confirmation, promotion or when the appraisal form is required by the CSC or the Ministry of Public Service and Information. The appraised officer is given the form to complete which pertains to designation, courses attended, qualification and job description. The form is then given to the immediate supervisor who rates the subordinate's performance on a number of job-related and personal characteristics. The form uses a six point scale which ranges from A to F, with A for excellent performance and F for very poor performance. The rating is based on factors such as the employee's knowledge of the job, judgement, management of staff, acceptance of responsibility, initiative, communications on paper and orally, numerical ability, drive and determination, professionalism and relations with colleagues and the public. The supervisor then sets a date for an interview with the subordinate.

During the interview the subordinate looks at the ratings and also reads the supervisor's comments. The researcher has observed that in most cases supervisors are not honest when completing the appraisal form. All the appraisal forms in the personal files are rated on average and yet there are employees who perform below standard. They intend to appease the subordinate, and therefore poorly performing individuals are graded on an average rating. The interview has become a useless exercise which is only conducted because the form requires that both the subordinate and the supervisor sign the form and put the date when the interview was conducted. This was supported by a Human Resources officer at MOPSI, who explained that

> the appraisal form has lost value and it is no longer serving the purpose it was designed for. The government sent officials to attend the Commonwealth Regional Workshop on Performance Management which was held in Botswana in 2007. This was to enable the country to benchmark the proposed performance management system against successful systems that have been implemented by other African public sectors (conversation, 3 January 2008).

Once the interview has been carried out, the form is passed on to the next person to countersign who is usually the Head of Department (HOD). In most cases the HOD concurs with the immediate supervisor and the form is therefore quickly signed and completed. The form is then forwarded to the HR department where a copy is kept in the employee's file and the original sent to the Ministry of Public Service and Information.

Observation of the appraisal system indicates that the appraisal form has fallen into disuse in the ministry. It is no longer done annually but only when an officer is due for confirmation, promotion or when it is requested by the Ministry of Public Service and Information or any external agency.

***b) Reasons for the disuse of the appraisal form***

The observation and informal conversations revealed that because the appraisal form is not directly linked to rewards, most managers perceive completing the form as a waste of time, explaining that they are too busy and it does not contribute to their work in any way. For instance, none of the directors of the different sections in the ministry are prompt in signing appraisal forms which have been submitted to them. It is even worse when they have to fill in their own appraisal forms because they have to be constantly reminded by e-mails and verbally before they complete it.

Subordinates are opposed to the appraisal form because they have always thought completing the form meant a promotion. They have been completing the form but have not been promoted, so they too think that it is a waste of time because they do not see any benefit accruing from the appraisal process. When one of the personal Secretaries was requested to complete an appraisal form her response was, “just put the form on the table, I will do it when I have time because I have been filling out the form over the past years but I have not been promoted (conversation, 14 December 2007).

The researcher also observed that junior staff members are discouraged because they are aware that supervisors are dishonest when completing the appraisal form. Individuals who have the “right connections” are rated as average or excellent even though their performance is far from excellent. Hard-working individuals are sometimes rated average because they are either disliked by the supervisor or their performance is not acknowledged because they do not have the “right connections”. For instance, an officer in the Registry Section, has great reservations about the way employees are appraised. He expressed that he did not understand why the junior clerical officer in his department is always rated fairly well because she does nothing other than reading magazines and the newspapers, and observed that maybe it is because she got the job through one of the Principal Finance Officers (conversation, 3 January 2008).

Furthermore, another observation is that the form is used as a punitive measure. The administrative style adopted by most managers in the ministry is the “carrot and stick” approach. The appraisal time becomes a time for “settling scores” and this has worsened the way subordinates view the appraisal system. An officer in the Budget

Section confirmed this: "What are appraisal forms for because last week when I could not do overtime because I stay far from the work station and I did not have transport to ferry me home at night, a senior officer commented that she would include that in the appraisal form" (conversation, 4 January 2008). The officer felt that she was being threatened and yet officers in her grade are not entitled to overtime payment, they simply volunteer their time. What transpires from such situations is that nobody wants to touch the appraisal form except for rare occasions when there is pressure from outside the ministry for the form.

#### 4.2.2.2 Documentary analysis

***a) Proper performance appraisal***

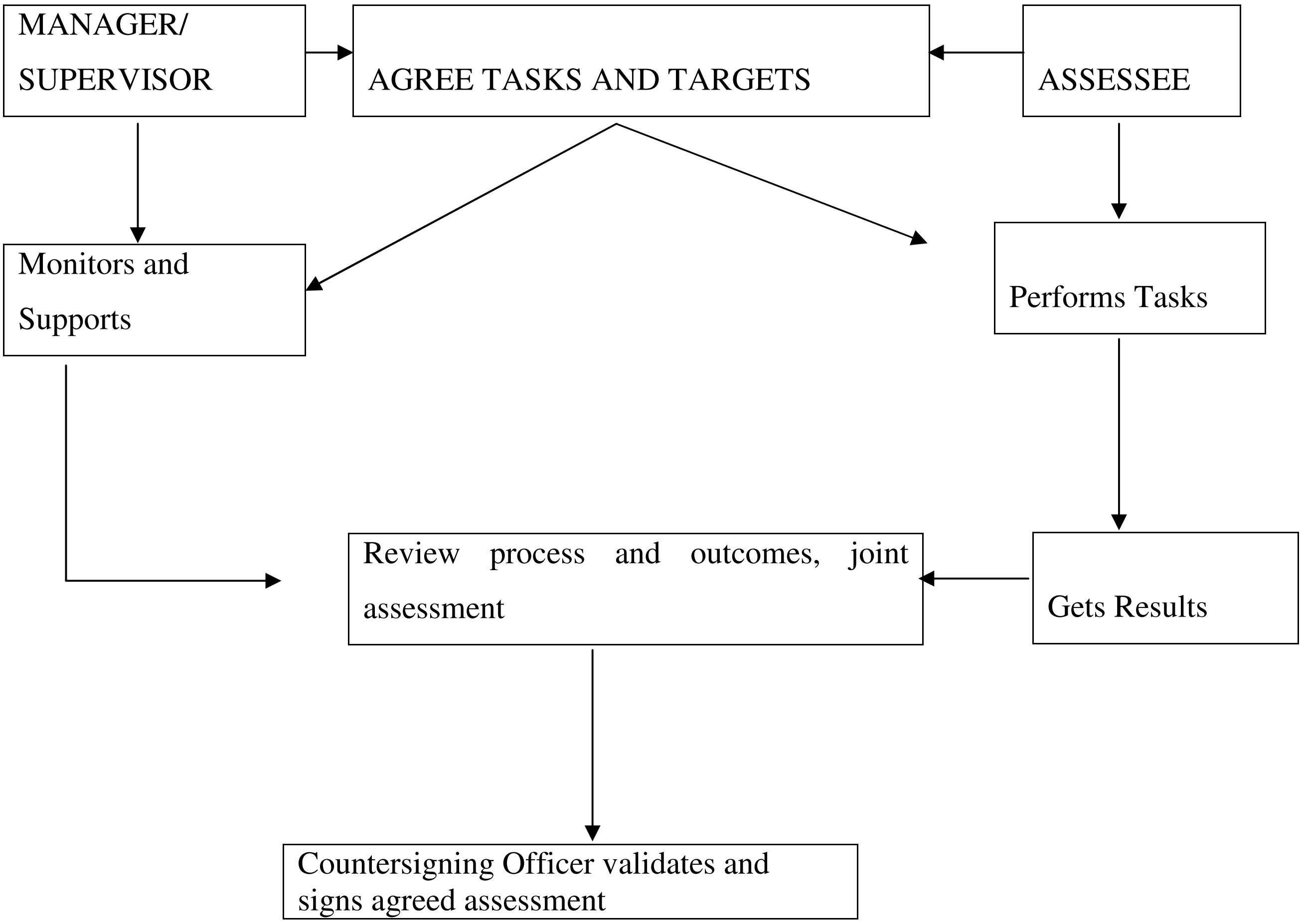
Performance appraisal is one of the important functions of the HR department. Promotions, secondments and confirmations cannot take place in the absence of a duly completed appraisal form. The government General Orders state that appraisal forms for clerical staff are expected to be completed and handed to the Ministry of Public Service and Information (MOPSI) annually in September and for non-clerical staff in February.

Upon realising that the current performance appraisal is no longer serving its purpose, the government of Swaziland employed the services of a consultant in 2000 to review it and make recommendations on how the appraisal system can be improved. The consultant from Critical Skills Development (CSD) in the United Kingdom, together with a team of local officers drawn from the personnel cadre across the civil service, concluded that the current appraisal system is mainly used to reward and to punish the recipients (Design, Pilot Testing and Finalisation of the Performance Management System Document for the Swaziland Civil Service, 2003, p. 4). Rewards are in the form of promotions and confirmation purposes while the punishment is through disciplinary action.

