

https://dspace.org/

Implementation of the performance management policy of the Malawi civil service

Chidwala, Jevas Jafali

2014-03-18
http://hdl.handle.net10539/14185

Downloaded from a DSpace repository. https://dspace.org/

IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT POLICY OF THE MALAWI CIVIL SERVICE

Jevas Jafali Chidwala

A research report submitted to the Faculty of Commerce, Law and Management, University of the Witwatersrand, in partial fulfillment of the requirement for the degree of Master of Management in Public Policy

March, 2013

ABSTRACT

Implementation of the performance management policy for the Malawi has been held back by a number of factors. There have been indications that suggest that there were some problems resulting in differential implementation of the policy by government's ministries and departments.

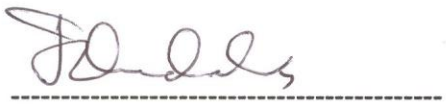
In this study the purpose was to find out the factors contributing to this non-implementation of the policy. The research question was; what factors are contributing to the implementation or non-implementation of the performance management policy for the Malawi Civil Service? The study used a qualitative research methodology and questionnaire administered interviews to collect data.

The main findings from the study was that implementation of the policy was being hampered because of the complex nature of the public service, absence of follow ups and management support, lack of consultations and motivation factors.

The conclusion drawn from the study is that the factors identified are manageable. Therefore, the Department of Public Service and Management and other concerned stakeholders can reflect on the issues revealed by this study, consult widely and put in place necessary mechanism that could ensure successful implementation not only of the performance management but other future polices as well.

DECLARATION

I declare that this research report is my own, unaided work. It is submitted in partial fulfillment of the requirements of the degree of Master of Management (in the field of Public Policy) in the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination in any other University



J.J. CHIDWALA

28 March, 2013

DEDICATION

To my lovely wife Doreen for her untiring love and support throughout period of study and when I was thousands of mile away from her,

To my son Upile

To Yusuf and Mercy for the support you rendered to me when I was in Johannesburg during the period of my study.

To all relatives and friends who encouraged me that YES I CAN!

ACKNOWLEDGEMENT

I would like to thank Allah for his guidance and blessings.

Special thanks to my supervisor Dr. Horacio Zandamela for the guidance.

To my sponsor, the Government of Malawi, for the financial support without which I could not have been able to enroll for this programme.

LIST OF ABBREVIATIONS

DHRMD	:	Department of Human Resource Management and Development
DPSM	:	Department of Public Service and Management
MoEPD	:	Ministry of Economic Planning and Development
MGCCD	:	Ministry of Gender, Children and Community Development
MoND	:	Ministry of National Defence
MoTWC	:	Ministry of Tourism, Wildlife and Culture
MPSR	:	Malawi Public Service Regulation
NPM	:	New Public Management
NSO	:	National Statistical Office
OPC	:	Office of the President and Cabinet
PM	:	Performance Management
PMS	:	Performance Management System

Table of Contents

Abstract I

Declaration ..... **Error! Bookmark not defined.**

Dedication IV

List of abbreviations VI

Table of Contents VII

CHAPTER ONE 1

INTRODUCTION 1

1.1. Introduction 1

1.2. Background 3

1.3. Brief country profile 5

1.4. Malawi Civil Service 5

1.5. Problem statement 6

1.6. Rationale 6

1.7. Research questions 8

1.8. Research Objectives 8

1.9. Proposition 8

1.10. Scope and nature of the research 9

1.11. Structure of the chapters 9

CHAPTER TWO 10

LITERATURE REVIEW 10

2. Introduction 10

2.1. Sources of literature 10

2.2. Definition of key concepts 11

2.2.1. Civil Service 11

2.2.2. Performance Management 11

2.2.3. Public policy 11

2.2.4. Policy implementation 12

2.2.5. Good governance 12

2.3. Genesis and purpose of performance management 12

2.4. Literature related to the region and Malawi's Performance Management 13

2.4.1. Political landscape of policy implementation 13
2.4.1.1. Political transition and policy implementation in Malawi 14
2.4.2. Externally initiated policies and reaction from Civil Servants 16
2.4.3. Nature of the Civil Service and the administration of Performance Management system 18
2.4.4. Management and leadership role in policy implementation 19
2.4.5. Earlier attempts to implement the performance contracting system in the Malawi Civil Service 22
2.5. Theoretical framework 24
2.5.1. Introduction 24
2.5.2. Choice of theory 24
2.5.2.1. Rational model (theory) of policy development 24
2.5.2.1.1. Why the rational approach? 26
2.5.2.2. Good governance 27
2.5.2.3. Governance and the Performance Management policy 28
2.5.3. Summary 29
CHAPTER THREE 31
RESEARCH METHODOLOGY 31
3. Introduction 31
3.1. The research design and purpose 31
3.2. The methodology 32
3.2.1. Data collection 32
3.2.1.1. Primary data 32
3.2.1.1.1. Interviews and questionnaires 32
3.2.1.1.2. Secondary analysis 33
3.2.2. Sample size and selection criteria 34
3.2.3. Method of data analysis 35
3.3. Reliability and validity of the study 36
3.4. Significance of the study 36
3.5. Limitations of the study 36
3.5.1. Ethical considerations 37
3.5.2. Availability of respondents and issues of confidentiality 38

3.5.3. Use of unstructured interview 38
3.6. Summary 39
CHAPTER FOUR 40
DATA PRESENTATION 40
4. Introduction 40
4.1. Profile of interviewed civil servants 40
4.2. Ministries where interviews were conducted or furnished with a questionnaire 41
4.3. Findings of the research 42
4.3.1. Awareness and knowledge of the policy 42
4.3.2. Purpose of Performance Management policy and reactions by Civil Servants on its introduction 42
4.3.3. State of implementation by the Ministries 43
4.3.4. General views on policy implementation process 45
4.3.5. Factors/challenges affecting the policy implementation process 46
4.3.6. On the question on whether they were other policies facing similar challenges or not 50
4.3.7. Challenges and opportunities 50
4.3.7.1. Challenges 50
4.3.7.2. Opportunities 51
4.3.8. How the challenges were being managed 52
4.3.9. Summary 52
CHAPTER FIVE 53
DATA ANALYSIS 53
5. Introduction 53
5.1. Method of agreement 53
5.2. Follow ups (monitoring) 54
5.3. Problem with externally initiated policy 55
5.4. Role of leadership and management 56
5.5. Multiple tasks and multiple masters 58
5.6. Absence of consultations 60
5.7. Resource availability and capacity building 61
5.8. Rewards and sanctions 62

5.9. Summary 64
CHAPTER SIX 65
CONCLUSION 65
6. Introduction 65
6.1. Summary of key study findings 65
7. RECOMMENDATIONS 67
REFERENCES 69
Appendices 73

CHAPTER ONE

INTRODUCTION

1.1. Introduction

This study was conducted to find out the factors contributing to the differential implementation of the Performance Management policy for the Malawi Civil Service. This is one of the policies which the Government of Malawi had introduced in an effort to revamp the Civil Service and improve on its service delivery. The launch of policy in March, 2008 and its subsequent introduction into the Civil Service in July of the same year created great expectations from the authorities, stakeholders and the general public. To the authorities this was one of the steps taken to ensure that the Civil Service 'delivers quality service to the public in an efficient, effective and responsive manner in order to satisfy national aspirations and promote the advancement of the people of Malawi' (Department of Public Service Management [DPSM], 2010). The general public's reaction might have been varied. Nonetheless, to realize the objectives of the policy, the aspirations of the Government and various expectations from the general public, entailed that Government Ministries and Departments had to swing into action in implementing the policy. However, a policy remains a mere document until it is put into use through implementation. This is a crucial stage in which the policy document is translated into action in order to bring out the desired state of affair in the medium and long term.

In this study, the interest was on the implementation of the Performance Management Policy for the Malawi Civil Service with particular focus on factors that were contributing to the partial implementation on one hand and the non-implementation of the policy on the other hand. It was the expectation of the policy developers and Government that all Ministries would implement it. However, observation by this researcher and findings from the study showed that

implementation of the policy was not progressing at the pace anticipated by the Government. In this report, the researcher presents the findings of the study which reveals that implementation of the policy by the various Ministries in the Malawi Civil Service was being hampered by quite a number of factors.

1.2. Background

In 2008 the Government of Malawi, through the DPSM, introduced the Performance Management Policy for the Civil Service with the view to "provide management with a system which can identify and monitor the efficiency and effectiveness of the Ministry or department and how efficiently the resources are being used and to what extent are the objectives being met" (DPSM, 2008).

According to DPSM, the Malawi Government had been implementing a number of performance management related measures in the past. These included the old confidential reporting system of the 1960's, public service reforms, performance related contracts of the early 2000 and the performance management policy of 2008.

The introduction of the current policy followed government's observation that the previous systems of appraising performance were suffering from what DPSM described as 'significance limitations'. Therefore, it was envisaged that the introduction of this policy and its consequent implementation would enable public servants in the Civil Service in particular and Government's Ministries in general to align their activities with that of the Ministries' objectives and by implication deliver the strategic outcomes of the Government outlined in its Malawi Growth and Development Strategy (MGDS). In other words, it was expected that it would make the Civil Service to be more efficient and effective.

The MGDS recognizes that an efficient and effective Civil Service is crucial to the attainment of the Government's strategic outcomes. With that in mind government had been implementing a number of reforms in the Civil Service to ensure that it would be able to achieve its vision 2020 which envisages a Malawi that will be 'secure, democratic mature, environmentally sustainable, self-reliant with equal for all and active participation by all, having social services, vibrant cultural and religious values and technologically driven middle-income economy (Ministry of Economic Planning and Development [MoEPD], 2009). Therefore, the Performance Management system was one of the reforms introduced to help Government realize

these aspirations by enhancing the Civil Service. It was also part of an attempt to remedy the inefficiencies of the Civil Service noted by the World Bank study of 1985 (Adamolekun, Kulemeka and Laleye, 1997). However, five years after its introduction there had been no reviews or studies conducted to determine the progress of the policy. From the look of things it appeared that the implementation was being hampered by a number of challenges. These were observations which could have remained mere speculations if no study was undertaken to verify them.

As a Civil Servant, the researcher had the privilege of serving in three of the Government's Ministries of Gender and Child Welfare, Tourism and Culture and Defence. Among the three institutions, only one Ministry showed its seriousness in implementing the Performance Management. It was a requirement for officers to develop work plans and sign a performance appraisal agreement forms. After every quarter, performance assessment exercises were supposed to take place. In those quarterly meetings, a supervisor and subordinate would discuss progress on what was agreed in the performance agreement and what targets had been achieved. This was not happening at the other ministries of Tourism and Defence. No performance agreement forms were signed. It was also evident that other members of staff were not following the contents of the Performance Management policy as directed by the Office of the President and Cabinet (OPC).

The situation was quite a contrast to the pomp that characterized the launch of the policy. There ought to be reasons or factors contributing to the lack of implementation of the policy in the Ministries. Therefore, the researcher viewed this as a problem worth investigating.

Before discussing the problem statement, a brief profile of Malawi and its Civil Service are highlighted to give the reader a geographical picture and contextual framework.

1.3. Brief country profile

Malawi was formerly known as Nyasaland before it gained its independence from the British in 1964. The name Malawi is a vernacular term which means flames of fire. The country is landlocked and situated in the southern part of Africa. The country is bordered by Tanzania in the north, Zambia in the west and Mozambique in the south and half of the western borderline. It has a population of 13,066,320 people according to the population and housing census conducted in 2008 (National Statistical Office [NSO], 2008).

Until 1974 Zomba, a town located in the south eastern part of the country, had been the capital of the colonial Malawi. It was later moved to the present capital Lilongwe, located in the central region, by the then president late Kamuzu Banda (Anders, 2009). Lilongwe is now the administrative and Capital City of Malawi. Headquarters of Ministries and the National Assembly are all located there. The current president, who is also the head of the Civil Service, is Joyce Banda. He ascended to the presidency following the sudden death of former president Bingu wa Mutharika on April 6, 2012.

1.4. Malawi Civil Service

In 1987 the Malawi Civil Service had a total establishment of 50,008 according to the report by Charles Msosa presented at the Civil Service Reform in Southern Africa workshop held in Tanzania 1998 (Kiragu, 1998). The Civil Service has been growing over the years following the change of systems of Government and in an effort to serve the public much better (Msosa in Kiragu, 1998). In 1993 the country moved from the one party system of Government to a multiparty democracy. Following that political transition, changes within the Civil Service were inevitable. The new political dispensation called forth for the re-alignment of some functions and the need for review of the establishment so that it was able to cope up with the new challenges in the democratic dispensation.

A 2003 report by the Department of Human Resources Management and Development (DHMRD) before it was renamed DPSM, titled *Identification of critical areas for capacity building in the public service,* revealed that the

approved establishment in the Civil Service had grown to 68,292 by 2003 (DHRMD, 2003). These are positions from the Professional Officer level and above. The figure could be higher if those below the Professional Officer level grade were to be included.

Despite its growing size the Malawi Civil Service had not been spared of criticisms of poor performance. As would be expected, the public and other critics have their own views on why the Civil Service under performs. Government on the other hand views that the various inefficiencies noted by the public could best be managed by instituting measures within the system that deal directly with specific challenges. The Performance Management policy is one of those measures developed to tackle a particular problem of inefficiency through staff and ministerial performance management. In additional to the Performance Management policy the Civil Service is guided by other Acts and Regulations which include the Malawi Public Service Regulations (MPSR), the Malawi Public Service Charter and other policies.

