

**THE IMPORTANCE OF LEADERSHIP IN PERFORMANCE MANAGEMENT IN LESOTHO'S  
MINISTRY OF THE PUBLIC SERVICE.**

**SEFORA MAHAPE MOSAASE**

**A research report submitted to the Faculty of Law Commerce and Management, University of the Witwatersrand, in 50% fulfilment of the requirements for the degree of Master of Management (in the field of Public Sector Monitoring and Evaluation).**

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## **Abstract**

In 2001, the government of Lesotho introduced a new system to monitor and evaluate public servants' performance. The Performance Management System (PMS) was also introduced to implement national plans effectively so as to pave the way for performance related pay system. This was done to address issues of accountability and improved service delivery. For ease of facilitation of implementation, Directors of Human Resources (DHRs) were deployed across all ministries of the Lesotho government. This study shows that DHRs were not given necessary support by ministerial leadership from the different ministries as a result, PMS was not implemented as envisaged by the Ministry of the Public Service as the mother ministry.

A Performance Management System (PMS) is explained as a tool to monitor and evaluate employees' performance. PMS could also be seen as a tool to facilitate faster decision making, and adoption of a corrective act aligning employees' performance with an organisation's strategies and goals in a more effective and efficient manner (Walser et al., 2013). PMS can be used in government entities or in the private sector as a tool for monitoring and evaluating performance.

This research aimed to determine the importance of leadership in PMS implementation as well as the strategies used to implement the system. The study was undertaken using a qualitative research methodology. A descriptive case study design was used and semi-structured questions were developed to administer face to face interviews. As implementers of the system, the Human Resources Directors deployed across the ministries by the Ministry of the Public Service were interviewed.

The results highlighted that the implementers used a combination of leadership styles as a strategy to facilitate a robust and reliable PMS. They also used meetings and training workshops to disseminate information about PMS across all ministries. The results also underlined a lack of ownership from ministerial leadership and non-compliance with the terms and references of PMS by Head of Departments. Though it is evident that the level of awareness about PMS is very high among employees in the Government of Lesotho, there also exists an attitude of resistance of adopting PMS, as a result, the system has not been implemented effectively. The PMS policy is still in draft form therefore leadership in line ministries is reluctant to adopt PMS without a guiding

document. Consequently, the system has not been implemented effectively, because other employees do not take Public Service Rules and Regulation as not providing enough guidance.

**Keywords**

Government of Lesotho, Ministry of the Public Service, Performance Management System, Ministerial leadership, Human Resources Directors, Implementation, Robust and trusted systems, Information dissemination.

**Declaration**

I declare that this report is my own work. It is submitted in partial fulfilment of the requirements of the degree of Master of Management (in the field of Public Sector Monitoring and Evaluation) in the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination in any other university. All the sources used or quoted in the study have been indicated and acknowledged by means of complete references.

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Sefora Mahape Mosaase

28 February 2018

## **Dedications**

This work is dedicated to my son, Hape Mosaase, my husband, Phomolo Mosaase, my mother in law, Mamoshe Mosaase, my mother, Matseliso Kabi, my friend, Selloane Mokhele and my pastor, Tebogo Mattji-Abbey who supported me throughout my academic life. They have had great influence in my life and I have achieved so much because of them. I applaud all of them for helping me realise my potential.

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## Table of Contents

Abstract.....	i
Keywords.....	ii
Declaration.....	iii
Dedications.....	iv
Acknowledgements.....	v
CHAPTER ONE.....	1
INTRODUCTION AND BACKGROUND.....	1
<b>1.1. Introduction</b> .....	1
<b>1.2. Background</b> .....	2
<b>1.2.1 Historical settings to the study</b> .....	2
<b>1.2.2. Background to the study</b> .....	4
<b>1.3. Problem Statement</b> .....	6
<b>1.4. Purpose Statement</b> .....	7
<b>1.5. Research question</b> .....	7
<b>1.6. Limitations of the study</b> .....	8
<b>1.7. The structure of the research</b> .....	8
CHAPTER TWO.....	10
LITERATURE REVIEW.....	10
<b>2.1. Introduction</b> .....	10
<b>2.2. New Public Management</b> .....	10
<b>2.3. Performance Management</b> .....	11
<b>2.3.1. The Balanced Scorecard</b> .....	13
<b>2.3.2. Performance Measurement</b> .....	14
<b>2.4. Performance Management in the Public Sector</b> .....	16
<b>2.5. Performance Management System</b> .....	16
<b>2.6. Leadership</b> .....	19
<b>2.6.1. Leadership and Performance Management</b> .....	20
<b>2.6.2. Leadership in the public sector</b> .....	20
<b>2.6.3. Transactional Leadership Theory</b> .....	21