A report presented by Swaziland on its performance management system to the Commonwealth Regional Workshop on Performance Management in Botswana from June 18 to 22 2007, states that the CSD consultant reported that the appraisal system in Swaziland was developed more than twenty years ago without specification reviews. Performance assessment of individuals is often rushed and badly prepared and is based on evaluation criteria that are qualitative and subjective. Furthermore, in some cases the assessment was not shared with the assessee and the appraisal is not seen as part of the normal work process; thus supervisors feel it is not important. This has led to almost all levels within the civil service not trusting the system. As a result, the consultant and the team advised that a performance management system (PMS) needs to be developed for the public service. The PMS should be derived from essential elements of good management experiences which will entail clear definition of departmental objectives, delegation of duties and evaluation of completed tasks.

The Design, Pilot Testing and Finalisation of the Performance Management System Document for the Swaziland Civil Service (2003) suggests that performance management should follow a cycle which comprises four main stages which resemble the four main stages of managing the normal work of an organisation. These are Stage 1 which requires agreement on work objectives, standards, tasks and targets. Stage 2 is performing tasks and achieving results. This stage is concerned with planning, organising, implementing, monitoring work and getting results. Stage 3 is the results analysis and follow-up stage. This stage entails the evaluation of results, planning and undertaking follow-up and reporting outcomes. Stage 4 is the performance assessment and follow-up stage which entails assessing work performance, agreeing to improvements and rewards and agreeing on follow-up. Figure 2 below illustrates the PMS cycle.

**Figure 3: The PMS Cycle**




Source: Design, Pilot Testing and Finalisation of the Performance Management System Document for the Swaziland Civil Service, (2003).

In summary, the measurement or evaluation of employees' performance is important because it helps to identify training needs of individuals and also shows whether employees are placed in the correct departments. Documents and the researcher's observation have revealed that the appraisal form is the correct tool for performance measurement in the Swaziland Public Service, and simply needs to be enhanced in order for it to be effective.

From observation and documentary analysis, the researcher has deduced that the enhancement of the performance appraisal could take the form of adopting a performance measurement technique which will enable performance assessment to be a continuous process with appraisal being in the final stages of the process. The ministry need not emulate performance management systems that have been implemented by the private sector but whatever technique that is implemented must be modified to suit the environment and procedures of the public sector.

### 4.2.3 Skills development

#### 4.2.3.1 Observation

***a) Training plan***

In most organisations, skills development is directly linked to performance measurement. An individual's lack of skills is discovered during performance appraisals. The courses which can help the individual acquire certain skills are identified and this is included in the training plan and budgeted for.

It is also essential to gauge or assess if the training had an impact on the individual's performance. This is seen when the appraisal is carried out the following year or during the course of performance management. This is difficult to monitor in the Ministry of Finance because there is minimal performance measurement.

The Ministry of Public Service and Information, as noted earlier, expects all government departments to submit training plans at the end of February each year. An HR officer in the Ministry of Finance, explained that the HR department in the Ministry of Finance usually circulates a memorandum requesting officers to identify and stipulate courses relevant to their work which they would like to attend in that current year (conversation, 2 January 2008). He explained that in most cases the courses chosen are outside the country because officers are looking for an opportunity to visit new places. This was confirmed by one of the personal secretaries who complained that "what is the use of filling in the training plan because secretaries are offered courses in Mbabane and the senior managers fly to attend courses abroad" (conversation, 3 January 2008). Once the course has been completed no evaluation is carried out to determine if the course has added some value to the individual's performance or to the work in general.

In addition, the HR officer further explained that most employees show interest in attending courses when they feel that they need a break from their busy schedules. In most cases lack of interest is shown for courses offered by institutions around their work stations. They prefer attending courses far from the work station so that they can have some time off from work and be away from home for at least a week. On their return from the training there is no follow-up as to whether the course had added value to the individual's development or not.

To curb this problem, the Ministry of Public Service and Information is about to create a post for an officer who will oversee skills development in the whole civil service. This was affirmed by a senior officer in the Training Section at MOPSI, who stated that "the officer and his subordinates will vet the qualifications, competencies and experiences of all categories of officers currently in the civil service. They will also compile a list of appointed officers who would need to undergo skills upgrading training and also identify vacancies which need to be filled through external recruitment. Once these vacancies have been identified, an initiative to equip locals with the scarce skills will be undertaken. Requests for attending training courses will also be approved by this office to ensure that officers attend courses that are relevant to their jobs (conversation, 4 January 2008).

#### 4.2.3.2 Documentary analysis

***a) Proper skills development***

The government of Swaziland does not have a skills development policy in place. To correct this anomaly, a National Skills Development Policy is being formulated but is still at a draft level. In the interim, government departments rely on an In-Service Training Policy which belongs to MOPSI. Another corrective measure which the government has embarked on is to formulate a policy framework for the synchronisation of skills with jobs in the restructured ministries and departments. Under this policy there will be a project which undertakes a study and makes recommendations for the synchronisation of skills with jobs in the restructured ministries, taking into account the institutional arrangements for human resources management in the Swaziland civil service (PSMP, 1999, p. 22).

The Ministry of Public Service and Information does not support the haphazard training that is carried out by most government departments. MOPSI emphasises that departments must carry out training needs assessment exercises before employees are sent to attend courses. The In-Service Training Policy, (2000, p. 8) stipulates that training needs of departmental employees will be identified through:

- Changes demanded in current and future performance.
- Departmental and ultimately the Ministry's strategic objectives as interpreted in the departmental Strategic Work Plan.
- Employees' needs for career development.

This means that employees will not simply attend any course they prefer but rather that training will be job-specific and performance-related. The In-Service Training Policy (2000, pp. 8-9) spells out that procedures relating to training needs assessment will be carried out through one or more of the following three methods:

- Competence-based analysis
- Needs-based analysis
- Skills-based analysis.

To ensure that all training officers in the civil service understand these three methods, the Training Department at MOPSI has embarked on an exercise to equip training officers with training needs assessment skills. Training officers were urged to indicate their interest to attend the course by registering with the Human Resources Department secretariat at MOPSI (Minutes of the Training Officers Meeting, 6 February 2008).

In summary, observation and documentary analysis have clearly shown that the ministry needs to get its performance appraisal system on track first so that training needs assessment and skills development can be enhanced. Both the supervisor and the subordinate will set goals and objectives for the employee at the beginning of the year, and will establish benchmarks against which the individual's performance will be assessed. The training needs will be assessed by both the subordinate and the supervisor during the appraisal interview because where the subordinate has not performed as expected, both the supervisor and the individual should assess whether the poor performance was due to lack of skills or other factors.

The researcher has also learnt from documents that if both the supervisor and the subordinate agree that the poor performance was due to skills shortage, they will then make acquiring that skill a priority. During the preparation of the training plan, priority would be given to the course that equips the subordinate with that lacking skill. Gerber, *et al*. (1998, p. 96) states that training should be given only if it is going to solve specific problems for the institution. There may be individual training needs which could point to deficiencies which prevent an employee from operating optimally and some training needs may be at the occupational level. Occupational needs refer to what is needed by an employee in terms of skills or knowledge.

Training needs assessment by both the supervisor and the employee would prevent employees from attending courses that do not contribute to their personal development and the development of the organisation. This exercise, as Nkosi, (2000) asserts, would help employees plan future personal development programmes and activities that would make them more effective in the job or that would help prepare them for advancement.

#### 4.2.4 Summary

Pertaining to record keeping, observation and documentary analysis have revealed that having software for storing employee personal information would fast-track the circulation of personal files to all government departments in the event of a retirement or death. Instead of HR officers carrying the hard copy of the personal file from one department to the other, the change management alternative would be to send it electronically with a memorandum stating what needs to be attached to it. The file would be sent back to the parent ministry with all the necessary documents needed for the payment of a gratuity. After checking if everything is in order in the file, the HR officer in the parent ministry would then forward the file electronically for payment.

Of interest has been the fact that the Pension Fund has improved the way in which they conduct business because they have implemented a new way of processing claims, using new software and scanning. This would be even quicker if personal files from government departments were to be sent to the Pension Fund electronically with the necessary documents attached. Dealing with efficient and effective record-keeping would be the first change alternative aimed at improving the performance of the administration department.

In the case of performance management, the data presented shows that a performance measurement tool which is directly linked to pay cannot be suitable in the public service because remuneration is not negotiated individually but is a collective bargaining exercise. An excellent strategy would be to implement the current performance appraisal system simultaneously with the 360-degree feedback technique. The researcher has observed that adopting a sound performance management technique can impact positively on skills development in the ministry.

On skills development, the researcher is of the view that a training needs exercise should be introduced in the ministry. Once the training needs have been identified, noted and acknowledged in the training plan, the information would be used to evaluate if the training was beneficial to the individual or not. In the subsequent appraisal interview, the supervisor would assess if there had been any improvement in the subordinate's performance. The supervisor would do this by evaluating the standard of performance required from the individual and the actual performance of the individual. Subsequently, the supervisor would examine if objectives that were not accomplished in the previous year's appraisal were accomplished in the next appraisal.