1.5. Problem statement

This research grapples with the problem of partial or non-implementation of the Performance Management policy by the various Ministries in the Malawi Civil Service. From the look of things and based on experience from three of the Ministries (Gender and Child Welfare, Tourism and Defence) that this researcher has served, it appeared that the policy was not getting the attention that it so deserves as some units were not implementing it. Indications showed that some Ministries and Departments, for reasons known to them, have not been implementing the Performance Management policy despite a directive from DPSM advising ministries of the same. The study investigated the perceptions of the Civil Servants, resources availability and other factors considered as vital to the implementation process.

1.6. Rationale

To ascertain the success of the Performance Management policy requires periodic monitoring of its progress. This would involve identifying factors that facilitate its

implementation or hinder its progress. Only through identification of challenges and opportunities and acting accordingly would Government make the best out of the initiative, that is to say achieve its objective of improving the efficiency of the Civil Service. The idea of the Performance Management may sound good considering what it intended to achieve in the end. However, when all that is known about the policy in question is its launch and subsequent introduction in the public institution and nothing about the progress on the ground, then questions begins to arise on whether the policy is on course to achieve its objectives. The fact that government moved from the open system of staff appraisal to a more open Performance Management system (DPSM, 2008) show how serious and committed it was to improve the situation in the Civil Service.

Before this study was conducted it was difficult, irrespective of the indication pointing to the contrary, to determine whether the policy was on track to meet its objective or not.

However, no study had been conducted to review progress of the Performance Management Policy. In the absence of any study it would have been difficult to ascertain whether the issues that the policy intended to address, especially on enhancing performance of the civil service, had been addressed. With the speculations that it was not being implemented one would be tempted to ask whether this was not another good government's policy doomed to gather dust on the shelves. In any case, considering the time and resources spent in developing such a policy to bring efficiency in the Civil Service and the fact that such system was being implemented either partially or not should be a cause for concern. Differential implementation of the policy render the whole idea of improving the efficiency of the Civil Service a futile endeavor since it cannot achieve the same expected results. Such a situation, if left unchecked, would leave the Civil Service prone to the same problems that have been responsible for it's under performance.

As it shall later be discussed, absence or unsatisfactory delivery of public service invites some good governance questions. Having conducted this study, it is possible to describe whether the introduction of the Performance Management policy in the

Malawi Civil Service has been a fruitful endeavor or not. Consequently, this study has attempted to answer the question highlighted in the next paragraph.

1.7. Research questions

The study sought to answer the following main question;

"What factors are contributing to the implementation or non-implementation of the performance management policy for the Malawi Civil Service?"

In addition to the main question, the study has endeavored to respond to the following supplementary questions;

- What are the perceptions of the civil servants on the Performance Management policy?
- What challenges (or opportunities) are being encountered while implementing the policy?
- What should have been done to ensure successful implementation of the policy?

1.8. Research Objectives

With regard to the aims, the study hoped to achieve the following objective;

Find out the factors leading to the differential implementation of the policy by Ministries (government institutions) and how this was affecting the attainment of the policy's goals and improvement of the institution's efficiency.

1.9. Proposition

The objective for introducing the performance management policy was to improve efficiency in the Civil Service. The framers of the policy and perhaps the department spearheading the implementation of the policy (DPSM) assumed that once the Ministries were oriented on the policy goals and issued with the instruction to implement then things would proceed as directed. This may not always be the case. This study holds a different view which forms this research's proposition. Therefore, the research's proposition is that "Implementation of a policy in the Civil Service is

affected by institutional bureaucracy, motivation, resource availability, enforcement and attitude of the various actors that are involved".

1.10. Scope and nature of the research

The research focused on the implementation of the performance Management policy for the Malawi Civil Service since its inception in June 2008. The study covered eight ministries within the Civil Service where data was collected. Much as the issue of performance management concerns human resource management and development, the approach taken by this research is to treat the Performance Management policy for the Malawi Civil Service as a policy issue and not necessarily as a human resources issue. In brief this was a public policy and institutional analysis study.

1.11. Structure of the chapters

In the next chapters the report will proceed as follows;

Chapter two will discuss the literature and the theories used to interpret the research data. It discusses the two theories of rational model and the good governance concept. The chapter further makes the justification for selecting the theories used to analyze the research problem and interpret data.

Chapter three deal with the research design and methodology. In this chapter the researcher gives a description of the research design and data collection tools used. Furthermore, it explains the reasons for choosing the design and tools employed in the study.

Chapter four presents the data from the research. Chapter five analyses the data using the selected theories and further linking it to the literature reviewed.

Finally, chapter six makes some conclusion and offers a recommendation. It gives a summary of the report and makes some recommendation for further research in areas deemed important to the successful implementation of the policy.

CHAPTER TWO

LITERATURE REVIEW

2. Introduction

This chapter reviews the literature on Performance Management as a public reform instrument in general and as a policy for the Malawi Civil Service in particular. It will trace the origin of Performance Management in the public service with particular focus on Malawi Civil Service and other regional public services, the efforts by donor countries to push for performance management related policy reforms especially in developing countries and Malawi in particular, its implication on implementation and attempts to implement the earlier performance contracting system in the Malawi Civil Service. The chapter further looks at the literature that analyzes the unique nature of the public service and the changes that the Malawi Civil Service has undergone over the past ten years or so with the view to understand the elements that could be central to the process of implementing the performance management policy. The chapter also analyses the two theories of rational approach and good governance. It concludes with a summary of the issues discussed and their implications on policy implementation.

2.1. Sources of literature

The literature has been drawn from a variety of sources which include books, academic journals, online articles, conference reports and newspaper articles. Efforts have been made to consult more recent literature. However, where the current literature was seen to be lacking some details the researcher was compelled to use literature from as far as 1969.

2.2. Definition of key concepts

Before embarking on review of the literature some of the key concepts that will be recurring in the course of the discussion are defined below.

2.2.1. Civil Service

For lack of a current definition of Civil Service, this study adopts the definition advanced by Adu (1969) who explains that *the Civil Service* comprises of all servants of the state other than holders of political, judicial offices who are employed in a civil capacity and whose remuneration is paid wholly and directly out of moneys voted by parliament (Adu, 1969:26). In this case, therefore, the Malawi Civil Service will refer to the institutions (ministries) and its staff (civil servants) which are run and paid for, respectively, by funds approved by the national assembly. Examples of the institutions are Government's Ministries and Departments which constitute the Civil Service.

2.2.2. Performance Management

The term Performance Management is sometimes used interchangeably with the term performance measurement. In both cases their objective is often the same; to improve the performance of an organization according to Propper and Wilson (2003). For purposes of this study and to avoid contradicting the policy makers, the report has used the definition advanced by the policy document which defines performance management as a structured but flexible approach to improving the performance of employs and an organization as a whole (DPSM, 2008). In the course of the discussion and throughout this report Performance Management policy shall be used interchangeably with the term Performance Management system. The abbreviations PM and PMS will, sometimes, be used to refer to Performance Management policy and performance management system(s) respectively.

2.2.3. Public policy

The concept is explained under item 2.5.2.1 of the theoretical framework section.

2.2.4. Policy implementation

According to Gumede (2010:167) policy implementation is the action or combination of actions taken to carry out the agreed policy objectives or programme. Therefore, implementation of the performance management policy in this report refers to the combination of actions carried out by civil servants and/or ministries in the Malawi Civil Service in order to achieve the objectives spelt out in the policy's document.

2.2.5. Good governance

The concept is explained under item 2.5.2.2 of the theoretical framework.

2.3. Genesis and purpose of performance management

The concept of Performance Management (PM) is as old as the Second World War. Greiling (2006) explains that what is now called Performance Management started as performance measurement when the then Hoover Commission made recommendation to the New York Bureau Municipal Research in 1945 to "switch towards a performance based management (Greiling, 2006). The concept was later absorbed into the New Public Management (NPM) system whose "focus *was* on outcome measures" (Greiling, 2006). The author observes that the use of the concept in the public sector had sparked debate with some expressing skepticism over its applicability and ability to achieve results while others advocating for its implementation in the public sector argues that "what's gets measured get done *and that* if you don't measure results you cannot tell from the failures" (Greiling, 2006). However, he does not explain how the system could be applied in the public sector to achieve the expected results. Nevertheless, he offers some advice on the need for further research to explore the factors for the non-response.

Writing from an empirical point of view, Propper and Wilson (2003) notes that performance management, a concept popularized by the 'reinventing Government movement' of the 1980's, was increasingly being used in the public sector. In examining its use and applicability the two authors points out to some special features of the public sector that they say ought to be taken into account when

considering implementing PM. They observe that in the public sector, officials are under the obligation and pressure to serve more than one master who includes users of the services, tax payers and even politicians. They explain that this aspect is further compounded by the second feature in which the officials are expected to achieve several outcomes hence subjected to multiple tasks which are often conflicting (Propper and Wilson, 2003). Based on this observation they see the application of PM in the public sector as presenting some challenges. The two authors base their analysis from empirical evidence in the United States of America and United Kingdom where they conducted their studies. In the following paragraphs the researcher looks at literature which relate the above observations to the Malawi's Civil Service situation.

2.4. Literature related to the region and Malawi's Performance Management

2.4.1. Political landscape of policy implementation

Politicians and management reformers have shown great interest to adopt Performance Management. McLennan (2007:5) argues that (African) public services are instruments of delivery but observes that these have been embeded in complex social economic and political network. While politicians and the management reformers' interest to make public sector embrace PM stems from the desire to see efficiency by advocating decentralized and deregulated decision making in public human resources management as observed by Condrey and Battaglio Jr (2009) it is argued that often the political networks define the boundaries of policy implementation and development (McLennan, 2007:5). Looking at how most public services operate in the African region one cannot but agree with the view expressed by McLennan (2007). Cases abound in which political networks support policies which, most often, advance party agendas at the expense of providing the neccesary services to the public. Indifferent of the objectives of the policies these actors often advance agendas that only serve their interest. Perhaps to understand this point it is necessary to look at the Malawi scenario.

2.4.1.1. Political transition and policy implementation in Malawi

Since the country attained its independence in 1964, there had been three administrations led by Presidents Kamuzu Banda (1964-1993), Bakili Muluzi (1994-2004) and Bingu wa Mutharika (2004-2012).

Anders (2006) describes how the Civil Service under Kamuzu Banda distinguished itself because of its honesty, hardworking and professionalism. Cammack and Kelsall (2011:90) attribute this character of the then Civil Service to the incorruptible personality of Kamuzu Banda who is reported to have emphasized that his 'main business was the maintenance of a stable government, an efficient, honest and incorruptible administration' (Cammack and Kelsall, 2011). He is also on record to have retaliated on the need for the separation of party politics and the business of the Civil Service. For that reason he advised his ministers not to interfere in the operations of the Civil Service. The description of this period is also shared by Anders (2002) who explains that under Kamuzu Banda the Civil Service was marked by professionalism. For example, he observes that because of his autocratic style of leadership there was no corruption in the Civil Service and that recruitment and promotions were based on one's qualifications and experience and not necessarily because of some political connections or relations with senior officers.

The above observation may sound irrelevant to the issue of performance management as a policy but the point is that these issues, insignificant as they may appear to be, have some bearing on the policy environment and consequent reaction from the actors who determines the pace of absorption of any policy or measures introduced. It is easy to fault Anders (2002) for making a conclusion of the state of the Civil Service based on few isolated cases but in this case he helps to provide some insight on the kind of environment before and after Kamuzu Banda that in our view could prove crucial in understanding the trends that the Civil Service has gone through

and which could impact on future policy implementation such as the Performance Management.

In later years (1980-1994) the landscape drastically changed with calls for more reforms especially from the donors and other development partners. According to Cammock and Kelsall (2011) interference of politics into the operations of the Civil Service increased and is reported to have 'demoralized and frightened the public service' leading to Civil Servants unable to offer their inputs to the president in matters of policy (Cammack and Kelsall, 2011: 90). The trend did not seem to end when the new leader took over the reign of power in 1994. Cammack and Kelsall (2011) explain that under the leadership of the first democratically elected president Bakili Muluzi the situation did not improve in the Civil Service. The discipline that characterized the Civil Service under Kamuzu Banda started to wane as new laws were introduced which limited the powers of senior officers and that by implication meant less authority over the management of their subordinates. This problem was compounded by the fact that technocrats in some ministries were replaced with the ruling party sympathizers who paid little attention to policy issues.

Cammock and Kelsall (2011) observation is valid. This style of governance left an indelible mark in the Civil Service which to date is affecting the manner in which civil servants approach their work. It had also created an organization culture within the institutions that is indifferent to abiding to regulations and relevant Acts.

The Performance Management policy was introduced under the presidency of Bingu wa Mutharika who ruled from 2004 to 2012. He endeavored to bring some sanity in the Civil Service by promoting 'discipline and accountability.' Quoting one public officer Cammock and Kelsall (2011) succinctly describes the atmosphere in the Civil Service during this period as generally motivating as the leadership took interest to study policy memos, debate policies with Civil Service officials and made sure that orders were being followed and

done correctly (Cammack and Kelsall, 2011:92). This was despite a turn of events in his final days of ruling when the economy plummeted; donors cut aid forcing government to introduce a zero deficit budget which in the process affected implementation of a number of activities in the Civil Service (Wroe, 2012:138).

Unlike in the private sector, the business of the Civil Service interact with politics in one way or another. This on its own present some challenges. However, as some critics argues, politicians are an important part of policy implementation process, especially in the public service. Their support and not necessarily intereference is needed to propel the implementation of the performance management in the Commonwealth countries (Commonwealth Secretariat, 2010). Dr Olowu, speaking at the 2008 Commonwealth Forum of African Public Service, observes that the support of the politicians should be complimented with changes in civil servants mindset, organization system structure and practices (Commonwealth Secretariat, 2010).