2.6.4.	<b>Transformational Leadership</b> .....	22
2.6.5.	<b>Responsible Leadership</b> .....	23
2.6.6.	<b>Situational Leadership</b> .....	24
2.7.	<b>Conclusion</b> .....	24
2.8.	<b>Conceptual Framework</b> .....	25
2.8.1.	<b>Theory of Leadership in Performance Management</b> .....	25
CHAPTER THREE .....		28
RESEARCH METHODOLOGY .....		28
3.1.	<b>Introduction</b> .....	28
3.2.	<b>Research Paradigm</b> .....	28
3.3.	<b>Research approach</b> .....	28
3.4.	<b>Research Design</b> .....	29
3.5.	<b>Data Source and Sampling</b> .....	31
3.6	<b>Data Collection</b> .....	31
3.6.1	<b>Primary data</b> .....	31
3.6.2	<b>Secondary Data</b> .....	33
3.7.	<b>Data Analysis</b> .....	33
3.8.	<b>Reliability</b> .....	34
3.9.	<b>Validity</b> .....	34
3.10.	<b>Ethical Considerations</b> .....	35
3.11.	<b>Personal Discussion</b> .....	36
3.12.	<b>Limitations of the study</b> .....	36
3.13.	<b>Conclusion</b> .....	36
CHAPTER FOUR.....		38
PRESENTATION OF FINDINGS .....		38
4.1.	<b>Introduction</b> .....	38
4.2.	<b>The Ministry of the Public Service</b> .....	38
4.3.	<b>The Performance Management Policy</b> .....	39
4.4.	<b>The Performance Management System: Anticipations and Expectations</b> .....	40
4.5.	<b>PMS Implementation</b> .....	41
4.6.	<b>Ministerial Work Plans</b> .....	41
4.7.	<b>Individual Work Plans</b> .....	42

4.8.	Performance Appraisal.....	42
4.9.	Performance Related Pay.....	45
4.10.	Performance Appraisal.....	45
4.11.	Managing Performance Results.....	46
4.12.	Data from Interviews.....	47
4.12.1.	The Role of Director Human Resources in PMS Implementation .....	47
4.12.2.	Significance of leadership in PMS implementation .....	49
4.12.3.	PMS Implementation Strategy .....	50
4.12.4.	Challenges facing leadership in PMS implementation .....	51
4.12.5.	Performance Management Practices.....	53
4.12.6.	Leadership Strategies and Styles .....	54
4.12.7.	PMS: Strategies for Implementation.....	55
4.12.8.	Consultation with Employees.....	56
4.13.	Conclusion .....	58
CHAPTER FIVE .....		60
DISCUSSION OF FINDINGS .....		60
5.1.	Introduction.....	60
5.2.	A Functional Public Sector in a Dysfunctional Democracy .....	60
5.3.	Public Sector Management .....	61
5.4.	Strategic Leadership.....	63
5.5.	Sense of ownership from leadership.....	66
5.6.	Service Delivery.....	67
5.7.	Compliance .....	68
5.8.	System and Professionalism .....	70
5.9.	Bureaucratic Hurdles .....	72
5.10.	Conclusion .....	72
CONCLUSIONS AND RECOMMENDATIONS .....		74
6.1.	Introduction.....	74
6.2.	Conclusion .....	75
6.2.1	Performance Management Practices.....	75
6.2.2	Management Leadership .....	76
6.2.3	Hindrances to Effective PMS Implementation: .....	76