## 4.3 Blockages to the Change Management Alternatives

The second research question is: what are the potential barriers to implementing these change management strategies? The findings explain possible blockages that can hinder the successful implementation of the abovementioned change management strategies.

### 4.3.1 Observations

***a) Organisational culture***

Organisational culture is the way things are done in a given organisation, hence it can be a possible blockage to the change management strategies designed for the Ministry of Finance. From observation, the researcher has deduced that staff members now accept that the appraisal form is not completed in the organisation unless it is requested by an external agent or if an officer is due for confirmation or promotion. Employees might be resistant to the implementation of the performance appraisal form and the introduction of a new performance measurement technique (360-degree feedback). In addition, as pointed out by Mullins (2005, p. 913) people by their very nature fear the unknown; therefore employees in the ministry might be sceptical of the new technique.

The Ministry of Finance has embarked on an exercise to develop a three-year strategic plan for the ministry. The consultant who was assisting the ministry in this regard stressed that a strategic plan comes with a lot of changes and sometimes an organisation even has to change its mission and vision. He explained that, "after the changes have been effected, it is the duty of every senior staff member to communicate the change to members of his department. This is to ensure that the old culture that was in existence in the ministry is replaced by a new culture of efficiency and proper service delivery" (contribution made on the strategic plan session, 2 May 2008).

A senior official in the Ministry of Finance also reiterated the same sentiment by explaining that "effecting changes in the ministry will mean that it will not be business as usual. It calls for running a different race and not running the same race faster" (contribution made on the strategic planning session, 2 May 2008). He was stressing the point that where it called for the ministry to develop different managerial procedures than the ones used by the rest of government in order to enhance efficiency; then the ministry would do so. He also urged senior staff members to communicate the changes to other staff members. For example, values for the ministry were crafted during the strategic planning session. These are excellence, integrity and professionalism. He stated that senior staff members need to go back to their departments and explain to their subordinates what each of these three values means in terms of behaviour.

Another culture that has been observed in the ministry and the government as a whole is that civil servants use the public sector as a stepping stone to greater opportunities. Most employees stay in government to get the opportunity to further their studies and once they obtain their post-graduate degrees they leave government immediately. When asked why they had decided to leave government the reasons included, amongst others are that “the public sector is not challenging and the benefits are more lucrative in the private sector.” One of the former employees who is now working for a non-governmental organisation, highlighted that “why would I stay with government with a master’s degree? I had to start somewhere and government was my starting point. Now that I have this qualification, I am not obliged to serve government. I am more marketable and staying with government would be a waste of time” (conversation, 5 February, 2008).

Another officer was employed by government and posted at the Civil Service Commission. Immediately after confirmation, he requested to be transferred on promotion to the Ministry of Finance. He stayed for a year with the ministry and when salaries were reviewed at the former work place and the salary grades were much better than in the ministry, he requested to be transferred back to the Civil Service Commission. When the researcher asked him why he was hopping from one place to the other, his response was that,

> … seriously, do you think I came to government because I like working, I came here for money. I cannot stick to a place where I am getting peanuts and yet there are opportunities for me to get a better pay. If something better avails itself, I have got no problem of moving to those greener pastures (conversation, 31, January 2008).

***b) Leadership commitment***

The successful implementation of a change management initiative in an organisation requires dedicated leadership. Apart from organisational culture, the leadership of the ministry might also prove to be a blockage to the new change management alternatives. This was observed during the formulation of the three-year strategic plan. The exercise took place on the weekend of the $2^{nd}$ May 2008 at the Protea Hotel in Pigg’s Peak. The attendance was not satisfactory because first, the exercise was carried out on a weekend and secondly, senior managers did not want to sleep away from their homes. If the ministry is to run a different race from other government departments in order to enhance efficiency, senior management has to understand that certain sacrifices need to be made.

A senior officer in the HR department also commented that change initiatives like revamping the appraisal system needed strong leadership and senior management to be at the forefront of the initiative (conversation, 2 May 2008). The conversation was triggered by the fact that the management is a group of people who do not seem to understand the purpose of the appraisal procedure. This is because, for a long time, management has used the system for the wrong reasons – that is why officers who are unable to work overtime are threatened by the appraisal. In short, the appraisal has become a destructive tool rather than a constructive one, thus everybody has become very comfortable with the absence of a performance measurement tool. Reviving the performance measurement procedure and introducing a new technique may be viewed as an additional responsibility in the already busy schedules of managers.

### 4.3.2 Documentary analysis

***a) Dealing with organisational culture***

Data collected from documents show that the culture that exists in the Ministry of Finance is one of mistrust, especially when it comes to appraisal issues. The lack of trust exists between subordinates and supervisors and it is also a mistrust directed at the appraisal. This is because the appraisal system has been turned into a system used to reward and to punish. (Situational Analysis of the Appraisal system by all levels within the civil service System Document, 2003).

Another culture that exists around the issue of appraisal is that of completing the appraisal for appeasing whoever requested the appraisal form and yet General Order A1.62, (1973, p. 59) states clearly that duly completed appraisal forms must be submitted annually to MOPSI. The tendency of viewing the appraisal as a waste of time by supervisors has reduced the importance of the appraisal system to confirmations and promotions only. It has ceased to be an instrument used to evaluate individuals' performance with the aim of providing training where there is a shortage of a certain skill. This is despite the fact that the In-Service Training Policy (2000) emphasises that training needs assessment should be linked to an individual's performance and competence.

Concerning skills development, the culture is that once an individual has been employed with the basic qualification that is required for the job, that individual will wait for his or her turn to go for long-term training and pursue a post-graduate degree. The short courses that are offered are attended and no evaluation is conducted to assess if the courses are worthwhile. The tendency is for the same officers to attend short courses outside the country while other officers do not get the chance to attend these courses. This has been noted by the training department at MOPSI and the Head of Department has stressed that each government department must have a training priority list (Minutes of the Training Officers Meeting, 2008).

Where skills development is concerned, a culture that exists within the public sector is that of personal development over organisational development. Most officers stay with government to serve the two year probation period. Once they are confirmed the government sends them outside the country for post-graduate studies. What usually happens is that after obtaining post-graduate degrees, the officers resign and leave government without contributing what they learnt in their post-graduate studies. The ministry’s records show that in the past three years, out of the four officers that were sent to school, only one came back to serve government and three joined the private sector on their return. One of them did not even return from England but faxed the resignation letter from that country.

Where efficiency is concerned, civil servants have coined a slogan: “there is no hurry in Swaziland”. The culture is that of a relaxed environment and as long as people get paid at the end of the month, everything is in order. Senior management in the Ministry of Finance is aware of this culture and has decided to address the situation by formulating a three-year strategic plan. The strategic plan will encourage employees to work towards achieving set goals and objectives within a given period of time (Minutes of the Senior Staff Meeting, 2008).

The relaxed attitude of civil servants has also been noted by the country’s politicians and they are striving to do away with this culture in the public sector. In his policy statement in 2004 a senior government official mentioned that, “as this policy statement spells out the intention of government for the next three to five years, government will sharpen the public sector to ensure that service delivery is improved accordingly. It is imperative that civil servants increase their effective performance relative to cost. This will require a massive re-engineering and productivity improvement effort from the civil service (Prime Minister's Policy Statement, 2004).

The overly relaxed attitude also affects file circulation. File circulation takes a long time to complete because in most cases the officers concerned are either not at work or they do not see the need to rush the personal file to the Pensions Fund. This is exacerbated by the fact that there is no performance management system in place to evaluate officers' performance and set objectives to guide officers' behaviour. This culture has led to an environment where people are not motivated to work willingly and effectively and this has been alluded to by the National Development Plan (1989). It states that Swaziland is facing a deteriorating economic performance because the day-to-day management of the public sector is inadequate, thus the need to launch reforms to address these challenges.

***b) Dealing with leadership commitment***

Senior executives have to drive change initiatives in organisations and regularly communicate the reason for the change and the importance of its success. This is because if employees detect that an organisation's leadership is not backing a change initiative, they are unlikely to support that change. The message should be convincing, consistent and communicated over time. This sentiment came from a senior officer in the Ministry of Finance quoting Indira Gandhi: "Leadership at one point meant muscles, but today it means getting along with people. This involves arguments, debates and reaching a compromise" (Budget speech, 2008, p. 1).

Top management should also devote enough resources to change programmes. "It has been shown elsewhere that reforming civil service is not only a long-term activity but also requires significant resources. There is a need to have committed leadership and adequate resources for civil service reforms to succeed. Over and above that an effective resource mobilisation strategy is required" (Reform Projects under Swaziland's PSMP, 2000, p. 60).

It is encouraging to note that senior executives of the civil service in Swaziland are committed to change. The National Development Plan (1989) and the National

Development Strategy (1999) indicate that they are interested in improving the performance of the civil service through programmes like the PSMP. One of the projects under the PSMP is to undertake a capacity-building needs assessment of strategic leadership, other management and supervisory skills among senior public sector managers and supervisors (Proposal for Reform Projects under PSMP, 1999). Consequently, the PSMP's overriding objective is to raise the standards of performance and increase the efficiency and cost effectiveness of service delivery by the public sector (Ministry of Tourism and Environment, Management Audit Report, 1999, p. 2).