2.4.2. Externally initiated policies and reaction from Civil Servants

The Performance Management policy's document explains that Civil Servants were responsible for the development of the policy. However, the document does not state whether the idea to develop such a policy was borrowed or not. Elsewhere in the region and beyond, other public services were experimenting with the system as well. Propper and Wilson (2003) reports that the American government, through the Performance Results Act of 1993 directed federal departments to start implementing performance plans with measurable outputs in 1999. In the United Kingdom an equivalent of the Performance Management system in the public service began to be effected in the 1980's. Similar performance management policies have been utilized in countries like Zimbabwe, Uganda and Tanzania and South Africa. Unlike in South Africa, the introduction of the Performance Management systems in other African countries had been facilitated by foreign donor countries (Tambulasi, 2010). Despite Its effectiveness in Tanzania, he explains that foreign initiated policies have not been without problems during implementation. Experiences in countries where performance

related policies have been tried reveal the challenges they face in trying to fit into the otherwise different environment and commitment from the skeptical recipients.

It goes without saying that very often issues that could be crucial to the successful implementation to such policies are sometimes ignored. The outcome could be the adoption of the initiative but without its concomitant commitment from those supposed to implement it. That then led to partial or non-implementation of the same.

One would expect that after years of experimenting use of 'borrowed' policies a lesson ought to have been learnt that what works elsewhere may not necessarily work and achieve the same result in a different setting. However this trend appears to be on-going. Developing countries like Malawi that mostly rely on financial aid from rich countries fall in this trap. Polidano and Hulme (1999) observes that in Malawi it is unlikely that public sector reforms initiated by donors could be objected. They explain that "in Malawi civil servants avoid raising objections to donor financed initiatives becauses they do not want to be seen as blocking aid" (Polidano and Hulme, 1999:128). The unfortunate part of it is that such policies or reforms do not succeed because they lack ownership as observed by the two authors. This approach to policy reform impact negatively on implementation and ultimately the efforts to improve the Civil Service.

It is worth noting, at this point, that the origin of the policy, how it was developed and introduced has some implication in the implementation stage and ultimately the attainment of the objective. This will be briefly elaborated in the theory exposition. The PMS for the malawi Civil Service could be a product of civil servants but the possibility that there might be some external influence to introduce it cannot be ruled out. Given the fact that such was the case it is imperative to understand how this has affected the implementation. The findings from the research sheds some light on this.

2.4.3. Nature of the Civil Service and the administration of Performance Management system

The nature of the public service in general and the Civil Service in particular further complicates the task of performance management policy as observed by Propper and Wilson (2003). These unique features of the Civil Service are worth taking into consideration when implementing Performance Management related policies. The two explain that the public service is different from the private sector. It is distinguished by two special features namely; multiple bosses and a variety of outcomes to be achieved. The former entails that Civil Servants have a number of masters whom they attend to. They include recipients of public services, politicians, tax payers among others. The latter feature of the public services is a direct result of the first feature as the expectations of the various masters translate into outcomes which the Civil Servant must achieve in the end. As a consequence of the two features, Propper and Wilson (2003) argues that Civil Servants are forced to cope with two challenges; mutiple principals and multiple tasks which are not usually rewarded accordingly.

It goes without saying that the commitmnet that these Civil Servants can attach to the principes of the Performance Management system would not be the same as would be expected by government or their counterparts in the private sector who are paid generously according to work performed. This is indeed a challenge in the Civil Service. Civil Servants do a lot of other duties and get instructions from many supervisors which defeats the whole purpose of the Performance Management. The problem may not be by design but one created by other exigencies and chances are that they enventually end up being considered as normal as time goes by.

Grindle and Hilderbrand (1995) makes similar observation on the challenge to introduce Performance Mangagement system in the Civil Service. Drawing conclusion from the findings of the study that was conducted in six countries of Bolivia, Sri Lanka, Ghana, Central African Republic and Tanzania they explain

that Performance Management initiatives in the public service faces the challenge of grappling with the low salary levels, absence of unclear sanctions for deviant behaviour and rewards for good perfomance, inappropriate recruitment and irregular promotions among other challenges (Grindle and Hilderbrand, 1995:451).

Even though the study did not include malawi, the researcher was tempted to speculate that the Malawi Civil Service was not an exemption when it comes to these challenges if the news paper reports of recent Civil Servants strikes are anything to go by. Recently, Malawi Civil Servants downed tools demanding government to raise their salaries which are on the low side compared to their collegues in the parastatals and the private sector (Pemba, 2013, March 4 and Thom and Msiska, 2013, February 20). This was not the only time that Civil Servants had demanded pay rise or threatened to down tools. A Commision of Inquiry set up in 1995 by the Government was instituted to look into Civil Service conditions of service following pressure from the Civil Service Trade Unions (Adamolekun, Kulemeka and Laleye, 1997:215). These are some of the things which if ignored could have a direct impact on policy implementation. Their demands and threats came because they considered that what they were getting was not reflecting the amount of work that they do hence demanded salary harmonization (Chapulapula and Nyirenda, 2012, January 15).

Coupled with 'multiple masters and multiple tasks' features which characterize the Public Service and in particular the Civil Service, it is possible to speculate that the path through which this Perfomance Management policy is passing through is not as smooth as envisaged by Government. This speculation may remain unfounded truth hence it was necessary to verify it through this research.

2.4.4. Management and leadership role in policy implementation

Successful implementation of a particular policy requires that managers play their part in ensuring that those being supervised carry out their duties as stipulated in their job descriptions. While in most cases the blame goes to the subordinates for under performance, managers may also share the blame for the manner in

which they handle things. In the Performance Management policy/system, it is stated that both the supervisor (manager) and the supervised (subordinate) have roles and must constantly engage each other to ensure progress on agreed targets. Therefore, the supervisor must lead as well as manage the process in order to make things happen. Both leadership and management are needed in an institution like the Civil Service if things are to move on. The policy document gives that mandate to heads of Ministries to enforce the implementation in their workplaces. It states that 'heads of departments must make sure that all employs have developed their work plans and that supervisors submit appraisal reports on time' (DPSM, 2008:11).

In the same vein Kotter (1990), explains that managers must set timetables, allocate resources, establish rules and procedures develop incentives, solve problems when they occur and take corrective action when things go wrong. The performance management policy would be futile endeavours if, for example, resources are not allocated to officers to carry out their tasks and no mechanisms are put in place to manage conflicts that may arise in the process. This is the management challenge that implementers of the policy must brace themselves for. The need for good management in PMS implementation cannot be overemphasized. Indeed, 'management seeks order and stability in an institution' (Northouse, 2007:10). That order and stability could be crucial for the Malawi's PMS implementation.

On the other hand, mere allocation of resources and establishment of rules and procedures may not be enough to enable things to work. It was noted in earlier discussion that the adoption of some externally initiated policies did not actually succeed when introduced in Malawi Civil Service despite donors injecting a lot of funds and Government laying down procedures for carrying out the recommendations. Polidano (2001:344) points out at those reform initiatives in Africa, Malawi inclusive, have enjoyed huge funding from donors such as the World Bank but that did not translate into success in implementation. Likewise the performance contracting system which was one of the externally initiated policies to be implemented in Malawi did not succeed despite good funding and

proper management (Tambulasi, 2010). The point that can be drawn from these observations is that apart from good management, policy implementation requires that those above should instil a sense of direction and commitment on those below them. There is need for proper leadership. With the performance management system, leadership can be provided by a number of actors; the Department of Public Service management, the politicians, administrative heads of ministries and those supervising their subordinates and administering the performance agreements.

The series of orientation workshops which DPSM conducted prior to the introduction of the policy can be viewed as part of the process of providing leadership to the institutions in the Civil Service. The orientations established the direction which ministries had to follow. Northouse (2010) explains that leadership provide the vision, communicate the goals, seeks commitment, inspire and motivates people in order to produce the change and movement.

Civil servants are not used to the Performance Management system as Tambulasi (2010) and Polidano and Hulme (1999) alluded to. Therefore, they need to be constantly reminded on the objectives of the policy, what benefit they will get and how the institution was going to improve. In other words, it calls for good leadership that will inspire Civil Servants to be committed to the ideals of the system and work towards achieving the objectives. Kotter (1990) underscores the need for both management and leadership in organization such as the Civil Service if it is to succeed in its pursuit of delivering quality service to the public. The PMS also requires both good management and leadership for it to be successful. How have the leadership and management styles in the ministries helped to facilitate or prevent the implementation of the PMS? This aspect is analysed based on the research finding in subsequent chapters.

2.4.5. Earlier attempts to implement the performance contracting system in the Malawi Civil Service

Efforts to strengthen the Civil Service have been there since 1985. According to Adamolekun, *et al.,* (1997) the low performance in the Civil Service was noted in 1985 by the Review Commission. He reports that a study by the World Bank in 1991 revealed that among the reasons for the low performance in the Civil Service was poor definitions of responsibilities, failure to undertake program evaluation and poorly targeted training (Adamolekun, *et al.,* 1997). Following that a number of World Bank's supported measures were instituted to "address systematic management issues that constituted bottlenecks to efficiency and effectiveness in civil service" (Adamolekun, *et al.,* 1997:213). Prior to the introduction of the Performance Management policy, Governemnt of Malawi had implemented what was called the Performance Contracting. The targeted individuals for this perfomance were senior civil servants. In the performance contracting, Tambulasi (2010) explains that senior civil servants were given targets to achieve and that their performance would be measured in accordance with what they would achieve against the set targets. It is not the intention of this report to provide detailed information on how the system worked. The focus here is on how the implementation process of the policy proceeded.

To begin with, the Performance Contracting was one of the aspects of the New Public Management (NPM), a new approach to public administration which was popularized by the 're-inventing government movement of the 1980's (Propper and Wilson, 2003). Central to the aims of the NPM was a 'competitive government, infecting competion into the service delivery, enterprising government, earning rather than spending and market oriented government, leadership change through the market (Tambulasi, 2010:3). Advocates of this approach such as the World Bank and International Monetory Fund (IMF) urged nations especially developing countries to adopt the Performance Contracting system. According to Tambulasi (2010) these international financial lending institutions use this as one conditions for aid. Malawi Government was one of the countries that fell on this trap in return for continued aid. As noted by Polidano

and Hulme (1999) governments especially those from developing countries rarely objects reform proposals put forward by donors.

The Performance Contracting was also one of the donor funded initiative promoted in other countries as well by the World Bank and International Monetery Fund. However it proved to be a daunting task for the government to implement this system. Typical of many exterrnally initated policies, succesful implementation of the perfomance Contracting system 'relied on favourable country specific institutional context and conducive environment which were not available in Malawi Civil Service' (Tambulasi, 2010:9). Unfortunately, it is alleged that corruption in the Civil Service increased as a result of introducing Performance Contracting. In another article, *No keys opens every door,* the author explains how the NPM's perfomance contracting, adopted by the govenment then 'to help Ministries achieve their objective more effeciently' assumed that what worked elsewhere could be applicable to the Malawi's context. He therefore explains that it was not surprising that Government later abandoned the system.

Assuming that introduction of the Performance Management policy was not neccesitated by pressure exerterd by donors, it is possible from the above analysis to speculate that some of the issues that marred succesful implementation of ealier performance management related policies could have found its way into the current policy implementation process. It is possible that the performance management policy borrowed some aspects of the performance contracting or else that its implementation was being supported by external partners. How this could be true or false is clarified from the data collected from the interviews.

2.5. Theoretical framework

2.5.1. Introduction

This section discusses the two theories of rational model and good governance which have been selected to analyze the implementation of the policy. The section will further elaborate on the relevance of the two theories to the problem being investigated. Thereafter, a summary of the key issues discussed in the literature review will be provided.

2.5.2. Choice of theory

In natural sciences a single theory could be used to prove or disapprove a concept, commonly held view or an observation but as Anfara and Mertz (2006) explains a phenomena in social sciences can be looked at from 'multiple perspectives or lenses…and that each perspective could provide a reasoned and sensible explanation of the phenomena being studied' (Anfara and Mertz, 2006). The implementation of the Performance Management as a process and expression of desire is analyzed from two perspectives which form the study's theoretical base. The study has used two theories of *rational approach* to public policy formulation process and the concept of *good governance.*

2.5.2.1. Rational model (theory) of policy development

Public policy may be defined as the intention of the Government to do something but as Klein and Marmor (2006) argues such simplistic definitions are simple-minded opening gambit. For purposes of this study the definition by Gumede (2010) is adopted. He defines public policy as all formal and publicly known decision of governments that come about through predetermined channels in a particular administration (Gumede, 2010:166)

There are several models used in public policy making but according to Gumede (2010) the rational and the garbage-can models are the main once.

Their difference lies in the fact that rational approach follows some steps which include agenda setting, defining the issue, forecasting, setting the objective, implementation and finally monitoring. The garbage-can model, on the other hand, views organizations as 'organized anarchies" characterized by preferences, unclear technology and fluid participation and that policy making does not follow a linear approach' (Gumede, 2010). The rational model of policy decision making policy is based on the following comparative summarized steps;

According to Howlett and Ramesh (1995) in Howlett and Ramesh (2003), the rational approach comprises of the following steps;

Agenda setting – determinants and windows
Formulation – communities and networks
Decision making
Implementation – design and choice of policy instruments
Evaluation – analysis and learning

On the other hand Anderson (1997), views the following as necessary stages in the rational policy development;

Formation – problems, agenda and formulation
Adoption
Budgeting
Implementation
Impact – evaluation and change

Deleon in Sabatier (1999) provide a similar analysis of the steps which include;

Initiation
Estimation
Selection
Implementation
Evaluation

Termination

Source: Gumede (2010:170).