6.2.4	<b>Leadership Styles</b> .....	77
6.2.6	<b>Sense of Ownership from Leadership</b> .....	77
6.2.7	<b>Implementation Strategies</b> .....	78
6.2.8	<b>Consultation with Employees</b> .....	78
6.3.	<b>Recommendations</b> .....	79
6.3.1.	<b>Effective PMS Implementation</b> .....	79
6.3.2.	<b>Developing a Sense of Ownership in PMS Implementation</b> .....	81
6.3.3.	<b>Enhancement of Management Methods</b> .....	82
6.3.4.	<b>Adoption of Effective and Relevant Leadership Styles</b> .....	82
6.3.5.	<b>A Functional PMS in a Dysfunctional State</b> .....	82
6.3.6.	<b>Strategic Leadership in the Ministry of the Public Service</b> .....	82
6.3.7.	<b>Administrative Leadership of the Ministry of the Public Service</b> .....	83
6.4.	<b>Conclusion</b> .....	83
	List of References .....	85
	Books and Government Documents .....	92
	Appendix 1.....	93
	INTERVIEW GUIDE.....	93
	Research question: .....	93
	CONSENT FORM.....	96

## **Glossary of Terms**

Head of Department: The director heading a department within a ministry e.g. Director Crops  
in the ministry of Agriculture.

Head of Section: An officer heading a section within a department.

Line Ministries: All ministries responsible to the mother ministry.

Ministry: Government department headed by a minister.

Ministerial Head: Senior officer appointed by the Prime Minister to lead ministry.  
(Commonly referred to as the Principal Secretary).

Mother Ministries: A ministry that looks after other ministries.

Principal Secretary: Administrative head of a ministry.

## **List of Abbreviations**

DHR – Director Human Resources

HoD – Head of Department

HR – Human Resources

HRM – Human Resources Manager

MPS – Ministry of the Public Service

NPM – New Public Management

PMS – Performance Management System

PS – Principal Secretary

PSC – Public Service Commission

## **List of Tables**

Table 1- Conceptual Framework

Table 2 - Biographical Information of Participants

## **List of Figures**

Figure 1- Steps Illustrating Appraisal Process

## CHAPTER ONE

### INTRODUCTION AND BACKGROUND

#### 1.1. Introduction

In an effort to manage public servants' performance and improve service delivery, the Government of Lesotho, through its Ministry of the Public Service, introduced the Performance Management System (PMS) in 2001. The Public Service Ministry is mandated by government to act as mother ministry, implying that it oversees that all the other ministries perform according to the requirements of the National Strategic Plan. For this reason, the establishment of the PMS was rolled out to the other ministries by the Ministry of the Public Service as custodian of the system.

Before 2001, employees in the government of Lesotho were appraised by a system referred to as the Confidential Report. With time, this system was deemed not effective, as employees did not take part in the appraisal process. On their part, the employees complained that the method was not transparent and that the whole system was biased. The employees claimed that they were not at all involved in appraisals. Their claim stemmed from the fact that supervisors provided ratings secretly and feedback was not given to supervisees. As a result, the employees did not know whether the ratings were genuine or not. The employees would only realise when they were stuck in one position without getting promoted that the supervisors might not have been impressed with their performance. Hence the system was called the Confidential Report (Ministry of the Public Service Strategic Plan 2014/2016). For this reason, the government was not able to implement performance related pay due to the unsatisfactory reports yielded by the Confidential Report. Consequently, in 2001, the Ministry of the Public Service introduced the system of Performance Management as a tool to monitor and evaluate public servants' performance, and also as a basis for implementing performance related pay. The government of Lesotho has since used PMS as one of its critical strategies to improve service delivery and to develop the country (National Strategic Development Plan- NSDP of 1999/2000). Smith and other scholars suggest that organisations which have effective Performance Management Systems in place are likely to have motivated employees with a high level of job satisfaction (Smith et al., 2014). Motivated employees are catalysts to a high-performing organisation. Although many of the scholars on PMS emphasise the use of its components in different organisations, they seldom take into cognisance the fact that "...its validity needs to be tested

in an emerging country's context, as this context can be dynamic and completely different from a developed country's context" (Muchiri, 2011, p.116). This study on the importance of leadership in performance management in the Ministry of the Public Service of the Government of Lesotho is intended to ascertain if PMS implementation monitors and evaluates public servant's performance effectively for improved service delivery, especially when implemented in a developing country's context.