### 4.3.3 Summary

Change has to be driven by an organisation's leadership in order for it to succeed. Driving the change also means changing the culture that will be a hindrance to the change initiative presently in that organisation. This sentiment was reiterated by one of the directors in the ministry, who noted that if the Ministry of Finance is to improve its service delivery, the attitude of Finance Officers should also change. She said that "officers must stop thinking about benefits that will accrue to them and concentrate on being innovative and bring changes that will improve efficiency (conversation, 4 March 2008).

## 4.4 Dealing with Blockages to Change

The third research question is: how can the challenges to change be addressed? The findings investigate how the possible blockages to the new change management alternatives can be tackled.

### 4.4.1 Observations

***a) Organisational culture as a blockage to change***

Unfreezing an organisational culture, implementing change and refreezing the new culture is a difficult task. It calls for changing peoples' mindsets which can sometimes prove to be a task similar to pushing a big stone up a steep hill. The researcher has observed that implementing the management alternatives would be difficult. Exercises such as reviving the performance appraisal system by coupling it with a performance management technique such as the 360-degree feedback technique need a lot of determination from the personnel implementing the change because staff may resist the change.

It has been observed that there is an environment of mistrust between supervisors and subordinates and mistrust of the appraisal system itself. Revamping the appraisal system and introducing a new technique might require the involvement of external players. The above sentiment was echoed by the consultant who was facilitating the development of a strategic plan for the Ministry of Finance. He said, "now that the ministry has embarked on introducing changes in the way it was doing business, it is important that everybody in the ministry understands and supports the initiative" (contribution at the strategic planning initiative, 3 May 2008). He further stated that it should not be assumed that everyone will understand why the changes are being effected; it is therefore the duty of all heads of department to ensure that employees buy into the change initiative.

A senior officer in the Administration Department emphasised that senior staff members must "walk the talk", adding that "if heads of departments are to encourage subordinates to be professional, they must be exemplary by being professional to their subordinates and to the customers of the ministry" (contribution at the strategic plan session, 3 May 2008). She further pleaded with top management that performance measurement should begin with them before the instrument is used on subordinates.

***b) Lack of leadership commitment as a blockage to change***

What has been observed is that most human resources procedures fail if they are not supported by the organisational leaders. This has been evident with the appraisal system in the Ministry of Finance. Management views the appraisal as a waste of time and they do not want anything to do with it; all the other employees followed suit and avoided the procedure. Leaders not only coach the followers but they motivate them and also give them direction on how to realise the organisational vision.

Most initiatives which become successful are those that get full management support. For example, the HIV/AIDS workplace initiative which was launched in 2003 became a success in the ministry because it had full leadership support. A member of the HIV/AIDS committee declared that, "during the launch of the workplace wellness programme, managers forgot their busy schedules and showed their commitment by attending HIV/AIDS talks and they were also counselled and tested. When employees saw their leaders being tested, they flocked into the testing rooms to be tested" (conversation, 20 December 2007). The change management strategies could also be successful if leaders can show the same commitment they showed for the HIV/AIDS initiative.

A senior official in the Ministry of Finance in his speech when addressing senior staff members in Pigg's Peak stated that "the importance of leadership for the successful implementation of management changes can not be over-emphasised. This is necessary at every level of the ministry but very critical at the top level. Effective leadership and the ability to drive change across the whole organisation are of vital importance, hence in addition to their knowledge leaders need to have other personal attributes, capabilities and full commitment. New skills and attitudes therefore have to be developed in our leaders to drive and sustain change initiatives (opening speech, 2 May 2008). An officer in the Public Enterprises Unit shared the same sentiment when he said that, "it is important that we have both the Minister and the Principal Secretary when formulating the strategic plan because they are the ones who should guide us on how to work towards realising the vision they have in mind for the ministry" (conversation, 3 May 2008).

### 4.4.2 Documentary analysis

***a) Dealing with organisational culture as a blockage to change***

Organisational culture plays an important role in change management. This is because culture determines how decisions are made and who makes them in an organisation. Culture also determines how rewards are distributed, who is promoted, and how people are treated. Culture also determines how an organisation responds to its environment. In the Swaziland civil service, for instance, the trend is that officers are promoted according to seniority. The Civil Service Commission Regulations (1963, p. 11) state that promotion shall be based on qualifications, merit, conduct and seniority. The culture that persists in the public sector is that the commission places greater emphasis on seniority as opposed to the other factors to be considered when promoting. This culture contributes to civil servants being lax in their duties because they know that promotion is based on seniority and not on hard work.

In finding an effective way of doing away with cultures that render an organisation inefficient, there is a need for heads of departments to challenge and amend procedures and regulations that make change management initiatives difficult to be implemented. For example, the Audit Promotion's Committee promoted an officer who was second on the seniority list and left out the first senior officer because according to him, she was insubordinate and her performance has deteriorated over the years. The committee knows that the Civil Service Commission will take them to task for not promoting the officer who is at the top of the seniority list, but they are prepared to argue the fact that promotion should not be based on seniority alone but also on performance (Minutes of the Audit Promotions Board, 11 June 2008).

Another effective way of changing culture is to invite workers to participate in the change process. After realising that the environment in which HR officers in government were operating in was changing and there was a demand for strategic human resources, the Ministry of Public Service and Information organised a workshop for all HR officers in the public sector to deliberate on some of the issues affecting their service delivery. The aim of the workshop was to allow HR officers to analyse the environment they were operating in and review the demands that were being made by the environment (Report on the Capacity Building Workshop for the Human Resource Practitioners, 2008, p. 3). The officers were encouraged to look at the human resources systems and procedures that were being used in their departments and make recommendations on how systems that are outdated can be enhanced. This involvement of workers or officers who are not in senior management in decision-making gives them greater autonomy to change work procedures to improve organisational performance. In this way, employees embrace the change and support all the efforts directed to the change.

In the same workshop, a senior official in the Ministry of Public Service and Information stressed the fact that from time to time changes are made to General Orders and Circulars; thus HR practitioners must keep abreast of the changing times and the challenges faced by human resource management practitioners globally. He went on to stress the point that HR officers hold a strategic position in an organisation, so they should constantly interrogate if the current state of affairs can be changed for the better (Minister's Opening Speech at the Official Opening of the Capacity Building workshop for Human Resources Practitioners, 6 February 2008).

Introducing change without dealing with organisational culture first may lead to the failure of excellent change management initiatives. The government of Mauritius, for example, introduced a performance management system for its public sector in 2006. One of the challenges of implementing the system was organisational culture. A report presented at the Commonwealth Regional workshop in Botswana states that "if left unchecked, in spite of the introduction of the PMS, officers will continue to do business as usual. There is therefore the need for the creation of a new system of values and beliefs that will allow Ministries and Departments to perform with a new frame of mind. Officers tend to resist as they consider that their deeply held beliefs and values are being challenged" (Report on the Performance Management System in the Civil Service in Mauritius, 2007, pp. 9-10). From the experience of the Mauritian government it is clear that even the best reforms can fail if special attention is not paid to organisational culture.

***b) Dealing with lack of leadership commitment as a blockage to change***

Organisations cannot be managed effectively if their leaders lack the drive and commitment to transform them. A leader is not supposed to be removed from the people she or he is leading because they need constant guidance. A committed leader is one who will constantly analyse if she or he should lead from the front or from behind. After realising that Swaziland could not be transformed in the absence of a committed leadership, the government of Swaziland organised a workshop for Cabinet Ministers and Principal Secretaries on "Good Governance and Effective Public Service Delivery' to strengthen the capacity of top leadership in the country.

The workshop looked at ways of improving the interface between political and administrative leadership for the transformation of Swaziland and encouraging collaboration and teamwork among Cabinet Ministers and Principal Secretaries. This was aimed at promoting good governance, supporting public interests and sustaining socio-economic development (Report on Workshop for Cabinet Ministers and Permanent Secretaries in Swaziland, 2006, p.1). In the workshop it was agreed that one of the ways of improving the interface between political and administrative leadership was to have a methodology for arriving at national priorities and arriving at an agreement on how to translate the national vision into action. This is true for any organisation because a committed leadership should have a vision to transform the organisation and this vision should be communicated to all staff members.

Leadership can be a blockage to change if it is assumed that some of the powers vested in those in leadership will be compromised. Usually, change is the idea of a single person, therefore the first initiative towards successful change management is to ensure that the leaders are committed to the change. This can be accomplished during senior staff meetings and by the time the idea is sold to the workers, the leaders are “walking the talk”. For example, the idea to formulate a three-year strategic plan was the Principal Secretary’s idea and to ensure that all senior managers buy into that idea they agreed to spend a weekend away formulating the strategic plan with the help of an external consultant as a facilitator (Minutes of the Senior Staff Meeting, 2 April 2007).