The common thread running through all the summarized stages by the above authors is that the rational approach to policy development involves;

- Identification of a problem
- Alternative strategies for dealing with a problem are explored and analyzed
- The consequences of each alternative strategy are determined
- Selection of the policy or strategy that best solves the problem at minimum cost (Carley, 1980 in Howlett and Ramesh, 2003:167).

2.5.2.1.1. Why the rational approach?

The selection of this model, as theory for this study, was based on the following understanding;

That the performance management, as a public policy, was necessitated by the need to address a particular challenge/problem within the Civil Service and that government, through the Department of Public Service Management came to a conclusion that of all the available alternative solutions to dealing with inefficiencies in the Civil Service, the implementation of performance management was the best approach. It explains;

> 'The design of the performance management system for the Malawi Civil Service addresses the shortcomings of the old system..which failed to measure the performance of employees..and did not form the basis for motivating employees towards improved performance and delivery of quality service to the public' (DPSM, 2008:16)

This is also the process followed in the rational approach whereby public policy decision making process marks a point in which a number of alternatives of dealing with a particular problem have been generated and their likely effects on the problems estimated…but one or a select few picked and readied for use (Howlett and Ramesh, 2003)

The study assumes that framers of the policy did not regard the Civil Service as "organized anarchy with no agreed and shared values" (Gumede, 2010:171) as posited by proponents of the garbage-can model. The Performance Management document makes clear of the policy's objectives in its policy statement and that it states the values to be upheld by the Civil Service.

Given the above explanation it is likely that a process similar to the rational approach was employed when developing the policy and also used when implementing it. Therefore it is fair, in this regard, that a similar approach be used in this study to assess its implementation. Positioning this study on this theory has allowed the researcher to make comparative and narrative analysis and furthermore explain the factors leading to partial or non-implementation of the Performance Management system.

2.5.2.2. Good governance

The term governance is defined by Mkandawire (2007) as 'the exercise of power to manage a nation's resources' (Mkandawire, 2007:679). Mkandawire's definition of governance does not state whether the exercise of that power in managing the nation's resources are used for good intentions or not. Using the same definition one cannot fault a leader, such as Adolf Hitler who used his country's resources to arm the German army and invade neighboring countries. In this case governance could be regarded as both good and bad. Governments worldwide have been either commended for good governance or condemned for bad governance. For example, for the past two years, Malawi Government had

been accused of bad governance for introducing repressive policies and impinging on human rights (Human Rights Watch, 2012).

To avoid the possibility of such interpretation the concept of governance, in this report, has been qualified. This study has approached the issue of governance with the lens of good governance. The concept qualifies as 'good governance' if it satisfies the following six dimensions of voice and external accountability; political stability and lack of violence, crime, and terrorism; government effectiveness; lack of regulatory burden; rule of law; control of corruption (Grindle, 2007:557) and when government provides its citizens a decent living and allows them full participation in the national affairs (Mkandawire, 2007:680).

2.5.2.3. Governance and the Performance Management policy

The aspects of good governance advanced by both Grindle (2007) and Mkandawire (2007) are in line with Malawi Government's definition of good governance which recognizes efficient public service as key to improved service delivery and citizens' participation (MoEPD, 2009). The Malawi Public Service Charter is also explicit on Government's commitment to values of good governance when it asserts that it will;

> *'deliver quality services to the public in an efficient, effective and responsive manner in order to satisfy national aspirations and promote the advancement of the people of Malawi' (DPSM, 2010).*

This is echoed by the Performance Management Policy for the Malawi Civil Service which recognizes the important role that an efficient 'civil service can play…in providing the highest quality public services to the people of Malawi' (DPSM, 2008).

Therefore it can be seen, in this context, that performance management for the Civil Service is not just a matter of motivating civil servants but is also a governance issue in which government through the Civil Service must

provide for its citizens. Success or failure of the policy means something on governance as it entails either an effective or ineffective Civil Service that is able to provide for its citizens or not. Therefore, the researcher considered it worthwhile that the problem be viewed from this perspective as well.

2.5.3. Summary

This chapter has reviewed literature on performance management and the two theories of rational model and good governance. From the above analysis, the following can be pointed out as the main issues;

That there is great interest in the Commonwealth states, the region and the world at large to revamp the civil services by introducing the performance management system,

The political landscape and leadership plays a significant role in facilitating implementation of the performance management and other policies,

That the political transition in Malawi and succession of different administrations has had their impact on how the civil service performed and responded to policy reforms,

That the public service in general and the Civil Service in particular is quite different from the private sector and that this in itself presents a challenge on the implementation of policies such as the Performance Management policy of the Malawi's Civil Service,

That the importation and imposition of foreign developed policies has some ramifications when wholly adopted and implemented in a different environment as was the case with the Performance Contracting system in the Malawi public service,

The literature further analysed the role of effective leadership and management and how the absence of the two could lead to undesirable consequences such as the non-implementation of a particular policy.

Finally the chapter discussed the two concepts of rational model of policy development and good governance. The two concepts were selected based on their perceived link to the objective of the Performance Management and the aspirations of the Government in providing for its citizens through proper policy reforms. In other words, the PMS is viewed as a product of a rational process of policy development while its objective is regarded as an attempt to contribute to good governance.

CHAPTER THREE

RESEARCH METHODOLOGY

3. Introduction

This chapter explains the design and research methodology used to help answer the research question. It explains the methodology, tools used to collect data and the distribution of the respondents. Attempts have been made to explain, though briefly, how the selected design and data collection tools are considered as appropriate for the research topic and why the tools selected are most suited to provide the data needed to answer the research question.

3.1. The research design and purpose

This research serves two purposes; exploring as well as explaining a phenomenon. Much as it has been seen in the literature review that a lot has been written on performance management, it is also a fact that the issues surrounding the implementation of the Malawi Civil Service's policy are not exhaustive especially on why Ministries were not implementing it. That being the case, the study undertook to explore this little known phenomenon by investigating the factors that were affecting the implementation of the policy. According to Neuman (2011) you explore when little is known about the issue being investigated. Furthermore, the study attempts to make sense of the findings by explaining the reasons for the differential implementation of the policy by the various sections of the Malawi Civil Service. In that case the research can be considered as explanatory as well.

3.2. The methodology

The study employed a qualitative research methodology since little was known about the ontology (reality) of the problem as earlier indicated in the literature review. The methodology had also been selected based on the understanding that civil servants, as subjects and as Plooy (2002) argues, are best suited to provide the insight of the social world of which they are part of. Furthermore, the study believed that reality (the implementation of the Performance Management policy) as observed by Plooy (2002) could best be described in terms of the meaning that they (Civil Servants) attach to experience rather than from generalization or some universally agreed laws as is the case in quantitative approach. In addition no study, known to this researcher, has so far been conducted to enable the establishment of parameters to examine. This being the case, the researcher agrees with (Creswell, 2002) who states that qualitative approach would be suited when one was trying to understand a concept or phenomena where little research has been done.

The introduction of Performance Management system in the Malawi Civil Service is a new phenomenon. It is a fact that similar system or policy was tried in the past by the Government but for reasons explained earlier the same was abandoned. Not much is known about the current system put in place. Needless to say, the partial and non-implementation of the policy speaks volume of the confusion that is there hence approaching the problem from the qualitative approach.

3.2.1. Data collection

The study used questionnaire administered interviews to obtain primary data for analysis.

3.2.1.1. Primary data

3.2.1.1.1. Interviews and questionnaires

The study has used interviews as a technique to get data. An interview according to Gubrium and Holstein (2002) in Marvast (2004) is a "way of generating empirical data about a social world by asking people to talk about their lives". Gubrium further explains that the responses to the

questions are recorded by making notes and ticking off a checklist. Because the study's aim was to explore the factors affecting implementation of the Perfomance Management, an unstructured interview (using a semi structured questionnaire) was used. This type of technique 'allows the interviewer to discover the respondendent's ideas, views, suggestions and queries…*and further* allows the respondent more freedom in responding his or her own word' (Plooy, 2002). The technique was selected because the study's aim was to explore the unknown by getting information from those that create the social world. The approach may be time consuming and that meant the researcher recording all that had been said. Nevertheless, the semi structured interview offered the opportunity to explore other important aspects which may have been overlooked in the questionnaire.

The researcher believed that the interview had the advantage of providing additional information which could not otherwise have been obtained if other techniques were to be used for this study.

3.2.1.1.2. Secondary analysis

The researcher had anticipated to use existing documents in addition to the interviews and questionnaires as sources of data for analysis. Of particular interest were academic journals and government documents which analyze the Malawi's Performance Management policy in particular. It was envisaged that the existing documents would act as a scaffolding to help build a data bank for analysis. By attempting to refer to the already available literature on Malawi's Performance Management policy, the researcher was trying to avoid re-inventing the wheel. While every effort was made to search for these relevant documents, on the internet and at the selected ministries, it turned out that they were either not available or do not simply exists. Neither the Malawi Public Service Charter nor the Malawi Growth and Development Strategy make mention of the performance management policy. Tambulasi (2010) in *'Critical perspectives of public sector reforms'* discuss the performance contracting

system and other public sector reforms that government introduced then. However these are different policies though they are similar. Therefore, this study has utilized data from the interviews and filled questionnaires.

3.2.2. Sample size and selection criteria

The study has used what is described as informants' method to select candidates for the interviews. An informant according to Babbie (2010) is a member of the group who can talk directly about the group (Babbie, 2010:195). A total of twelve (12) informants (civil servants) were expected to be interviewed or given questionnaires to fill in. In this case the researcher selected civil servants representing a particular cadre of profession, grade or ministry to discuss their views on the implementation of the Performance Management system. The selected respondents explained the state of implementation of the policy based on their experience, observation and knowledge. Using his judgment the researcher believes that the data presented by the informants represent the feelings or views of other members of the same rank or profession.

The study targeted administrators (who coordinate and oversees implementation of various activities in their ministries including policy direction), human resources personnel (responsible for human resource management and administration of the Performance Management system at ministerial and departmental level), professional and technical officers (who undertakes technical core tasks in their respective ministries) and clerical officers (responsible for providing supportive services). Selection of the possible candidates was done deliberately to include at least a representative of civil servants, targeted by the Performance Management policy, from all levels of the Civil Service hierarchy. The interviews and administration of questionnaires were conducted between 8th and 20th January, 2013 in Lilongwe, Malawi.

The Ministries selected for interviews and questionnaire administered interviews were the Ministries of National Defence (MoND), Elderly and

People with Disability, Gender, Children and Community Development (MGCCD), Economic Planning and Development, Tourism, Wildlife and Culture (MoTWC), Education, Science and Technology, Local Government, Health and Population. These were distributed as follows;

National Defence	2
Gender, Children and Community Development	2
Elderly, Disability and People with Disability	2
Tourism, Wildlife and Culture	2
Local Government	2
Education	1
Economic Planning and Development	1
Total number of respondents 12 (twelve)	

3.2.3. Method of data analysis

The research findings had been analyzed using a combination of two techniques; the method of agreement to identify common cause among different cases and the narrative analysis. Among its features the later technique according to Neuman (2011) involves subjects that act and make choices and this correspond with the sampling approach chosen for interviews. Using various tools the narrative analysis, according to Neuman (2011:524), can be used to describe social forces and explain why events occur as they do. The researcher has attempted to explain how an occurrence of one event (or factor) is dependent on another (dependency). In the analyis chapter it will be explained how one factor or event has affected the progress of putting in place the Performance Management system.

3.3. Reliability and validity of the study

According to Neuman (2011) reliability refers to the dependability or consistency of the data. The researcher used reliable sources (responsible civil servants holding different positions) to collect data and maintained consistency during all interviews. The same question guide attached in appendix B was used throughout the data collection exercise to ensure consistency.

3.4. Significance of the study

This study reveals the environment of the Performance Management policy through identification of the factors that influence its implementation. It explains the current situation which has been characterized by partial or non-implementation of what could have been a good initiative to improve the Civil Service. The researcher is not aware of any study conducted so far to investigate the factors hampering the successful implementation of the Performance Management policy.

The study goes an extra mile to provide would be researchers and interested individuals an insight into what drives the Civil Service institution to adopt a particular policy and how best authorities could approach issues of policy implementation. Thus it can act as a reference point. The study is not meant to provide solution on what works best to get an efficient civil service but offers valuable information on how the environment (internal or external) contributes to either the successful or unsuccessful implementation of the policy.

3.5. Limitations of the study

In any research exercise they are bound to be problems which if not well managed could affect the progress and quality of the research. Limitations on the other hand are issues that may slow or hinder progress of the research. A few limitations were noted before embarking on the research exercise as follows.

3.5.1. Ethical considerations

According to Neuman (2011:143) ethics is defined as what is or is not legitimate to do or what 'moral' research procedure involves. In carrying out this study, attention had been made to ensure that a code of ethics required in conducting research is adhered to. Among the ethical considerations observed by the researcher in the course of collecting data and writing this report includes desisting from research fraud such as plagiarism, seeking consent from the participants (respondents) before interviewing them and maintaining their confidentiality. An assurance was given that the information given would be used for academic purposes only. The names of the respondents who provided information during the interviews have not revealed in this report since they were not asked on whether they would want to have their names mentioned or not. Letters such as A, B, C and so on, have been used instead to refer to the respondents.

The researcher used the introductory letter attached in appendix A to introduce himself and assure the respondents that the study had been endorsed by the Department of Public and Development Management of the University of the Witwatersrand in Johannesburg.