The system, as introduced by the Lesotho government, uses Balanced Scorecard, whereby employees and supervisors equally take part in the appraisal process. If carried out properly, the system could mean that deserving employees were eligible for salary notch increments during the month in which they were employed, after a cycle of twelve months. However, the study has shown that pay increases happen anyway, making the necessity of PMS irrelevant. Despite this, the management's intent of having a PMS prevails though sporadically, unevenly and maliciously.

The study focuses on the role performed by leadership in the implementation of PMS within the Ministry of the Public Service in Lesotho with regard to ensuring and facilitating an effective Performance Management System. Therefore, the research attempts to find out the strategies and management methods used by leaders in the Ministry of the Public Service to implement PMS in order to, among other objectives, pave way for performance related pay.

## **1.2. Background**

### **1.2.1 Historical settings to the study**

The current state of civil service in the Government of Lesotho is a product of colonialism. The Kingdom of Lesotho did not have a civil service in its western context as it is today, until the institution of British rule in 1869. British rule over the protectorate of Basutoland, as Lesotho came to be called by the British, lasted 98 years until independence gained on 4<sup>th</sup> October, 1966.

The earliest civil service comprised 'officers of the government' or 'government officials', as the Resident Commissioner and Assistant Commissioners were called. Initially, these officials also served as district magistrates. Besides the Judicial Commissioner and his staff, police officers and jailers (later prison warders, headed by white officials), there were also court interpreters, dip inspectors (white), doctors (initially all white), nurses (for the then small government district hospitals), employees of the Treasury Department and members of the

oldest profession in the country, teaching. Chiefs, too, came to be salaried employees of the colonial government in the first half of the 20<sup>th</sup> century.

At the turn of the century, following the establishment of a government industrial school in Maseru, in 1905 (Thabane, 2002), and an agricultural college, some half a century later, the civil service slowly began to swell as it absorbed indigenous graduates of the two institutions as employees in the Department of Public Works as well as in the Department of Agriculture.

With the establishment of political movements and political parties, plus a demand for self-determination, in the 1950s, a number of Basotho who had received instruction from Christian run mission-institutions, in particular, the protestant Paris Evangelical Missionary Society (PEMS) training institutions, and were politically inclined towards the radical Basutoland Congress Party (BCP), came to be “vetted as understudies for top civil service positions,” (Machobane, 2001, p. 31) with the aim of taking over the senior civil service positions at independence. Thus, the protestant-educated were thus absorbed into government administration. The catholic-educated elite on the other hand, tended to favour the “more conservative Basotho National Party (BNP)” (Machobane, 2001, p. 32).

In 1965, Lesotho held the first elections which produced a government that would lead the country at independence which was to be inaugurated on 4<sup>th</sup> October, 1966. The BNP won the elections and formed the government.

After independence, most policy objectives, especially those meant to promote social and economic development remained hardly realised (Thabane, 2002). This was partly attributed to the civil service being dominated by members of the BCP, whom the BNP government did not trust and were rather unwilling to work with, relying mostly on many expatriates, including those from apartheid South Africa. The government was bent on replacing BCP sympathisers with civil servants they could rely on in respect of service delivery (Thabane, 2002).

The purge of civil servants who were aligned to the opposition BCP and their replacement with those claimed to be supporters of the BNP became a feature of ruthless undertaking in the early 1970s and opened doors to partisan recruitment into the civil service. This state of affairs would later on, in the trajectory of the newly independent kingdom, usher in not only politicization of the civil service, but also an attitude of laxity-cum-non-commitment to service delivery, a problem that has remained hard to eradicate for nearly five decades. The civil service thus

remained not only polarised, but lax as well throughout the period of BNP rule until it was overthrown in January 1986, in a military takeover.