Sometimes senior executives are reluctant to back initiatives because they bring about changes that may negatively affect employees’ jobs and lives. For example, change may mean that some workers could be laid off. However, management needs to find a way to communicate the change and make workers understand why the change must be initiated:.

> An inward-oriented strategy of reform often requires that hard and difficult choices be made, even when easy options are tempting. It necessitates substituting a new mind-set for the old. It demands that policy-makers and senior public service managers become incredibly proactive, innovative and entrepreneurial in their approach to contemporary and strategic issues (Governance and Public Sector Management Issues Paper, 1996, p. 24).

In some cases, while assistance to implement the strategies is sought from agents outside the organisation, leadership is crucial from the beginning of the change initiative.

### 4.4.3 Summary

The data collected through observation and documentary analysis has indicated that efficiency in the ministry is at its lowest because the HR department is still using outdated human resources management procedures and systems. Such inefficiency is mostly caused by the challenges described below.

The staff appraisal process is used as a mechanism for confirmations and promotions only, since it is used at the end of the probation period and when some officers are due for promotion. As a result the Ministry has been left without a tool to assess training needs and to examine the relevance of courses attended by the staff members.

The Ministry does not have a training department which will assess training needs adequately and also make a follow-up to assess if officers have benefited from courses attended. Issues on training are handled by the HR department which is overloaded with administration issues.

Employees do not consider skills development as personal development. When they show interest in attending a certain course it is because they want to take a break from their duties for a while. They will only understand the importance of personal development and acquiring the right skills for the job once performance measurement is carried out properly.

There is an indication that the ministry has not realised the necessity of skills development because it does not have a policy on skills development which can assist in assessing if staff members do possess the required skills to perform their duties effectively and efficiently.

## 4.5 Conclusion

The objective of the chapter has been to present data on the challenges faced by the HR department as a result of using outdated managerial systems. The chapter also presented data on potential alternatives that can be used to deal with the challenges.

The following chapter will analyse the data that was presented in this chapter and the findings of the study will be assessed against the framework that has been developed in Chapter Two.

# CHAPTER FIVE

# DATA ANALYSIS

## 5.1 Introduction

Data analysis in qualitative research involves reducing the volume of raw data, sifting significance from trivia, identifying fundamental patterns and constructing a framework for communicating the essence of what the data reveals (De Vos, Strydom, Fouche and Delport, 2005, p. 333). The objective of this chapter, therefore, is to transform the data that was presented in chapter four into findings. The analysis is also aimed at providing answers to the research questions. The analysis will be based on the information collected through observation, documents and through concepts and theoretical variables as discussed in chapter two. The data presented in chapter four was grouped into categories. The information in the larger category was represented in flowcharts and documentary analysis was used to cross-reference and enrich the data collected through observation. The findings will be presented qualitatively in a narrative form.

### 5.1.1 Record keeping

The data has indicated that record-keeping in the ministry is one of the aspects rendering the ministry inefficient. The filing system is outdated and as a result important documents are sometimes missing from the files. In some cases, the whole file goes missing with all the information. In addition, the current filing system makes it difficult to monitor the life of a file from the creation stage to when it is taken to the archives. The importance of monitoring the life of a file was stressed by the Director of National Archives who believes that record-keeping in the public sector falls short of the international record-keeping standards. Record-keeping ─ which includes filing ─ means keeping documents in a safe place and being able to find them easily and quickly (Toolbox, 2008, p. 1). The documents should be properly cared for so that they do not become torn, dirty or lost. Most importantly, documents need to be kept or filed for future reference because if they are not cared for, then it becomes difficult for organisations to account for all their organisational activities (Toolbox, 2008, p. 1).

The researcher contends that the efficiency of government ministries will continue to be compromised if the current record-keeping is not improved upon. The researcher acknowledges the fact that the National Archives department has undertaken a project to transfer all registries from MOPSI to the Ministry of Enterprise and Employment so that the life of a file can be monitored from its creation until it reaches the archives. This is a huge project and it involves the computerisation of all registries and the training of the registry staff on computers because some of them are not computer literate. The researcher feels that because of the size of the project it will take some time to complete but the process can be speeded up if all government departments provide the Archives department with all the assistance it needs. For example, departments should allow their registry staff to attend the training courses on record management and computers designed for them.

Apart from record-keeping, file circulation also causes challenges for HR officers. A senior official at the Pension Fund stated that

> we have improved service provision in our organisation. Instead of taking two months to process a gratuity, we now take three weeks. We have installed software which allows us to scan all the necessary documents into the computer and do the processing electronically instead of manually. We could even be faster if files from government would be forwarded to us electronically (conversation, 4 December 2007).

The researcher is of the view that the delays caused by file circulation in the payment of gratuities really frustrates former employees. The researcher argues that the Government Computer Department can assist in improving the system for file circulation so that the delay in the payment of gratuities is not on the government's side.

### 5.1.2 Performance appraisal

The research established that the performance appraisal system in the Ministry of Finance is no longer functional. Information gathered from conversations with one of the officers in the Budget Section concerning her failure to work overtime, and one of the personal secretaries who was uninterested in completing the appraisal form because she had not been promoted for a long time, displays that neither management nor their subordinates understand the function of the appraisal form. Armstrong (2006, p. 500) emphasises that in most organisations performance appraisal is perceived as a means of exercising managerial control. The appraisal tends to be backward-looking; concentrating on what has gone wrong rather than looking forward to future development needs.

When considering the appraisals in the ministry, it appears that the form is used to communicate what the subordinate has not achieved in the last twelve months without offering an opinion of how that employee could have performed the given task better. The researcher is of the view that this is because at the beginning of the appraisal period, the supervisor and the subordinate do not jointly set objectives and targets that are expected to be accomplished.

The research has also found that the appraisal form is used to punish subordinates. In addition to Armstrong's argument, Grote (2000, p. 2) asserts that performance appraisal in many organisations is a loose cannon which has turned the whole appraisal system into a painful annual exercise where the manager rates the performance of her or his subordinates over the past twelve months. The researcher has noted that the appraisal has moved from being a tool for personal development to a punitive instrument. There is still a lot of training to be done in terms of educating both subordinates and management about the importance of appraising or measuring one's performance.

The research has also established that managers in the Ministry of Finance have not yet realised that performance measurement, which in the case of the ministry is carried out through the appraisal system, is central to the organisation's functions. The report on the performance appraisal that was produced by the CSD consultant indicates that managers feel that the appraisal is not important because it does not form part of the normal work process; thus it is often rushed. Armstrong (2006) argues that managers feel that the appraisal does not form part of their normal duties because it is owned by the HR department. In contesting how managers view the appraisal, Grote (2000) asserts that performance appraisal can maximise human efforts and intellectual capital, provided it is directly tied to the organisation's strategic plan. The researcher noted that line managers view human resources duties as cumbersome. This was noted when mail arrived in the ministry and no-one was familiar with the content. Such mail is swiftly taken to the HR department for the officers there to establish what should be done with it, even if it is not a human resources issue. The argument is that if the appraisal and performance measurement as a whole continues to be viewed as an HR department's function, other line managers will always view it as an unimportant function and a waste of time.

### 5.1.3 Skills development

The research results have indicated that skills in the Ministry of Finance are not properly developed due to the lack of proper performance measurement. Du Toit (2008) defines skills development as the training and development that the employer provides to her or his employees in the work place. The researcher is of the view that even though the ministry trains its employees, it is not in a position to realise the true value of its intellectual capital because there is no instrument put in place to assess the skills that officers possess. Nahapiet and Ghoshal (1998, p. 245) argue in this regard that intellectual capital represents a valuable resource and a capability for action based in knowledge and knowing. In essence, the researcher contends that before finalising its strategic plan, it is wise for the ministry to know the capabilities it possesses in order to put them to full use.

The data has also indicated that in most cases officers in the Ministry of Finance attend courses that are irrelevant to their jobs because they either want a break from work or they are keen to visit the country where the course is offered. Gerber, *et al.*, (1998, p. 96) state that training should be given only if it is going to solve specific problems for the institution. Apart from solving specific problems for the institution, training also contributes towards the individual's personal development. The researcher argues that employees will continue to attend irrelevant courses as long as training needs assessment is not carried out in the ministry.

The training needs assessment exercise can best be carried out by both the supervisor and the subordinate. Nkosi (2000) argues that the exercise would help employees plan future personal development programmes and activities that would make them more effective in their job or that would help prepare them for advancement. The appraisal interview can assist in assessing training needs and this can be submitted to the HR department to be included in the ministry's training plan. The interview can also be used to evaluate if the individual benefited positively from previous training courses attended. This would be revealed when the supervisor and the subordinate are assessing if there has been any improvement in the subordinate's performance by comparing the current appraisal to the previous year's appraisal.