On the issue of confidentiality, it should be pointed out that the policy was not a secret Government document at the time of conducting this study in January, 2013. The fact that the policy was launched in public on 12th March, 2008 parried fears that the study would be intruding into classified Government information. As a document that is also under public scrutiny, the researcher considered that seeking views on how it was being implemented would not pose as an ethical challenge. Nevertheless, he sought consent from the Ministries selected before conducting the interviews and collecting data.

3.5.2. Availability of respondents and issues of confidentiality

The data collection exercise was scheduled to be conducted early in January, 2013, immediately after the Christmas holiday. The challenge that was there was the availability of targeted respondents. Coming from the December festive holiday, the first thing that every civil servant should have thought of was to clear a backlog of work and not responding to some questions from a curious researcher. Nevertheless, the researcher used his skills and familiarity with some of the respondents and Ministries to schedule an interview and administer a questionnaire. Notices were sent either through e-mail, phone calls and visitation to book an appointment. This indeed helped as most of the contacted candidates indicated their availability on the proposed dates.

3.5.3. Use of unstructured interview

Unstructured interview presents its challenges by among other things putting pressure on the respondent to look good (Babbie, 2010:320) as it happens when the interviewer listens more and get fascinated with the respondent's stories and forgets the purpose of the interview. On the other hand, Bell (1999) shares Selltiz *et al.,* (1962) observation that 'interviewers are human beings and not machines hence there is danger of bias creeping into the interview (Bell, 1999:139). However, irrespective of the above weaknesses, the researcher believed that the (unstructured) interview was most suited for this study. Because unstructured interviews are interactive they allowed the researcher to get an insight into the state of implementation of the policy from the respondents through probing and hearing the respondents narrating their experiencing and knowledge of the system. The approach also allowed the respondents to describe what the prevailing situation (reality) meant to the future of the policy, their work and the institutions they work for. As Babbie (2010) pointed out, a reality could best be understood from the subjects' experiences that create their reality through the meanings they attach to issues. The researcher's view was that employing the unstructured interview technique

would allow him to obtain such information from the respondents. Therefore, it was logical to seek from them, through interviewing and not survey or experiment, what makes their social world i.e. policy environment.

Having served in the Civil Service, one may be tempted to speculate on why certain things were not going the way they were supposed to be. To avoid falling prey to this speculative syndrome, the researcher was challenged to take on board the advice from John Lofland, *et al.,* (2006) as quoted by (Babbie, 2010) who explains that a researcher should assume the role of 'the socially acceptable incompetent' or what he calls quintessential student role when interviewing by offering himself as someone who does not understand the situation he is in and so he must be helped to grasp what are even considered basic and obvious aspects of that situation' (Babbie, 2010:322). That is the stance that this researcher took when collecting data from the respondents who were interviewed.

3.6. Summary

In summary this chapter has discussed the following key issues; it explained the research design and methodology, the significance of the study, limitations and ethical considerations, the two instruments for collecting data, sampling and the method for data analysis used in the study.

CHAPTER FOUR

DATA PRESENTATION

4. Introduction

The main research question for this study was 'what factors are contributing to the implementation or non-implementation of the Performance Management policy for the Malawi Civil Service?' This chapter presents the data collected from the field based on the main and supplementary questions. This is raw data which was collected from various selected Government Ministries in Lilongwe, Malawi where the interviews were conducted and questionnaires administered. The chapter concludes with a summary of key issues presented.

4.1. Profile of interviewed civil servants

The respondents were both middle and senior managers in the Civil Service who are directly or indirectly involved in the implementation of the Performance Management Policy at different levels. The research targeted human resources personnel, administrators, and professional/technical and clerical officers. All these fall in the category of grade K to A and these are civil servants who were targeted in the performance management system according to the policy document. They were either supervisors (Heads of Departments or Sections) or the supervised (members of Staff serving as clerical and professional officers) in the Performance Management system; hence each has a role to play in the policy implementation process.

Therefore, the following cadre of civil servants were interviewed; administrators (Deputy Secretary, Under Secretary, Principal and Administrative Officers), Technical and Professional Officers (System Analysts, Economist and Curator), Clerical Officer (Office Superintendent and Registry Clerks), Human Resources Officers (Controller and Chief Human Resources Management and Development

Officer). The researcher did not interview any official from the Policy and Planning department of the Office of President and Cabinet since the study's focus was assessing the implementation of the policy in those institutions that actually implement the policy.

4.2. Ministries where interviews were conducted or furnished with a questionnaire

The ministries selected prior to the actual data collection were ten and these comprised of the following: Gender and Child Welfare, Tourism, Wildlife and Culture, Disability and People with Disability, Education and Defence. The mentioned Ministries were selected because of the priority that Government attaches to these sectors according to the Malawi Growth and Development Strategy document of 2009, the size of their establishments which has an implication on delivery of services and the experience the researcher had while serving in some of the Ministries mentioned.

The actual data collection exercise extended beyond the Ministries mentioned above. In addition to the earlier selected Ministries, interviews were also done at the Ministry of Health while additional questionnaires were sent to the Ministries of Local Government and Economic Planning and Development. This was done to collect as much information as possible and have a broader view of the state of implementation of the policy. It is the view of this researcher that data collected from these ministries presents a valid picture of the status of the Performance Management policy's implementation in the Civil Service. The following was the distribution of the interviews and questionnaires;

Ministries of Health (1 respondent), Disability (2), Tourism, Parks and Wildlife (2), Education, Science and Technology (1), Local Government (1), Defence (2), Gender and Child Welfare (1) and Economic Planning and Development (1).

4.3. Findings of the research

Presented below is data collected from the interviews and questionnaires.

4.3.1. Awareness and knowledge of the policy

All interviewed candidates indicated that they were aware that government, through the DPSM formerly Known as Department of Human Resources Management and Development, had introduced the Performance Management Policy for the Civil Service on 1st July, 2008. Six of the interviewed candidates indicated that they had attended the workshops which DPSM conducted to orient managers of the new policy between May and June 2008.

They further indicated that other members of staff in their respective ministries were also aware of the existence of the policy through in-house sensitization sessions and a Government circular that was issued directing Ministries to start implementing the policy.

4.3.2. Purpose of Performance Management policy and reactions by Civil Servants on its introduction

From what the respondents elaborated, the Performance Management system (PMS) was seen as a good policy compared to the earlier closed system of staff appraisal. They viewed PMS as serving three purposes;

Strategic purpose; this relates to linking employees activities with the organization's goals

Administrative purpose; the use of Performance Management information, for example performance appraisal, in various administrative decisions such as promotion and salary administration.

Developmental purpose; this focuses on development of employees to be effective in their jobs based on the feedback from the Performance Management process.

In their view, the respondents argued that the idea of the PMS was good and if well managed could improve things in the Civil Service. However, they noted that much focus was on serving the strategic purpose leaving the other aspects of providing administrative and developmental functions. Therefore, a respondent described it as a white elephant which lacked focus on issues of administrative and developmental purposes. He noted that government was not utilizing performance appraisal information for any purpose and wondered whether it was not introduced as a result of pressure from developmental partners.

On the other hand, some expressed skepticism on the success of the policy.

> "*Others fear that if managers were to be strict in enforcing it some may lose their jobs or demoted. The system can also be misused to settle scores. At the same time even if one works hard the system does not reward you. So what is the purpose of having it?" (Interview with respondent A, January 16, 2013).*

According to the respondents accepting change was a challenge in any social setting and the Civil Service was not an exemption. They explained that Civil Servants had a feeling that the system would fail because it 'did not have proper rewards and sanctions'. In another interview, one officer parried out the skepticism and pointed out that some Civil Servants misunderstood it and feared the unknown when the policy was introduced. All these perceptions impacted on the implementation process.

4.3.3. State of implementation by the Ministries

The responses to the question on how the ministries were implementing the policy were varied. The general observation among the interviewees with regard to the policy/system in question was that the Ministries' role was to ensure that the concerned officers in all departments and sections were filling the agreement forms at the start of every financial year and that they were being appraised on a quarterly basis and at the end of the financial year. However, this was rarely the case at the MGCCD. While the performance assessment forms were signed

by the concerned members of staff at the start of the financial year, it was rare for the supervisor and supervisee to meet and discuss performance against the agreed quarterly and annual targets as is required by the performance management policy.

In another interview a respondent, in the Department of Human Resources from the Ministry of Defence indicated that their Ministry was implementing the system through "staff sensitization" and that he was involved in the process by ensuring that performance assessment/agreement forms were signed by the concerned parties (the supervisor and those to be supervised. This contrast with the response given by a technical officer from the same Ministry who explained that since being transferred to his present duty station, (MoND), he had neither been made to sign Performance Agreement forms nor asked to submit appraisal form for staff under his supervision. Asked why, being a head of his section, he never made the effort to ask, he explained;

> *'...being a relatively new member of staff it was difficult to remind senior officers on what they were supposed to do' (interview with respondent B, January, 2013).*

A respondent from another Ministry, holding a senior position, acknowledged having signed a performance agreement form but did not make follow up since nobody seemed to bother.

The responses from other respondents mostly showed that the main efforts taken by the Ministries focused on briefing members of staff about the new system and its objectives, distributing the Performance Agreement forms and ensuring that members of staff signed them but that there was no follow up to see to it that it was being adhered to.

Another issue that came out from the various responses during the interviews was that while some ministries had briefed its members of staff about the Performance Management system nonetheless they were not being implemented. The absence of agreement forms in one respondent's personal file was indicative of the lack of follow up and enforcement of the policy. In additional the non-involvement of some senior officers in overseeing implementation process as was the case at MoTWC speaks volumes of the gap that exists.

4.3.4. General views on policy implementation process

The general view shared by those interviewed during the data collection exercise was that the policy implementation process was not going on well as expected. It was not as effective as was anticipated. In one instance the interviewee explained that Performance Agreement forms were distributed for signing but no targets were set by their supervisors. One respondent explained that;

> *"what I know so far is that since this policy was introduced at this Ministry forms were circulated for officers to fill in and that was supposed to be followed by quarterly and annual assessment with the supervisor but I don't remember to have heard that such assessment were done" (interview with respondent C, January, 2013).*

Consequently the forms were not filled and the situation has remained like that ever since. Another respondent explained that the system was almost abandoned at his Ministry. In some instances like the Ministry of Economic Planning and Development it was revealed that the only action taken by the institution, with regard to the implementation of the said policy, was the distribution of Performance Agreement forms. Its concomitant setting of targets and filling of forms was not done. In other Ministries, where the interview was done, showed that there was laxity on the part of those entrusted with the task of enforcing implementation of the system coupled with non-commitment to adhere to the directive by those to be supervised and assessed.

All in all, the picture presented by the interview responses depicts a situation in which effecting the policy in the Civil Service was proving to be a challenging task hence the partial or non-implementation of the process by the various units of the Civil Service. The reasons given for this state of affairs are listed in the proceeding paragraphs.

4.3.5. Factors/challenges affecting the policy implementation process

Respondents gave out various reasons as to what they thought were the factors affecting what should have been a smooth process of implementation. The reasons described below have not been attached to a particular Ministry in the Civil Service but suffice to say that interviewees responded to this question based on what they observed in their respective Ministries. Consequently the following were given as factors hampering the implementation of the Performance Management policy for the Malawi Civil Service;

- **Leadership and commitment**

  Lack of interest and commitment from those entrusted to administer the system/policy. There is so much laxity on the part of supervisors to enforce the system. One respondent explained that even at the DPSM where the issue of Performance Management originated it was not being implemented. They wondered how Ministries could implement a system whose leadership showed little interest. At Departmental level respondents revealed that most managers only advise their subordinates to fill the Performance Agreement forms but take no interest to make follow ups.

- **Resistance to change and fear of unknown**

  There is little or no cooperation from some members of staff. Civil Servants were resistant to change. They took the policy as any other Government rhetoric. They also feared of the negative consequences. For example, if one was rated poorly in the appraisal process it was explained that this created enmity/hatred between the supervisor and the supervised.

- **Lack of full knowledge on the importance of the system.**

  It appears that the majority were not aware of the importance of the system despite attempts by DPSM to conduct a series of orientation for senior Civil Servants. Most Civil Servants still appeared not to understand the objectives especially taking into account that it was focusing on strategic purpose only. The little knowledge makes them not to appreciate the policy.

- **Absence of political and management support.**

  The political heads of Ministries were not supporting the PMS as they were the ones acting contrary to the organization's strategic goals. It was explained that political heads issues instructions which are not in line with the ministries' work plans hence putting the Performance Management in an awkward situation. Likewise, management was not providing the appropriate and enabling environment to the officers to carry out their tasks efficiently and effectively. Among the support lacking from management included giving clear direction, providing collective measures, setting targets and provision of the necessary resources.

- **Monitoring and evaluation**

  Lack of a monitoring and evaluation system. There is no system put in place to monitor progress of implementation or performance reports from the Ministries. The policy document states that heads of departments should ensure that supervisors submit appraisal report on time. According to the respondents these were hardly followed up.

- **Lack of financial resources**

  Lack of financial resources to assist in carrying out the activities stipulated in the Performance Agreement affected the implementation of the system. It was explained that an officer could come up with a very good work plan but would manage to implement only 50% of the planned work due to lack of

adequate financial resources. Therefore, applying the principles of the PMS in that case was proving to be tricky.

- **Unplanned activities**

  An unplanned activity disturbs implementation of the work plans and consequently the Performance Management system. There were a lot of activities which superiors assign subordinates but which were not included in their work plans. The implementation of unplanned activities was said to constitute a great part of a civil servant work and therefore defeating the purpose of the Performance Management.

- **Democratic tendency**

  There is more democracy at workplaces at the expense of promoting professionalism. A respondent observed that there was so much 'democracy' in the system to the extent that members of staff are at liberty whether to sign the forms or not. Those that try to enforce the regulation were branded as dictators.