Although the military rule banned political activity and recruitment of new entrants based on political inclination, the atmosphere of laxity, great indolence and non-commitment to service delivery within the civil service had taken root. Nonetheless, new entrants went on to be absorbed into the same laissez-faire atmosphere. Uncommitted civil service which came with ever-burgeoning budget for salaries was believed to be the main factor for underdevelopment in Lesotho (Thabane, 2002). According to the Lesotho government's Auditor General Report (AG) of 2007/2008, salaries and wages had accounted for 42% of the total expenditure, which keeps on increasing each year.

### **1.2.2. Background to the study**

The Ministry of the Public Service, formerly known as Cabinet Personnel, under the Office of the Prime Minister, was granted ministerial status in the financial year 1985/1986 as the executive arm of the Minister responsible for the administration of the personnel function in the Public Service. It was responsible for the management of personnel in the Civil Service. It was granted full ministerial responsibility to act as the 'mother Ministry,' which oversees that all other Ministries perform according to the requirements of the National Strategic Plan, (National Strategic Development Plan- NSDP of 1999/2000). Following the 1999/2000 restructuring, and in an effort to address the attitude of laxity and non-commitment to serving the public and instill a sense of delivering public value, the civil service was to be referred to as the public service, while employees were to be called public servants as opposed to civil servants.

The activities of the Ministry were guided by five-year National Development Plans which unfortunately were usually not followed. The first Strategic Plan was developed in 1996/1997 with the adoption of the Civil Service Reform Programme to improve service delivery.

Following the re-structuring process, the 2001/2003 Strategic Plan was developed as a prelude to the introduction of the Performance Management System (PMS), which requires the setting of objectives against which performance is measured, (NSDP) of 2012/13-2016/17).

In 2001, the government of Lesotho, through the Ministry of Public Service, introduced a Performance Management System (PMS) in an endeavour to effectively and efficiently measure and evaluate civil service performance in order to implement Performance Related

Pay. The government's expectation was that PMS would achieve national goals and effectively deliver services to the public in order to respond to the nation's demands. The government, through the Ministry of Public Service, thus continues to use the Performance Management System as a tool to monitor and evaluate performance when implementing national plans over a specified period of time (Government of Lesotho Legal Notice NO. 21 of 2000).

The Public Service Regulations (2000) states that government Ministries should prepare annual operational plans which set out objectives and activities of each ministry in accordance with objectives spelled out in the national plan as prepared by the Ministry of Development Planning (Government of Lesotho Legal Notice NO. 21 of 2000). The Public Service Regulations, (2000) further states that for proper and meaningful annual operational plans, the Cabinet Secretariat should provide guidelines on national priorities on an annual basis. It is upon these above mentioned priorities that ministerial annual plans are to be based. The annual operational plans are to be submitted to the Cabinet Secretariat within the first three months (3) of every financial year (Government of Lesotho Legal Notice No. 21 of 2000).

In an effort to improve service delivery, all chief accounting officers or Principal Secretaries as they are called in Lesotho (equivalent of Director-General in South Africa), are to ensure that public servants are appraised on the basis of the new system (Government of Lesotho Legal Notice NO.21 of 2000). Performance review should be carried out at least twice a year and ministries should hold management meetings at least once every month to report progress on PMS. Furthermore, ministries should submit quarterly progress reports to the Principal Secretary of the Ministry of the Public Service for the latter to monitor and evaluate progress on the implementation of PMS (Government of Lesotho Ministry of Public Service Regulations, 2000). These sets of norms were envisaged to be used as a government strategy to implement PMS efficiently and effectively to monitor and evaluate employees' performance as well as to introduce performance related pay. But as the study shows, PMS implementation in the government of Lesotho was not effective due to the fact that appraisals were not conducted on scheduled times and employees continued to get notch increments without getting appraised. As a result, performance related pay and improved service delivery were compromised because there were no records on whether employees performed as planned or not.