## 5.2 Blockages to Change

The findings established that the change management alternatives designed for the ministry cannot be implemented successfully unless an investigation into possible blockages is carried out. The results also indicate that possible blockages to the new change alternatives can stem from both personal and organisational blockages. Personal blockages pertain to individual-level resistance to change while organisational resistance on the other hand pertains to power struggles within the organization, mechanistic structure and organisational culture (Duffy, 1996, p. 211). From experiences of other organisations, the researcher has learnt that change initiatives can be rendered ineffective no matter how brilliant they are, if personal and organisational blockages are not dealt with before reaching the implementation stage.

The research found that individuals tend to resist change because they perceive that the change will result in them losing some of the privileges they were enjoying in the organisation. Jones (2007, p. 276) confirms this by pointing out that there is a general tendency for people to selectively perceive information that is consistent with their existing views of their organisations. This means that when change takes place, workers tend to focus only on how it will affect them personally or their division. People will definitely resist change if they feel insecure about what its outcome will be, and it could be helpful for the ministry to communicate the changes to all employees so that they are not taken by surprise. Communication means stating clearly what employees will lose and what they will gain from the changes to avoid speculation which may lead to power struggles.

Documents have demonstrated that organisational structures can also prove to be the cause of resistance to change. Mechanistic structures, for instance, tend to be resistant to change because they are characterised by a tall hierarchy and centralised decision-making (Jones, 2007, p. 275). The researcher believes that introducing changes in a government department can be a very slow and painful exercise because of the bureaucratic nature of government. Even though factors like the mechanistic nature of the structure of government can be a blockage to change; those can be dealt with at a macro level. The researcher is adamant that if the leadership is committed to change and the organisational culture is dealt with, then it is possible to form the whole work force into a strong team which would later deal with other obstacles that may arise.

### 5.2.1 Organisational culture

The research has indicated that organisational culture plays an important role in determining the reception of any changes in an organisation. The data has shown that both the management and the junior officers are afraid to venture into the unknown and they have fallen into comfort zones. There are specific ways of doing business in the organisation. Employees have become accustomed to not being appraised and they attend courses that are irrelevant to their duties. The data has indicated that the organisation will not keep up with the ever changing environment if the employees in the ministry will not aggressively initiate managerial changes. Organisational culture refers to the personality of the organisation. It is comprised of the assumptions, values, norms and tangible signs of organisation members and their behaviour (McNamara, 2008, p.1). Jones (2007) advances the same sentiment by stating that sometimes values and norms are so strong that even when the environment is changing and it is clear that a new strategy needs to be adopted, managers cannot change because they are committed to the way they currently do business.

The research has shown that it seems to be the culture of the organisation that officers attend training courses and thereafter the impact of the course on the individual is not evaluated. McClelland (2002, p. 12) loosely defines training as an activity that changes people's behaviour. He also stresses the point that training is not only essential to increase productivity but also to motivate and inspire workers by letting them know how important their jobs are and giving them all the information they need to perform those jobs. The researcher is of the view that the training offered by the ministry to its staff members does not add much value to the organisation itself or to the personal development of the employees. Even if it does, it is difficult to ascertain as there is no evaluation carried out to determine whether officers benefit from the courses.

Failure to respond to the changing environment is yet another culture that persists in the ministry. The filing system is a good example of this culture. Even though information technology has advanced greatly, the ministry is still using steel filing cabinets and employees' personal information is stored in hard files. Leave forms and appraisal forms are still completed on paper and not electronically. Consequently, the ministry is aware that it is on the far side of the digital divide, but no actions are taken to close the technological chasm. Blau (2001) states that information technology can unleash great potential for organisations if they can only gain access to the latest and best tools. The researcher urges the ministry to employ the services of the government Computer Department to obtain the best IT software in order to close the IT chasm that has been created.

### 5.2.2 Leadership commitment

The research indicates that lack of leadership commitment can be another blockage to change. The data has presented the fact that most senior managers in the ministry are comfortable with maintaining the status quo that exists in the ministry; thus they do not seem to comprehend the need or the urgency for change. This is because most of these managers are members of private sector boards of directors but they do not copy any of the managerial procedures that are practiced in these organisations. It is true that the structure of government may not allow these procedures to be imported but some of these procedures can be changed and tailor-made to suit the structure of government. This is confirmed by Ford (2008) who aptly argues that a passionate commitment is not simply a strong “want” for some result or object but rather a strong, even a demanding stand that a “could be” be brought into existence.

Therefore, leadership does not depend on power and authority but on whether one is willing to speak out for what is possible and to live with the consequences of that speaking (Critical Path Consultants, 2008, p. 1). The researcher is of the view that the ministry is not likely to suffer from this blockage because the drivers of change in the ministry (which are the Minister and the Principal Secretary) are committed to change. This has been evident in their move to formulate a three-year strategic plan which also involved revisiting the ministry’s mission and vision.

With the formulation of the strategic plan, the researcher feels that the other senior managers who are still keen on maintaining the status quo will buy into change initiatives because each department has to give a report on the progress they have made towards reaching the targets set in the strategic plan.

## 5.3 Conclusion

The chapter has presented an analysis of the information collected through observation and documentary analysis. The literature in chapter two was also used to interface with the findings of the research. The central theme of the analysis is that the Ministry of Finance in general and the HR department in particular is not as efficient as many stakeholders would like it to be. This is in part caused by using outdated managerial procedures and also by the mechanistic structure of government.

The findings show that performance measurement is an important aspect of any organisation. Measuring performance indicates the skills that are lacking in an organisation and it also sets targets and objectives for employees. From the research it can be deduced that even though the appraisal system is still in place in the ministry it is hardly used. There is a request for a performance measurement technique to be coupled with the appraisal form. The findings also show that without a sound performance management system, training needs assessment cannot be effectively carried out in the ministry. Training needs assessment is important because in some instances, training needs are not very obvious. Even if training needs may appear to be obvious, still there is a need to choose appropriate methods that will meet them.

Consequently, in the absence of a training needs assessment exercise, skills development will remain an unobtainable dream in the ministry. The findings also show that change should be properly managed in order for it to produce desirable results. Proper change management calls for anticipating blockages which can be a stumbling block to the new management strategies. The next chapter presents the conclusion and recommendations of the study as a whole.

# CHAPTER SIX

# CONCLUSION AND RECOMMENDATIONS

## 6.1 Introduction

The study's objective has been to investigate why, after thirty-nine years of independence, government departments and the Ministry of Finance in particular are still characterised by poor quality services and inefficiency. The interest was to examine the importance of changing the systems and procedures of the HR departments such that they keep up with current managerial systems.

The purpose of the study was to explore alternatives of initiating reforms in the HR department within the Ministry of Finance through change management procedures. It focused on three key areas which are filing, performance appraisal and skills development. The aim was to find management alternatives that can be proposed to individual government ministries to use in order to bring about change in their procedures while waiting for the implementation of reforms initiated by the Ministry of Public Service and Information.

The study first outlined the challenges faced by the ministry following the use of outdated procedures and systems. It further went on to propose alternatives that can be employed to deal with these challenges. Following the alternatives, the study investigated possible blockages that can be a hindrance to the new alternatives and further suggested solutions to the possible blockages. All this was done in a quest to respond to the following research questions:

a) What alternatives can be developed to bring about change in procedures of dealing with personnel information, performance measurement and skills development in the HR department?

b) What are potential barriers to implementing these changes?

c) How can the challenges be resolved?

This chapter provides a conclusion on the research objective and subsequently the study as a whole. Based on the findings, the study also provides recommendations that can be used by the Ministry of Finance to improve its managerial systems and procedures. The recommendations assess how the HR department especially can close the efficiency chasm existing between it and its private sector counterparts.

## 6.2 Conclusion

### 6.2.1 Filing system

Findings show that the civil service in Swaziland is characterised by gross inefficiency, poor service delivery and poor human resource practices, leading to its inadequate performance. These problems have directly led to the launch of the PSMP which unfortunately has not yet been implemented twelve years after its launch. This failure of the PSMP to take off has led to the further deterioration of the human resource practices.

It was observed that the current system of record-keeping is outdated. Technology has improved immensely but the department has not improved its record-keeping system in order to keep up with the shifting environment of high technology. The current record-keeping system is rendering the department inefficient because it has been observed that documents in hard files get lost and it usually takes a long time to retrieve information from hard files. It is also not easy to share information if it stored in hard files.

It was also observed that processing gratuities takes longer than it should. This stems from the fact that often when files are circulated they get lost, documents go missing from files or the officers who are supposed to circulate the files are too busy and they cannot move from one department to the other processing it. This delay frustrates the individual who no longer gets a salary but relies on the gratuity and the pension pay.

### 6.2.2 Performance appraisal

It was discovered that the ministry is functioning without measuring the performance of its staff members. This has led to problems of stagnation and gross inefficiency. The absence of a performance measurement tool has also deprived employees of personal development because they attend courses just for the sake of attending without examining if that course would contribute to their personal development and to better productivity.