- **Absence of rewards and sanctions.**

  The Performance Management ought to strive to achieve greater productivity by employees which would depend on attracting or retaining right caliber of employees. The policy document states the kind of rewards that performing Civil Servants could get and what sanctions ought to be meted to non performing staff. It was explained that these important aspects of the PMS are hardly utilized. Exceptional performance is hardly recognized and rewarded. Likewise indiscipline and under performance go without sanctions.

- **'Alien' policy**

  The manner in which the implementation was 'rushed' made some to suggest that Government was working under pleasure from development partners who provide budgetary support. The policy is viewed, by some, as a borrowed concept from elsewhere which could not fit well given the different

working environment in the Malawi Civil Service. They suggested that the best that Government should have done was to modify it in order to fit in the Malawi's context rather than wholly adopting what worked elsewhere. They argued that adoption of an imported policy was oblivious of the local environment hence could not work.

- **It serves the interests of those who introduce the policy**

  Performance Management just like the earlier abandoned performance contracting system was said to serving a few individuals and not the majority of the civil servants. It was alleged that authorities tend to introduce reforms or policies when they know it would benefit them. Therefore, those that feels sidelined from the benefits are discouraged to support it.

- **Complexity of the public service.**

  The Civil Service was complex hence it was difficult to implement such a policy. The complexity emanate from the multiple tasks, including any other duties, that officers must carry out, the political affiliation of appointed officers and the number of masters who must be attended to.

  On the other hand it was explained that the current set up in the Civil Service was a setback to those who have sacrificed their time and energy to advance in their education.

  "Why should I be supervised and assessed by a Diploma holder when I have a Degree attained from a reputable institution?" wondered respondent D.

  He argued that the whole idea of Performance Management was to motivate members of staff at all levels but saw no sense in having supervisor who was less qualified than the subordinate. It was revealed that this trend was common in the Ministry of Education where most heads of schools are Diploma holders while mere teachers are mostly Degree holders. The respondent further argued that the more qualified teachers would not be

willing to sign the Performance Agreement and be assessed by a supervisor who is less qualified.

4.3.6. On the question on whether they were other policies facing similar challenges or not

Asked whether the performance management was the only policy in the Civil Service experiencing implementation problems, most interviewees responded that they were other policies facing similar challenges. They explained that most public policies are full of rhetoric which offers no tangible benefits to the institutions and those implementing it. The lack of a clear monitoring and evaluation was mentioned as a main factor affecting implementation of other public policies such as the Decentralization Policy introduced in 1998, the Travel Policy which stipulates the conditions required for one to undertake a trip outside his duty station, the HIV/AIDS Workplace Policy among others.

The respondents further observed that such challenges of implementation were likely to be faced because the policy was imported. On the other hand, it was explained that public policies in the Civil Service tend to experience some form of resistance and it was those elements that frustrate the change.

4.3.7. Challenges and opportunities

Given the issues presented by the respondents, the researcher took the opportunity to probe the respondents on whether they saw that there were opportunities which could be explored to enable the successful implementation of the policy. What they explained could be categorized here as both the challenges and opportunities.

4.3.7.1. Challenges

- **Selective training of members of staff.**

It was mentioned that the workshops conducted by the DPSM from March to June 2008 were selective. It only targeted senior officers. These workshops

were conducted outside the duty station hence those that attended it were privileged to receive sitting allowances. The in-house orientations for junior staff were not accompanied by payment of allowances. Government's travel policy does not allow payment of allowance for activities carried within one's duty station. Therefore, junior Civil Servants think they were deprived of the opportunity. In other words, they were not motivated and were reluctant to support the initiative.

- **Rushed implementation**

  Some respondents think that Government rushed in introducing the PMS before addressing crucial and outstanding issues. They include salaries, which the Malawi Civil Service Trade Union (MCSTU) had been pestering government to review in light of the current economic hardships, resource availability, promotions and training.

- **Biasness when implementing the system.**

  Application of the system was seen as prone to abuse and biasness.

4.3.7.2. Opportunities

- **It is open and not closed appraisal**

  The policy has the advantage in that it provides room for reaching a mutual understanding between the supervisor and subordinate when setting targets and assessing achievement of target.

- **Orientation were conducted**

  A number of Civil Servants underwent training to orient them of the policy's goals and how they would implement it. This was unlike policies which were introduced in a form of a directive to be implemented. The few that attended the orientations had been able to impart the knowledge gained to their colleagues in their respective work places. Therefore, a considerable percentage of the Civil Servants at least know and understand PMS, its objectives and benefits.

- Every qualifying Civil Servant is asked to come up with a work plan which is linked to his or her Ministry's vision.

4.3.8. How the challenges were being managed

The researcher was keen to know on whether there were any deliberate attempts to manage what were observed as challenges impacting negatively on the policy implementation process. It was explained that there were ongoing negotiations to improve conditions of service for Civil Servant in order to improve productivity within the Civil Service. The respondent, who is also responsible for human resources management and development in his ministry, noted that most of the issues to do with lack of commitment to respond to policy reforms emanated from the lack of motivation among Civil Servants because of the poor working conditions and the low remuneration package. He underscored the need for government to look into this issue if the Performance Management issue was to be successful.

4.3.9. Summary

This chapter has explained how and where the data was collected. It has presented the data which reveals a number of issues affecting the implementation of the Performance Management Policy for the Malawi Civil Service. It has also highlighted what are seen as opportunities for successful policy implementation. How some institutions (Ministries) were managing the challenges in the implementation of the policy was also highlighted.

CHAPTER FIVE

DATA ANALYSIS

5. Introduction

The aim of this study was to identify the factors contributing to the differential implementation of the performance management policy of the Malawi Civil Service. The study was attempting to answer the question 'what factors are contributing to the implementation or non implementation of the Performance Management policy?' The data presentation revealed some of the factors impacting on this policy implementation process. In this chapter, the data is dissected and given meaning using the methods of agreement, narrative analysis and the two theories of rational model and good governance discussed in the previous chapters.

Data in the previous chapter had shown that implementation of the policy was not proceeding at the pace and level anticipated by the Government. There is indeed partial and non-implementation of the PMS. Therefore, the analysis proceeds on the understanding that there are implementation challenges experienced by the Performance Management policy.

5.1. Method of agreement

In line with the data analysis tool selected for this study, the various responses from the interviews have been categorized based on how related they are as a particular cause of implementation or non-implementation of the Performance Management system. A factor or cause is established when various but related reasons are given as impacting on the implementation of the PMS. For example, if the respondent cites issues of office space, lack of computers or availability of transport as some of the reasons for non implementation, using the method of agreement technique these would be categorized under resources availability as a cause or factor. In this case,

responses sharing common features have been categorized to facilitate easy analysis of the data.

According to Neuman (2011:523), the method of agreement looks at critical similarities existing between cases to establish the common cause or factor. Therefore the factors analyzed in the next paragraphs have been categorized following the process of agreement. The second data analysis technique, narrative analysis, is employed in the course of the discussion to explain the implications of one factor on another. In other words, using the narrative analysis the researcher has endeavored to explained how, for example, cause or factor A is dependent on B or how factor A lead to event B and vice versa.

5.2. Follow ups (monitoring)

To be effective a policy needs constant monitoring and evaluation. Results from the interview indicate that there were no follow ups to track progress of the policy's implementation. It is interesting to note that even the Department of Public Services which initiated the policy was said to have stopped implementing it. Though this was not verified by the researcher it is evident that Ministries were not submitting report to DPSM as is required in the policy. There are no attempts to make follow ups and establish whether there has been a positive change in the Civil Service as a result of introducing the Performance Management policy.

The rational approach make mention of the need to build in a monitoring and evaluation system in the policy development process to determine progress and help in decision making. Monitoring focuses on tracking evidence of movement towards the achievement of specific, predetermined targets while evaluation seeks to establish whether outcome is a result of the intervention *and in this case the policy* (World Bank, 2007:184, *italic mine*).

The absence of a monitoring and evaluation system in the implementation of the Performance Management policy vindicates the fears of one respondent who wondered whether its introduction was based on need or influence from external factors. This researcher shares the views of one of the respondents who questioned

the effectiveness of the policy without follow ups and/or evaluation. In line with the World Bank's (2007) position, achievements of targets in the performance appraisal and ministries' work plans can be determined only if there were monitoring and evaluation exercises taking place. This is also the principle of the rational model which the PMS ought to have followed. It is there in the policy document but hardly followed as revealed by the interviews.

In any case the lack of follow ups and evaluation of the policy raises questions of seriousness on the part of government to live up to its commitment of upholding the values of good governance. The aspirations of Government and the Civil Service that seeks to deliver quality service to the public as expressed in the Malawi Growth and Development Strategy, Malawi Public Service Charter and the Performance Management policy would be questioned if it does make follow ups and evaluate its initiatives. The policy cannot achieve its objective when no deliberate efforts are made to track its progress. The researcher is compelled to state and agree with what Polidano (2001) argued that perhaps the performance management policy was another public policy that got funding from external partners and which DPSM merely accepted for fear of being regarded as blocking aid.

5.3. Problem with externally initiated policy

The performance management policy is seen by some as an import from outside which government introduced following recommendations from development partners. For example, the respondents argued that the implementation was 'rushed' while others attribute its 'implementation failure' to Government's wholesome adoption and imposition on the civil service institution.

Several authors have discussed the challenge of implementing what they consider as an alien policy that does not take into account the local environment in which it is would be implemented. Polidano (2001) explains that despite enjoying huge funding from donors, externally initiated reforms rarely achieve their goals as they face problems in implementation. His observation is shared by Tambulasi (2010) in his

article; *No Keys opens every door,* in which he argues that donors and Malawi Government made a mistake when it adopted the performance contracting system by assuming that what worked in another country would also work in Malawi. He further explains that the specific country conditions that helped the performance contracting system to work in another country were not available in Malawi hence its failure and consequent abandonment.

The two authors, raises important points which the researcher thinks could also be true of the Malawi's Performance Management policy. From what Olowu in Commonwealth Secretariat (2010) explained, the issue of Performance Management in the public service was a new phenomenon in Commonwealth countries which needed encouragement among member states. Malawi, as a member country was compelled to follow what other countries in the grouping were doing. Nonetheless, if the introduction of the policy was necessitated by the needs of the Civil Service and was in line with Government's vision of reforming the public sector, then it was unlikely that it would face some frustrations. However, if the observations by the respondents are anything to go by, then there is a great possibility that the challenges are likely to continue and mar its implementation.

5.4. Role of leadership and management

The findings showed that that there is leadership and management challenges in the implementation of the policy. It was revealed that management in some of the institutions was not providing the much needed guidance and motivation to support the policy. According to Northouse (2007) managers and leaders have the responsibility to plan a budget, organize, control and solve problems. Heads of departments in ministries, human resources managers and administrators in their respective capacities ought to play their roles in ensuring that work plans and budget for targets are put in place, that they solve problems whenever they arise and that they establish rules and ensure their compliance from Civil Servants.

The researcher believes that if these senior officers played their roles in a diligent manner, then their subordinates would have followed suit. The results from the data presented showed that some senior officers were not taking interest in ensuring that the contents of the policy were being followed. It was even interesting to note that some of them were not taking part in the administration of the policy despite holding positions of authority which by implication has a bearing on the motivation of those below to implement the system. One would be tempted to think that such managers require some re-orientation on what is expected of them as managers and key actors in the administration of various Government policies.

The political leadership is another important aspect which could facilitate implementation of not just the Performance Management policy but other policies as well. Olowu in Commonwealth Secretariat (2010) underscored the need for support from the politicians to ensure successful implementation of the PMS in the public services of the Commonwealth countries since it was a relatively new concept. Olowu's observations are valid considering the fact that the political networks, as McLennan (2007) explains, define the boundaries of policy implementation and development. This researcher believes that the support politicians give should be limited to facilitating implementation, providing guidance and mobilizing the necessary resources to enable government deliver its services to the public.

The leadership can also help instill a sense of professionalism in the civil service by, among other things, taking an interest in following the progress of various reforms and policies government was implementing. The observation by Cammock and Kesall (2011) on how the civil service conducted itself under the three administrations of Kamuzu Banda, Bakili Muluzi and Bingu wa Muntharika is evidence enough that leadership has a big influence on how the Malawi Civil Service conducts and commits itself in policy implementation.

Therefore, for the PMS to succeed there is need for good management and leadership. These two set the pace and make things move. In the absence of the two it is unlikely that resources would be readily available. The two factors could also be instrumental in addressing the problem of multiple tasks and multiple

masters. For example, if managers and leaders appreciate the objectives of the PMS and the business of the Civil Service, they would to avoid creating unnecessary tasks that, in the end, derail the process of attaining the PM's goals. It has been shown that the other factor of multiple tasks and multiple masters is dependent of this aspect of leadership and management. Management can do or undo the multiple tasks syndrome.

5.5. Multiple tasks and multiple masters

The policy document explains that a Civil Servant in liaison with a supervisor ought to come up with a work plan outlining the activities to be carried out at an agreed period. In the same vein, the performance of the subordinate ought to be assessed based on what had been accomplished from the agreed targets. On paper this appears be a simple process. However, the situation was different as elaborated by the respondents.

The results revealed that, in the Civil Service, officers perform a lot of unplanned activities as a result of instructions emanating from several masters or bosses. The respondents explained that over 40% of the work performed could be unplanned. This is despite the fact that work plans are developed at the start of every financial year. The multiple tasks and masters situation complicates the task of managing the performance management system. The unplanned activities are done at the expense of what was agreed in the performance agreement. Tambulasi (2010) pointed out that the underlying principle in Performance Management is that performance is measured in accordance with what has been achieved against the set goals (Tambulasi, 2010:9).