The Lesotho government's ballooning wage bill, for years, left the state with very little for servicing its capital budget as a result of the millions of Maloti (equivalent of ZAR) it spent on

paying its civil service salaries. It is not clear whether or not intended outputs were achieved, hence PMS was put into place to provide an integrated and holistic approach to the delivery of the government's ministerial mandates and achievement of national development plans and goals. Ministerial heads (referred to as Principal Secretaries within Lesotho government structures) were tasked to facilitate the implementation of PMS to ensure compliance, as PMS is envisaged to contribute to a well performing public service as well as efficient and timely service delivery. Compliance to the PMS terms and references would signify the importance of effective PMS implementation in order for the government of Lesotho to manage its wage bill. As the study will demonstrate, wage bill in Lesotho is still uncontrollable because sense of ownership of PMS by Ministerial Heads is minimal.

### **1.3. Problem Statement**

Despite the existence of the PMS and its centrality in the NSDP, the government deems the PMS weak and ineffective. The government of Lesotho, in its National Strategic Development Plan (NSDP) of 2012/13-2016/17, indicates that monitoring and evaluation systems such as PMS are untimely and not robust, thus affecting implementation of the NSDP (National Strategic Development Plan (NSDP) of 2012/13-2016/17). The reason behind this is the perceived untimeliness of PMS implementation because such components as ministerial plans and staff appraisals are not executed at scheduled times. Thus they are administered and appraised to no real timeframe. This, as a result, should affect implementation of certain strategies such as performance related pay, which is one of the strategies introduced by the government to control its wage bill. Yet this continues automatically.

The Performance Management System (PMS) was introduced in Lesotho in the year 2001, for the purpose of monitoring and evaluating public servants' performance, and paving way for performance related pay. The leadership in the Ministry of the Public Service, in particular, was tasked to facilitate implementation of the system. Directors of Human Resources were deployed in different Ministries by the Ministry of the Public Service to facilitate implementation.

As Pilbeam (2016) argues, the role of leadership is a potential solution to performance management, because management methods within an organisation are provided by leaders, in countries where PMS is considered effective, leadership plays a leading role in its implementation. Despite directors in the Ministry having such a central role in implementation of PMS in Lesotho, following Pilbeam's reasoning, it is unclear why PMS has been deemed

ineffective and weak in Lesotho and why performance related pay is seen to be the main outcome of the government. This raises the question of the effectiveness of leadership in its effective implementation.

#### **1.4. Purpose Statement**

The purpose of the research was to consider the role and leadership of implementing officers with regard to PMS, and the effectiveness of that leadership within the Ministry of the Public Service in Lesotho. The research aims were to find out from implementing officers why PM processes have been flouted, ignored and undermined across government ministries due to internal politics and cultures which ultimately compromises efficient and effective implementation PMS. Furthermore, the aim was to discover the individual roles played by HR practitioners in their respective ministries where they were deployed concerning PMS implementation as envisaged by the Ministry of the Public Service. The key players in the study were officers responsible for implementing PMS, namely Human Resources Directors as heads of Human Resources responsible for implementation of PMS in the Ministry of the Public Service. To achieve the primary purpose, the following were the secondary objectives: the level of participation of employees in the implementation of the PMS process, and the performance standards set to enhance a functional PMS in the Ministry of the Public Service. The research further strives to determine the level of commitment and support shown by the leadership in different ministries for PMS.

#### **1.5. Research question**

The study sought to answer the following main research question:

What is the significance of leadership in PMS implementation?

The following are sub questions that the study sought to answer:

- a) What is the role of HR practitioners in facilitating an effective PMS in Lesotho?
- b) How do poor management methods by ministerial leadership affect proper implementation of PMS?
- c) What are the challenges facing leaders in enhancing an effective PMS in Lesotho?

## **1.6. Limitations of the study**

Although the original thought had been to capture experiences of the public servants of various levels, as I believed they would provide some useful viewpoints in investigating factors prohibiting the Lesotho Government from having a functional Performance Management System, the research was ultimately limited to twenty (20) human resources practitioners in the Ministry of the Public Service. The main limitation related to time and budget constraints as well as the nature of the research undertaken, which is a mini dissertation. The research depended on the willingness of the participants in the ministry; without their cooperation the research would not have been a success. The researcher had to reason with the participants to make them understand the importance of the research to the ministry and the country as a whole. In addition, the researcher had to explain to the participants why the interviews had to be audiotaped; otherwise some were sceptical to agree to being recorded.