It was observed that the disuse of the appraisal form is mainly attributed to staff attitudes. Supervisors view the appraisal exercise as a waste of time as they do not see it directly impacting on their jobs. To them appraisal is an HR function which they should not be bothered with. Subordinates on the other hand are aware that the form is usually rushed and it does not reflect the real effort they put into their work. As a result, they are wary of being appraised and both supervisors and subordinates are comfortable with the absence of a performance measurement instrument.

### 6.2.3 Skills development

The findings have indicated that the lack of a performance measurement instrument directly impacts on skills development in the ministry. Training needs assessment is essential to determine the skills that are in short supply in an organisation and this exercise is adequately carried out during the appraisal interview. Following the disuse of the appraisal system the ministry no longer possesses a technique or evaluation criteria to examine if the courses that employees attend are relevant to their duties.

Another challenge with skills development is that the ministry does not have an organisational skills development policy; furthermore, the country does not have a national skills development policy in place yet, which would assist in laying down the regulatory framework for skills assessment and training.

A broad conclusion can be drawn that government HR departments are lagging behind on human resource procedures as a result of using outdated managerial procedures. This is largely because the structure of government is not one that responds easily to change and most of the senior managers in government are interested in maintaining the status quo. However, the Minister of Finance and the Principal Secretary are committed to change and it is believed that with such leadership the Ministry of Finance will improve its efficiency and service delivery.

Furthermore, it has been noted that the organisational culture that exists in government departments is one of relaxation such that a slogan has been coined: "there is no hurry in Swaziland". Be that as it may, the country's leadership is striving to transform the public sector to be amongst the best civil services in the region. This is evident in the vision of the National Development Strategy which was promulgated in 1997: "By the year 2022, the Kingdom of Swaziland will be in the top 10 per cent of the medium human development group of countries founded on sustainable economic development, social justice and political stability" (National Development Strategy, 1997, p. 1).

### 6.3 Recommendations

The following recommendations and conclusions are proposed, based on the research findings.

#### 6.3.1 Electronic filing system

Since the filing system in the ministry is outdated, this research recommends that the ministry acquire an electronic filing system commonly known as an e-filing system. This system entails the transmission of information to departments via e-mail. The research recommends this kind of filing system because it can speed up the circulation of personal files to the Pension Department. Many documents can be e-filed and sending them to the different government departments and finally to the Pension Fund can be quicker and easier. E-filing can enable the stored information to be easily accessible to the people who need to access that information as Tobin (1998) states that IT knowledge networks ensure that knowledge and information are readily accessible, understandable and retrievable.

Even though it is expensive to purchase the e-filing specialist software packages, the advantages of having such a system far outweigh the cost of purchasing it. According to Fosmire (2000, p. 1) an e-filing system which is properly designed will allow authorised persons immediate access to the files as soon as they are on the system. In the case of the Ministry of Finance, e-filing would allow the check-list which accompanies the personal file to the Pension Fund to be circulated in different government departments simultaneously, thus reducing the circulation time tremendously. Another advantage is that when a file is circulated to other government departments the original one will still remain in the e-filing system. This would ensure the safety of the file, unlike in the current situation where the original file is circulated and should it go missing, all the vital information is lost.

### 6.3.2 The use of a multi performance measurement instrument

Since no one rating technique can meet all the needs for performance measurement, it is recommended that the ministry's performance appraisal system be combined with the 360 degree feedback technique which will define goals and the outputs needed to achieve those goals. It also ensures the commitment of individuals to achieve those outputs and monitors outcomes (Curtis, 1999, p.260).

The researcher is of the view that the abovementioned performance management technique can provide employees with the feedback they need in order to improve their performance. Individuals get feedback from management, subordinates, peers and where possible from customers. Such feedback helps the individual to get a clear indication of her or his performance as opposed to relying only on the ratings made by the immediate supervisor. If employees get feedback from different sources apart from the supervisor, they are likely to realise that the rating is a true reflection of how they perform, instead of thinking that the ratings are a result of a personal vendetta the supervisor has against that individual.

It would also be advisable for the whole staff to be trained on the importance of having their performance evaluated. This is where the importance of personal development can be stressed and it can be explained that performance measurement should not be viewed as a punishment. Once there is an understanding of why performance should be measured, then training on how the 360-degree feedback technique works should follow. It would be an added advantage to train all the employees to be computer literate because the 360-degree feedback technique mostly uses websites and e-mails.

A sound performance management system would enhance training needs assessment. It is recommended that both the supervisor and the subordinate embark on the exercise together so that they can both set objectives that would indicate whether the individual benefited from the training attended.

### 6.3.3 Training needs assessment

The findings show that the ministry does not possess an instrument for evaluating the skills present in the organisation. Officers sometimes attend courses that are not relevant to their duties and that do not contribute to either the organisational or individual development.

The research recommends that the Ministry of Finance sets up a training department to conduct proper training needs assessment and which will also improve skills development. The department can also be instrumental in monitoring if employees do benefit from the courses they attend and it would be the task of such a department to draft a skills development policy for the ministry which will be in line with the Draft National Skills Development Policy.

### 6.3.4 Strong leadership commitment

It is also a recommendation of this research that the ministry's leadership must take the initiative in introducing the change alternatives and they must "walk the talk" so that subordinates are encouraged to buy into the change initiative. Staff members need not be taken by surprise but they need to be told how they stand to benefit and what they will lose because of the change. Leadership commitment entails that managers should be seen to be at the forefront of the change management initiative and communicate the organisational vision, and also explain the strategies that would drive the organisation towards that vision. This communication, it is envisaged, will help deal with organisational culture which will, in turn, do away with individual resistance to change.

It is recommended that whilst the Ministry of Public Service and Information is still working on the implementation of the PSMP, government managers meanwhile should be prepared to introduce changes in their departments. This is necessitated by the fact that government departments can no longer afford to do business as usual given that the current environment calls for constant innovation and improvement.

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Computer Services Report for the Strategic Plan (May 2008)

Design, Pilot Testing and Finalization Document (2003)

Government General Orders (1973)

Governance and Public Sector Management Issues Paper (August 1996)

In-Service Training Policy of the Kingdom of Swaziland (February 2000)

Ministry of Tourism and Environment, Management Audit Report (1999)

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Minutes of the Training Officers Meeting (6 February 2008)

Minutes of the Senior Staff Meeting (2 April 2008)

Prime Minister's Policy Statement (2004)

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Proposal of Reform Projects under the PSMP (1999)

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Report on Capacity Building Workshop for Human Resource Practitioners (2008)

Report on the Performance Management System in the Civil Service in Mauritius (June 2007)

Report on the Performance Management System for the Swaziland Civil Service (June 2007)

Report on the Workshop for Cabinet Ministers and Permanent Secretaries in Swaziland (2006)

Situational Analysis of the Appraisal System Document (2003)

Speech Presented by Minister of Public Service and Information at the Capacity Building Workshop for Human Resources Management Practitioners (2008)

The Civil Service Commission (General) Regulations (1963)

The National Development Plan (1989/2002)

The National Development Strategy (1997)

# APPENDICES

## Appendix One

LETTER OF APPOINTMENT
GOVERNMENT OF SWAZILAND

Ref.: CSC/ CIVIL SERVICE COMMISSION
Date:
P.O Box 158
Mbabane
Sir/Madam,
Swaziland

1. I acknowledge your acceptance dated …………………………………...………..… your appointment as ………………… …………………………...………………..……..........Post No……………………………….
2. Have been passed medically fit, and your selection is therefore confirmed. You will be posted to the Ministry/Department of ...........................................................................................……………………..………
3. I attach hereto the following documents:
   (a) Next of kin form;
   (b) Official Secrets declaration form;
   (c) Income Tax form I.R.P.2.
4. Will you please complete the next of kin form and Official Secrets declaration, and hand these documents to your Head of Department.
5. The income Tax form should be forwarded through your Head of Department to the Accountant – General.
6. Your instructions for taking up your duties are as follows:
   (Head of Department please complete).

I am, Sir/Madam,
Your obedient Servant,

......................................................................................... FOR: EXECUTIVE SECRETARY
......................................................................................... CIVIL SERVICE COMMISSION

through........... ……………………………….................
(5)Copies to: Ministry/Department of ......................................................................……………………......

To: Accountant General
Auditor General
Principal Secretary, Public Service & Information P.F. No. ……

Secretary to the Cabinet
Secretary to the Civil Service Commission Employee No.: .................

The conditions applicable from the effective date of appointment are as follows:

| Appointment and Scale | Terms of Service (Probation/Contract etc.) | Head No. | Responsibility Centre | Basic Salary | Allowance (Contract Addition) | Incremental Date |
|---|---|---|---|---|---|---|
| | | | | | | |

I certify that this officer assumed duty on: ...........................................................................................................................