The results of the interviews confirmed the assertion by Propper and Wilson (2003) who explains that the application of the performance management system in the public service faces the challenge of coping up with two special features of multiple bosses and multiple tasks. In their analysis of performance management in the public service they argue that public servants are confronted with the challenge of attending to several masters who may have different expectations and as a result of that must perform multiple tasks. The situation increases the workload of the public

servant. In some cases, the masters who issue multiple tasks to the Civil Service are those wielding political power.

Much as their involvement in the public service is needed as it provide the necessary support to enable successful implementation of the performance management, as observed by Lowe (Commonwealth Secretariat, 2010), on the other hand McLennan views these 'social economic and political networks' as detrimental as they tend to 'define the boundaries of policy implementation and development' (McLennan, 2007:5).

The researcher views this as indeed posing a big challenge to the successful implementation of the Performance Management policy. What Propper and Wilson (2003) and McLennan (2007) have argued is also relevant to the Malawi civil service scenario. Political masters exert some pressure like giving instructions on how things should be done in line with their political agenda. In the process the implementation of some policies like the PMS are affected.

There is so much, often conflicting, expectations from the political masters, the general public, service provider and stakeholders which at the end puts the civil servant and the PMS in an awkward position. The PMS is sailing between the devil and the deep blue sea, between meeting the targets in the Performance Agreement and satisfying the demands of multiple bosses. It goes without saying that the Performance Agreement is rendered useless as officials devote much of their time and energies implementing activities that are not in the Performance Agreement. This conflicts with the rational approach which regards institutions as 'not organized anarchy with no agreed and shared values' (Gumede, 2010:171).

It cannot be disputed that the exigencies of the services sometimes demand a little deviation from the work plans but these should not wholly derail the business of accomplishing targets set out in the performance agreement if the implementation of the policy is to be considered successful. What is more, concentrating much on unplanned activities is an indication of how unorganized and chaotic the institution is. The multiple masters and tasks syndrome is contributing to the state of anarchy in the Civil Service hence the differential and non-implementation of PMS on the

other hand. The Civil Service has values expressed in various policy documents including the performance management policy, which must be upheld if is to be regarded as an organized institution. The multiple tasks and multiple masters' syndrome would defeat the purpose of the PMS. Indeed, the public service is complex, as argued by Propper and Wilson (2003), nonetheless that aspect should not turn it into a haven of organized anarchy. This is not what the Government would want to be described.

5.6. Absence of consultations

Interview results indicate that adequate consultations were not done with the civil servants or their representatives. The introduction of the of the system is considered by some as a 'rushed' process which did not consider a number of outstanding issues like the review of the Malawi Public Service Regulations (MPSR). The MPSR is regarded as old and not reflecting the changes that the Civil Service has undergone over the years. The respondents argued that it was tricky to apply some of the principle of PMS such as the rewards and sanctions because they would conflict with what the MPSR stipulates. They explained that the MPSR has its own procedures on sanctions and rewards. This apparent conflict between two government documents points to the lack of consultation process. In additional, the policy is said to have not addressed issues of resource availability which according to respondents was impacting negatively on the implementation process. They argue that these would have been solved if, prior to the introduction of the policy, enough consultations were done.

According to Carley (1980) in Howlett and Ramesh (2003) the rational approach demands the involvement of stakeholders in identifying the problem and selection of alternative solutions to the problem. This process ensures that the end product is a policy that is comprehensive and addresses the problem in its entirety. On the other hand, Kusek and Rist (2004) explains that setting goals in isolation leads to a lack of ownership and if the voices of the actors are solicited it would ensure commitment from them to reach the desired goals (Kusek and Rist, 2004:58).

From the look of things, it appears that the problem of inefficiency was identified by the authorities with the help of studies conducted by consultants. How best to deal with the inefficiency in the civil service through introduction of the PMS should have involved a cross section of civil servants because these are the actors involved in the actual implementation. A policy has a greater chance of succeeding if stakeholders are involved in the policy formulation stages. This would ensure ownership of both the policy and its implementation.

It can be argued that the lack of commitment revealed by the interview results shows that the policy is not owned by the civil servants. The problem is accentuated by the perceptions of some respondents who believe that most policies in the Civil Service are introduced to serve the interest of a particular section of senior officers whose motive is self-aggrandizement and not to serve the interest of the general public. In any case, adequate consultations are necessary. The concerns by the respondents are valid. Their involvement and inputs at the initial stage of the policy development would have helped to avert some of the challenges being experienced now such as the issue of allocation of resources against one's work plans as discussed in the next item.

5.7. Resource availability and capacity building

The data revealed that successful implementation of the PMS was also hampered by the availability of adequate resources to carry out the work plans in the performance agreement. It was further revealed that almost 50% of the activities outlined in the work plans suffer implementation due to the absence of funds, transportation and in some cases the capacity of the officers and managers.

Allocation of resources is, sometimes, dependent on government's priorities. Some sectors are prioritized and receive a lot of budgetary support depending on government's agenda.

This problem is related to the issue of management. Kotter (1990) explains that managers should not only set agendas but must also allocate resources to enable implementation of the tasks. A respondent observed that;

'…government does not give departments and ministries enough financial resources through the national budget…resulting in many activities (almost 50%) not being implemented' (interview with respondent, January, 2013).

Setting priorities and proper management of resources is an aspect of governance. If government does not allocate enough resources to activities in the work plans, as is required in the performance agreement, it runs counter to the values it vowed to uphold in the Performance Management Policy and the Malawi Public Service Charter. Furthermore, failure to allocate resources to activities means individual Civil Servants, Departments and Ministries would not be able to deliver its services and 'provide its citizens a decent living' (Mkandawire, 2007:680) as only half of the planned would be carried out.

There is relationship between the above factor and the issue of sanction and rewards. Inadequate allocation of resources could result in failure to mete out sanctions. Civil Servants can attribute the inability to accomplish tasks in the work plans to lack of resources. It would put supervisors in an awkward position on how they would apply sanctions or rewards given that scenario.

5.8. Rewards and sanctions

Responses from the interviews showed that the absence of rewards and sanctions was one of leading factors for non-implementation of the policy. Six of the respondents argued that even when one does exceptionally well in his/her work the system does not reward that person accordingly. Likewise, sanctions are not applied to those who deviate from their work plans and fail to meet the targets as was agreed in the performance agreement. This is despite the fact that the policy document is clear on sanctions and rewards. Among the rewards mentioned in section VI of policy document is that good performers could be awarded annual merit increment, career development, letters of commendation among others (DPSM, 2008:15). On the other hand, warning letters, termination of contract are some of the sanctions mentioned in the policy for those whose performance is unsatisfactory. These principles are hardly applied. As was noted in the findings, implementation stops at filling of performance agreements. The focus, as one

respondent explained, was on providing strategic direction only, leaving the other important dimensions of the policy which is to use the information collected from the performance appraisal for administrative and developmental purposes. Rewards and sanctions are important in performance management system. Application of the two is also a characteristic of a good policy. De Coning (2006) explains that 'clear benefits resulting from compliance with a policy as well as effective enforceability and sanctions and penalties linked to non-compliance with a policy, are therefore important attributes of a good public policies, and enhance the success potential of such policies' (De Coning, 2006:19). If the performance management policy is to be considered as a good policy it should follow this path.

The absence of these aspects that defines the essence of Performance Management system makes civil servants not to see the benefit of committing themselves to targets in their work plans. Without these compelling factors (sanctions and rewards) they would not see the difference of having the policy in place or not. Consequently they would not be motivated to implement it.

Let us try to look at the issue of sanctions and rewards from the two perspectives of management and monitoring. As explained earlier, management strives to set procedures, set targets and ensures that there is stability in an organization (Kotter, 1990). Employees who perform well are supposed to be rewarded. That would ensure stability. Likewise those that fail to perform and conduct themselves in accordance with the rules and regulation of the organization need to face sanctions to ensure stability as well. That would still ensure stability of the entity applying the sanctions. These are the essence of the performance management policy.

On the other hand, monitoring means that the information from the performance appraisal is used to make decisions on whether to reward good performance or encourage under performers. Performance management faces these critical challenges, management and monitoring, hence its inability to effect sanctions and rewards. The researcher argues that this non application of rewards and sanctions is not just an issue of availability of resources. Management and the absence of follow

ups are partly to blame for this. The rewards and sanctions appear to exist only on paper.

5.9. Summary

The data analysis in this chapter shows that the implementation of the Performance Management was being dodged by a number of challenges. These factors which are impacting negatively on the implementation of the Performance Management Policy demands some serious reflection on the part of Government and DPSM to review its approach to policy implementation. As earlier pointed out, a lot of time and resources were spent in developing the policy, conducting orientation workshops and ensuring that the civil service implemented the directive. It is therefore right and proper that the department responsible looked into the issues such as the ones revealed in this report in order to map the way forward.

As revealed by this study, there are opportunities which if utilized could help salvage what appears to be unhealthy situation. The Civil Service appears to be ready to implement the PMS given the necessary conditions. Motivation and leadership have come out as some of the major factors that need serious scrutiny for the success of the policy.

CHAPTER SIX

CONCLUSION

6. Introduction

This study's aim was to investigate the factors which lead to the differential implementation of the Performance Management Policy for the Malawi Civil Service with the view to explain why there has been low progress since it was introduced five years ago. It was hoped that by conducting this research the circumstance that leads to non-implementation of the policy would be brought to light.

The study further sought to generate interest for further research from interested individuals who might wish to explore other aspects of the policy in question. Consequently, the study endeavored to answer the question 'what factors contributes to the partial or non-implementation of the Performance Management of the Malawi Civil Service?' This task has been achieved. Therefore, the researcher believes that this was a worthwhile undertaking as it has helped to reveal the circumstances under which the policy is operating. More importantly, it has added some knowledge on the Malawi Government's attempts to improve the efficiency of its Civil Service through the implementation of the Performance Management system.

6.1. Summary of key study findings

In brief the following are the key findings of the study;

- **Absence of consultations and use of the top down approach**

  The policy was developed and introduced without seeking inputs from a cross section of civil servants who are involved in the implementation process.

- **Bureaucratic structure**

  The nature of the Civil Service, multiple tasks and prioritization of resource allocation were impacting negatively on the implementation of the policy.

- **Management and administrative support**

  Leadership and management should take the leading role in showing commitment and enforcing compliance.

- **Monitoring of progress**

  Regular follow ups were lacking to monitor progress and act as a reference point for decision making.

- **Staff motivation**

  Application of the policy was not accompanied by its concomitant rewards and sanctions, selective orientations, recognition of academic qualification and allocation of necessary resources according to work plans. There is also no effort to clarify the objectives of the policy as a result many are left to speculate and make their conclusions. A typical example was the belief that public policies are developed to benefit those in authority. Once their interests are served the policy is abandoned.

In summary, the study has demonstrated that the top down approach employed when developing the policy was backfiring as evidenced by the lack of ownership and commitment on the part of most Civil Servants, failure to put in place an enabling mechanism such as rewards and sanctions, monitoring system and management support contributes to Civil Servants' demotivation and non-implementation of the policy, goals should be made clear and that Civil Servants feel the need to be part and parcel of the policy process by involving them not only at the implementation stage but in the policy development process as well.

In the data analysis, it was shown that the various factors identified were interrelated in one way or another. Factor A could lead to even B and vice versa. The implication is that when dealing with the issues of lack of implementation of the Performance Management, the factors should not be looked at in isolation since each factor has a potential to lead to another factor.

The study's findings partly confirms the researcher's earlier proposition that implementation of a policy in the Civil Service is affected by institutional bureaucracy, motivation, resource availability, enforcement and attitude of the various actors that are involved.

In conclusion, many of the factors identified are manageable. However chances are high that if these issues are not addressed, the policy risks becoming another chapter in the history of policies that were good on paper but ended up gathering dust on the shelves. The researcher believes that this is not the way government would wish its policies to be assessed.

7. RECOMMENDATIONS

The introduction of the Performance Management Policy was a move in the right direction. It demonstrated the resolve of the Government to improve what has often been seen as the inefficient and underperforming Civil Service that uses tax payers' money but without providing the quality service to those whom it is supposed to serve. However, introduction of policies should not be mere rhetoric meant to give the general public and stakeholders the impression that there is progress. Rhetoric should be matched with action. The findings of this study have revealed that there are a number of factors that are impacting negatively on the policy's implementation process. Many of these could be addressed if the necessary actions were taken and the necessary provisions were made available.

Therefore, it needs to be understood that successful policy implementation requires making those that would be involved in the actual implementation are made well aware of their roles, necessary provisions are put in place and that inputs are drawn from a

cross section of the actors. Proper needs assessment should precede the implementation to establish the problem and that introduction of policies should not be mere reactions from those that provide financial support.

Need for further research

The research could not exhaust all issues affecting the Performance Management system. What has been uncovered in this study could be a tip of an ice berg. Therefore, there is need to conduct further research in this area to understand the various complex issues surrounding the Performance Management and other government policies in general in order to make the Malawi Civil Service an effective and efficient institution capable of providing quality services to the public.

REFERENCES

Adamolekun, L., Kulemeka, N. and Mouftaou, L. (1997). Political Transition, Economic Liberalization and Civil Service Reform in Malawi. *Public Administration and Development, 17* , 209-222.

Adu, A.L. (1969). The Civil Service in Commonwealth Africa – Development and Transition, London: George Allen and Unwin Ltd.