Date: ..................................................................... Signed: ………...........................................................................
For Officer responsible for expenditure

# PROMOTION LETTER

# GOVERNMENT OF SWAZILAND

# CIVIL SERVICE COMMISSION

Ref. CSC/
Date:

Sir / Madam

1. I am pleased to inform you that the Civil Service Commission, has approved your promotion to the grade of ..........................................in the post of ...................................………........... Post No.:......……...............
2. The effective date of your promotion will be .. ...............................................................................................
   And your salary from that date will be E..........…...................per annum in the Scale................................…
   Your new increment date will be .......................….........................................................................................
3. You will continue to be governed by General Orders and other regulations in force, or as may be amended from time to time / the terms of Agreement entered into between the Swaziland Government and yourself which is hereby varied to the extent set out in the foregoing paragraphs of this letter.
4. Graded Tax No. .......................................................................... (to be inserted by Ministry / Department)

I am, Sir/Madam

Your obedient Servant

EXECUTIVE
SECRETARY
CIVIL SERVICE
COMMISSION

through ...................................................................................................... (Present Ministry / Department)

(5) Copies to: Ministry/Department of ...........................................................................................................

P.F. No. .....

To: Accountant-General
Auditor General
Principal Secretary, Ministry of Public Service & Information
Secretary to the Cabinet
Secretary Civil Service Commission
The conditions applicable from the effective date of promotion are as follows:

| Appointment And Grade | Terms of Service (probation/contract etc) | Head No. | Responsibility Centre No. | Basic Salary | Allowance (Inducement Allowances | Incremental Date |
|---|---|---|---|---|---|---|
| | | | | | | |

I certify that this officer assumed duty in his new post on .........................................................................................................

Date:................................................................

Signed:................................................................

for Officer responsible for expenditure

# APPRAISAL FORM

## IN CONFIDENCE

## STAFF PERFORMANCE APPRAISAL REPORT

FOR THE PERIOD FROM...January 2004…………………………TO December 2004…

(i) The Officer should complete sections 1, 2, 3, (a) and 3(b).
(ii) The Reporting officer will normally be the Officer's immediate superior and the countersigning officer will normally be the immediate superior of the Reporting officer.
(iii) The basic purpose of the Staff Appraisal System is to access as comprehensively and objectively as possible, the Officer's performance in his present job, bearing in mind the basic requirements of that job. From this assessment information can be obtained regarding the Officer's potential for promotion addition, an accurate assessment provides a general guide to the Officer's potential for promotion.
(iv) Performance appraisal should be continuous and the Staff Performance Appraisal Report should reflect a series of incidents, achievements and failures (if any) over the whole review period.
(v) Once the Report has been completed in sections 1 to 3(b) by the Officer and sections 4 to 8 by the appraisal by the Reporting Officer should be recorded in section 9 as a second option.
(vi) The Appraisal Interview with the Officer should be held by the Reporting Officer and in the presence of the countersigning officer where possible or desirable.
**(vii) THE ADDITIONAL NOTES GIVEN AT SPECIFIC SECTIONS OF THE FORM SHOULD BE READ CAREFULLY BEFORE THE SECTION ARE COMPLTED**

Report on …………………… Staff Number…………………………………
(Names in full – Surname first)

Date of Birth: …………………………… Marital Status …………………………….

Ministry ……………………………………………Department/Branch ………………………

**1. SERVICE HISTORY** (enter present appointment first)

| POST HELD | FROM | TO | MINISTRY |
|---|---|---|---|
| | | | |

| | | | |
|---|---|---|---|
| | | | |

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**2.** **QUALIFICATION AND TRAINING RECORD**

| ACADEMIC PROFESSIONAL OR TECHNICAL QUALIFICATION (Underline any obtained during period of report) | TRAINING PROGRAMMES FOR COURSES / SEMINARS ATTENDED DURING PREVIOUS 5 YEARS | | |
|---|---|---|---|
| | Course | From | To |
| | | | |

(iv) PRESENT JOB

a. JOB TITLE… ……………………………………………………………………………..

b. JOB DESCRIPTION:

(i) A full account is required of the main duties and responsibilities of the job during the period of the report including specific mention of any objectives or targets assigned to the officer for achievement or action during under review

(iv) The duties and responsibilities should be clearly defined by the superior Officer and clearly understood by the Officer concerned at the beginning of the period to be covered by the report.

| ASPECT | RATING 'A' | A | B | C | D | E | F | RATING 'F' | COMMENTS |
|---|---|---|---|---|---|---|---|---|---|
| KNOWLEDGE OF THE JOB | Has through knowledge of all aspects of the job | | | | | | | Lack knowledge of the job. | |
| JUDGEMENT | Consistently sound in evaluating proposals and making decisions. | | | | | | | Judgment seldom sound | |
| MANAGEMENT OF STAFF | Organizes and inspires staff to give of their best. | | | | | | | Unable to obtain acceptable output from supporting staff. | |
| ACCEPTANCE OF RESPONSIBILITY | Seeks and readily accepts responsibility at all times | | | | | | | Reluctant to carry full responsibility | |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | of post: passes it on whenever possible | |
| INITIATIVE | Ready perceives what needs to be done and gets on with it in a practical manner, willing to devise a7 test new and constructive ideas | | | | | | | Needs constant direction or supervision; problems take him by surprise; few if any ideas for improvement | |
| COMMUNICATIONS<br><br>(i) ON PAPER<br><br><br>(ii) ORALLY | Always cogent, clear and well set out; understands the need to know<br><br>Points put across convincingly and concisely | | | | | | | Clumsy, obscure and incomplete;<br><br><br>Negative, Ineffective | |
| NEMERICAL ABILITY* | Handles and interprets figures with ease, accuracy and understanding | | | | | | | Has great difficulty with figures | |
| DRIVE AND DETERMINATION | Complete application to job, will see job through to the end and overcome all difficulties on the way | | | | | | | Little or no energy or real interest: put off by setbacks or opposition | |
| RELATIONS WITH OTHER PEOPLE<br>(i) with colleagues<br><br><br><br>(ii) with public | Sensitive to the feelings of other people; tactful and understanding of personal problems: commands respect | | | | | | | Intolerant of others, ignores or is insensitive to the feelings of others | |
| PROFESSIONAL OR TECHNICAL KNOWLEDGE * | Excellent grasp of up to date knowledge: Very competent in application of knowledge and skills | | | | | | | Displays serious gaps in knowledge: cannot apply knowledge and skills to good practical effect | |
| GENERAL CONDUCT | Friendly, co-operative, tactful and understanding | | | | | | | General unco-operative and insensitive of the feelings of others | |
| OVERALL ASSESSEMENT | Outstanding worker: thoroughly reliable in performance | | | | | | | Performance consistently below standard required | |

**3. Duties and Responsibilities**

**** see attachment for responsibilities and duties**

…………………………. ……………………………………………

Signature of Officer Signature of Reporting Officer

**4. ASPECTS OF PERFORMANCE**

(i) Separate assessments and comments are required to facilitate the appraisal of efficiency of performance, promotion potential and special abilities.

(ii) Each aspect below is described in terms of VERY GOOD (A) UNSATISFACTORY (D). The two intermediate ratings – (B) & (C) represent behavior between these extremes.

(iii) Where Rating (A) or (D) is given, it should be supported by specific instances.

(iv) Rating (B) means that while 'A' is not a generally description there are some tendencies in that direction.

Rating (C) means that while (D) is not a generally accurate description there are some tendencies towards rating 'D'.

**5. (a) ASSESSMENT OFT PERFORMANCE**

An assessment is required of the efficiency with which the Officer has performed the duties set out under 3(b) and the extent to which each of the set objectives and targets has been achieved. The assessment should give more weight to results achieved that to input of effort and provide as clear and full a picture as possible of the manner in which the work has been performed.

**(b) FACTORS WHICH HAVE INFLUENCED PERFORMANCE**

Comment on any factors, within or outside the officer's control which are known to, or which there is good reason to believe, have affected the officer's performance either favorably or adversely.

(6) Appraisal interview with the Officer: (After the salient points on the Officer's performance have been discussed with him, record any comments or explanations from the Officer which are pertinent to the appraisal of his performance).

Date of Discussion…………………………………..Signed………………
Reporting Officer

**7. TRAINING NEEDS**

(i) Is the Officer suited to and equipped in all respects for his present job? YES / NO
(ii) If the answer to 7 (i) is NO. Could his performance and potential be improved by training or re-training? If it could, please specify training needs.

(ii) If you consider the officer should be re-deployed what suggestions do you have in this respect?

**8. POTENTIAL FOR FURTHER ADVANCEMENT**

(i) Has the Officer in your opinion the potential for further advancement? YES / NO.
(ii) If the answer to 8 (i) is YES the state the job or job level he seems at present to be capable of reaching:
  (a) Within the next 3 years.
  (b) Long term

**(iii) If the answer to 8(i) is NO, then give reasons.**
**REPORTING OFFICER:**

Signature:……………………………………………………………………

Name in

Capitals:…………………………………………………………..

Designation:…………………………………………………………………

Date:………………………………………………………………………….

**9. COUNTERSIGNING OFFICER'S REMARKS**

**Name: …………………………………………………….**

**Designation: ……………………………………………**

**Signature………………………………………………..**

**Date: ……………………………………………………**