Anders, G. (2002). Like chameleons: Civil servants and corruption in Malawi, Bulletin de l'APAD, pp. 23-24, retrieved April11, 2012, from http://apad.revues.org/137

Anders, G. (2009). In the shadow of good governance: An ethnography of Civil Service Reform in Africa, Afrika-Studiecentrum series, 16 retrieved February 28, 2013 from https://openaccess.leidenuniv.nl/handle/1887/18537

Anfara, Jr, V.A. and Mertz, T.N. (Eds.) (2006). Theoretical Frameworks in Qualitative Research, California: Sage Publications, Inc.

Babbie, E. (2010). *The Practice of Social Research, (20th Ed.)* California: Wadsworth.

Bell, J. (1999). Doing our Research Project: A Guide for first time Researchers in Education and Social Science (3rd Ed.) Buckingham: Open University Press.

Cammack, D. and Kelsall, T. (2011). Neo-Patrimonialism, Institutions and Economic Growth: The case of Malawi, 1964 – 2009, Institute for Development Studies Bulletin, 42 (2), 88-96

Chapulapula, T. and Nyirenda, D. (2012, January, 15). Government to harmonize huge salary disparities. *Daily Times*. Retrieved February 16, 2013 from http://www.bnltimes.com/index.php/malawi-news/headlines/national/3710-government-to-harmonise-huge-salary-disparities

Commonwealth Secretariat, (2010). Managing and Measuring Performance in the Public Service in Commonwealth Africa, *Report of the Sixth Commonwealth Forum of Heads of African Pubic Service*. Seychelles: Commonwealth Secretariat, 13th – 15th July.

Condrey, S.E. and Battaglio, Jr, R.P. (2009). Reforming Public Management: Analyzing the impact of Public Service Reform on organizational and managerial trust,

Journal of Public Administration Research and Theory, 19, Oxford University Press, 689-707

Creswell, J. W. (2002). *Research Design: Qualitative, Quantitative, and Mixed Approaches (2nd ed.).* Calirfonia: Sage Publications.

De Coning, C. (2006). The nature of public policy, In F. Cloete, C. De Coning & H. Wissink. (Eds.). *Improving public policy: From theory to practice,* (2nd ed.), (3-26). Pretoria: Van Schaik

Department of Human Resource Management and Development (DHRMD). (2003). Report on the identification of critical areas for capacity replenishment in the public service, retrieved on December 20, 2012 from www.undp.org/content/dam/aplaws/publication

Department of Public Service Management (DPSM). (2010). Malawi Public Service Charter, Lilongwe: Government Print

Department of Public Service Management (DPSM). (2008). *Performance Managment Policy for the Malawi Civil Service.* Lilongwe: Government Print.

Greiling, D. (2006). Performance Measurement: A Remedy for Increasing the Efficiency of Public Services? *International Journal of Productivity and Performance Management,* 55 (6), 448-465

Grindle, M. S. (2007). Good Enough Governance Revisited, 25 (5). *Development Policy Review* , 553-574.

Grindle, S. & Hilderbrand, M.E. (1995). Building sustainable capacity in the public sector: What can be done? *Public Administration and Development,* 15, 441-463

Gumede, V. (2010). Policy Making in South Africa. In V. A. Landsberg C, *South African Government and Politics, 4th Edition* (165-183). Pretoria: Van Schaik.

Howlett, M. and Ramesh, M. (2003). Studying Public Policy: Policy Circles and Policy Subsystems (2nd Ed.) Oxford: Oxford University Press, 160-185

Human Rights Watch (2012). World Report 2012: Malawi, [electronic version]

Kiragu, K. (1998). Civil Service Reform in Southern and Eastern Africa: Lessons and Experience, Report on proceedings of a consultative workshop. Arusha. Retrieved December 12, 2012 from www.estabs.go.tz/index

Klein, R. and Marmor, T. (2006). Reflection on Policy Analysis: Putting it together again, in Moran M, Rein M and Goodin R (Eds.) (2006), *The Oxford Handbook of Public Policy.* Oxford: Oxford University Press, 891-991

Kotter, J.P. (1990). A force for change: How leadership differs from management, New York: Free Press

Kusek, J.Z. and Rist, R.C. (2004). Ten steps to results based monitoring and evaluation system, *A Handbook for development practioners,* Washington: The World Bank, 52-89

Marvasti, A.B. (2004). Qualitative Research in Sociology, London: Sage Publications Ltd.

McLennan, A. (2007). Unmasking Delivery: Revealing the Politics, *Progress in Development Studies,* 5-20

Ministry of Economic Planning and Development (MoEPD). (2009), Malawi Growth and Development Strategy (MGDS): From Poverty to Prosperity 2006 -2011 (revised edition), Lilongwe: Government Print.

Mkandawire, T. (2007). Good Governance: The Itinerary of an Idea. *Development in Practice, 17 (4-5)* , 679-681.

National Statistical Office. (2008). Housing and Population Census, retrieved February 20, 2012 from http://nsomalawi.mw/images/demography/censu_2008

Neuman, L. W. (2011). *Social Research Methods: Qualitative and Quantitative Approaches, Seveth Edition.* Boston: Pearson Education.

Northouse, P. (2007). Leadership: Theory and Practice, California, Sage Publications

Pemba, P. (2013, March 4). Malawi's Capital Hill shut down, *Nation News*. Retrieved accessed March 15, 2013 from www.mwnation.com

Plooy, G. D. (2002). *Communication Research: Techniques, Methods and Applications.* Lansdowne: Junta & Co. Ltd.

Polidano, C. and Hulme D. (1999). Public Management Reform in Developing countries: Issues and outcomes, Public Management: An International Journal of Research and Theory, 1, (1), Manchester: Routledge, 121-132

Polidano, C. (2001). Why Civil Service reforms fail, Public Management Review, 3, (3), 345-361

Propper, C. and Wilson, D. (May, 2003). The Use and Usefulness of Performance Measures in the Public Sector, CMPO Working Paper Series No. 03/073, 1-24

Tambulasi, R. I. (2010). Critical Perspectives on Public Sector Reforms: An Introduction. In R. I. Tambulasi (ed.), *Reforming the Malawi Public Sector: Retrospectives and Prospects* (pp. 1-23). Dakar: CODESRIA.

Tambulasi, R. I. (2010). No Keys opens Every Door: The Failure of NPM-based Performance Contracting in Malawi. In R. I. Tambulasi (Ed.), *Reforming the Malawian Public Sector: Retrospectives and Prospectives* (pp. 69-79). Dakar: CODESRIA.

Thom, M. and Msiska, K. (2013, February 20). Thousands of Civil Servants march for better pecks. *Daily Times.* Retrieved March 4, 2013 from www.bnltimes.com

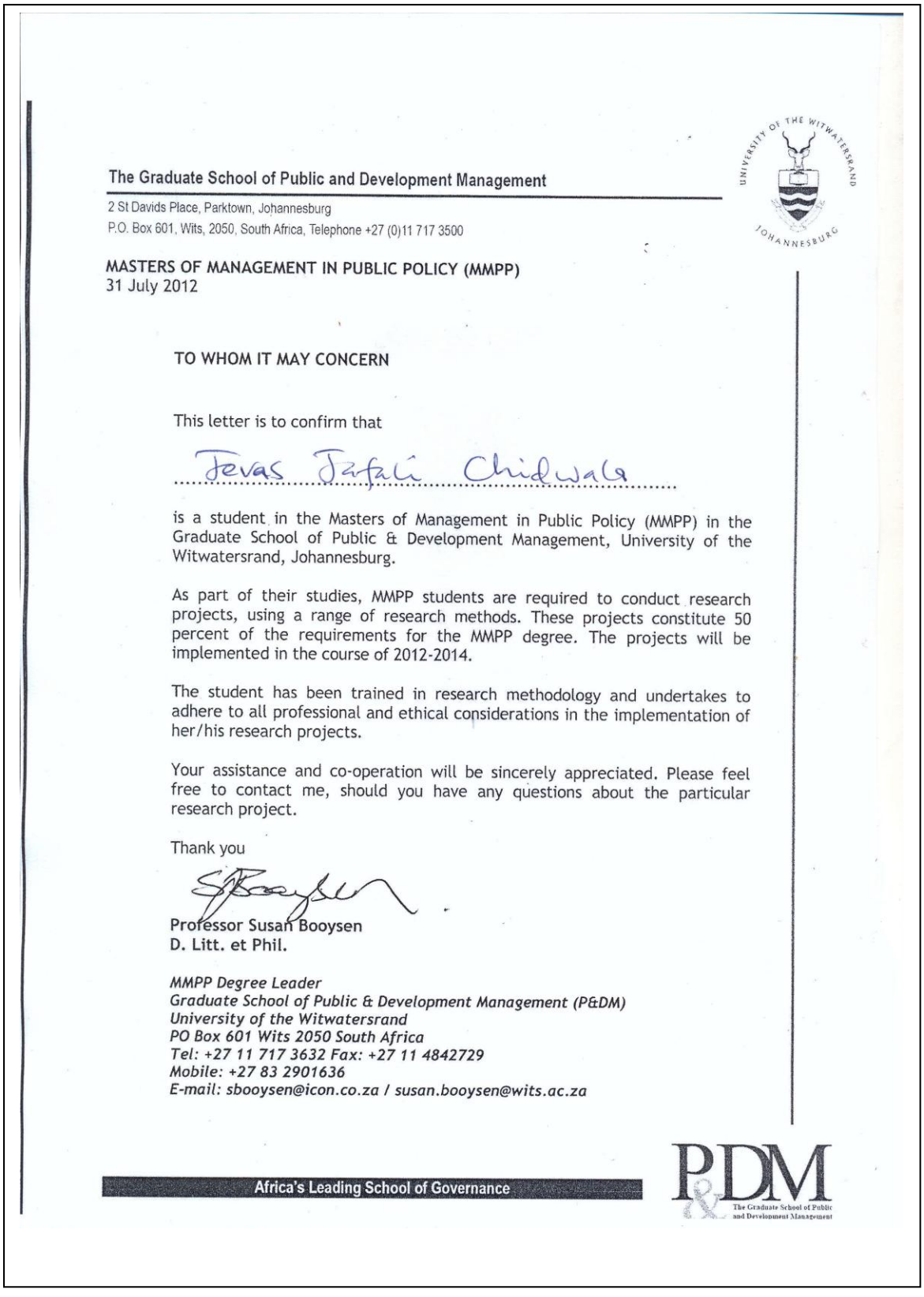
World Bank. (2007). Building a results-based monitoring and evaluation system, International program for Development and Training, Washington: 179-214

Wroe, D. (2012). Briefing donors, dependency, and political crisis in Malawi, African Affairs, 111 (442), London: Oxford University Press

Appendices

Appendix A

Letter of introduction



The Graduate School of Public and Development Management

2 St Davids Place, Parktown, Johannesburg
P.O. Box 601, Wits, 2050, South Africa, Telephone +27 (0)11 717 3500

MASTERS OF MANAGEMENT IN PUBLIC POLICY (MMPP)
31 July 2012

TO WHOM IT MAY CONCERN

This letter is to confirm that

Jevas Jafali Chidwala

is a student in the Masters of Management in Public Policy (MMPP) in the Graduate School of Public & Development Management, University of the Witwatersrand, Johannesburg.

As part of their studies, MMPP students are required to conduct research projects, using a range of research methods. These projects constitute 50 percent of the requirements for the MMPP degree. The projects will be implemented in the course of 2012-2014.

The student has been trained in research methodology and undertakes to adhere to all professional and ethical considerations in the implementation of her/his research projects.

Your assistance and co-operation will be sincerely appreciated. Please feel free to contact me, should you have any questions about the particular research project.

Thank you

Professor Susan Booysen
D. Litt. et Phil.

MMPP Degree Leader
Graduate School of Public & Development Management (P&DM)
University of the Witwatersrand
PO Box 601 Wits 2050 South Africa
Tel: +27 11 717 3632 Fax: +27 11 4842729
Mobile: +27 83 2901636
E-mail: sbooysen@icon.co.za / susan.booysen@wits.ac.za

Africa's Leading School of Governance

P&DM The Graduate School of Public and Development Management

Appendix B

Guiding questions used for data collection (interviews)

1. Could you please tell me your job title?

   ……..

2. In 2008 the Government of Malawi, through the Department of Public Service Management formerly Department of Human Resources introduced the Performance Management policy, are you aware of this development? (If not why?)

   ……..

3. In your view how is your ministry implementing the policy?

   ……

   ……

4. Could you tell me the role you play in the implementation of the policy?

   ……

   ……..

   ……..

5. Are other members of staff aware of the policy (and its objectives)? Elaborate.

   ……

6. What was their reaction when the policy was introduced/your ministry started administering it?

   ……

   ……

7. Are all members of staff in this ministry following the policy? (Explain)

   ……

   ……

8. What would you say are the issues that are either hampering or facilitating implementation of the policy?

.....

.....

.....

9. Tell me your opinion on the implementation of the policy.

.....

.....

.....

10. Who else is involved at this ministry in the implementation of the policy (and why?)

.....

.....

11. Assuming there are challenges in the process, how does this ministry manage them? (Probe).

.....

.....

12. In coming up with the policy where do you think the authorities/policy developers got it right or could have been done better?

.....

.....

13. Given the opportunity to review and manage the implementation of the policy in your Ministry or department (within the Malawi Civil Service), what factors would you take into consideration to ensure a successful process (that a reform or policy achieve its intended objective(s)?

.....

.....

14. What advice or recommendation (s) pertaining to the implementation of the policy would you give to the authorities, implementers of the policy and policy makers?

.....

.....

15. Do you have any other information related to this discussion you would like to share with this researcher?

    .....

    .....

End of interview

Thank you