## **1.7. The structure of the research**

The structure of the research has been organised as follows:

- Chapter one outlines the introduction and the background to the research study. It also identifies the key questions driving the study. The chapter further provides a brief review about performance management system implementation and the kind of leadership responsible for its implantation in the Lesotho Government.
- Chapter two provides a review of literature and outlines the key concepts guiding the whole research, namely: sense of ownership from leadership, leadership styles, performance management practices, and consultation with employees. Also explored is the role of leadership in Performance Management, and the importance of leadership in PMS implementation.
- Chapter three presents research design and methodology that guides the research. It also explains the data collection techniques and how the data was analysed to ensure validity.
- Chapter four presents data and findings from government documents on Performance Management System, which were reviewed for the purpose of the

study. Also presented in this chapter are responses of the interviewed research participants from the Ministry of the Public Service.

- Chapter Five outlines discussion of data in relation to the literature presented for this study in an attempt to answer the research question.
- Chapter six provides a summarised analysis derived from the findings. Also presented are recommendations that may improve PMS implementation in the public service.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.1. Introduction**

This chapter provides a review of literature on performance management and leadership in the implementation of Performance Management System. The literature guides the research question and provides an analysis of concepts and theories relating to the importance of leadership as well as the role played by that leadership in PMS implementation in the public sector. Thus, the chapter strives to examine the effectiveness of leadership in PMS implementation.

The aim of this chapter, therefore, is to provide some insight on Performance Management and its components. It is intended to look at the role of leadership in the implementation of Performance Management System as a tool to monitor and evaluate performance in the public sector.

The chapter begins with a framing context for the emergence of Performance Management and Performance Management System as a tool used to reform the public sector. In order to introduce the strategic human resource action referred to as Performance Management, first, the New Public Management approach to running public service organisations will be discussed.

#### **2.2. New Public Management**

New public management (NPM) refers to the way of reorganising the failures and shortfalls of public sector performance over a certain period of time, especially poor performance, lack of accountability as well as poor institutional development of the public sector (Dooren et al., 2010). It locates the problem from its nature and manages public sector activities and public administration to improve service delivery (Kellis & Ran, 2015). NPM sets standards for policy formulation, measures performance and emphasises on output controls. Even though NPM focuses more on decentralisation and disaggregation of public services, it also emphasises the promotion of competition to the effective delivery of government services (Tozlu & Tüzen, 2016).

In the event of need to manage the public sector like the private sector, the new public management may be adopted in the public sector to accomplish multiple goals in order to increase government efficiency for improved service delivery (Bao et al., 2013). Balabonienė & Večerskienė, (2015) provide a good example that new public management is viewed as a forecasting tool for future successful implementation of plans in order to reach desired objectives and targets. The institution of new public management in managing the public sector makes the public sector less distinctive from the private sector in terms of procedures and rules for improved public sector management (Tozlu & Tüzen, 2016).

New public management has come to recognise a series of methods and programmes intended to reform the public sector (Yuan et al., 2011) and processes of the public sector in order to make it competitive and efficient in managing resources and improving service delivery (Dzimbiri, 2010). The New Public Management advocates for adoption of private sector management approaches in order to make the public sector more efficient and accountable (Akbar et al., 2015), because approaches such as competitiveness may improve service delivery in the public sector (Bao et al., 2013). For example, prior to the introduction of new public management, processes under-performance in the public sector was blamed on the failure of employees to deliver (Kellis & Ran, 2015). But with NPM processes in place, a multiplicity of quality management methods has been used to achieve pre-set targets (Dzimbiri, 2010). Where under-performance is recognised, NPM can be used to generate a system which will ensure that employees' performance is managed according to the rules and regulations in place. These NPM processes, which emerged from the OECD countries to implement public sector reforms, were later adopted to improve service delivery and to promote efficient management of the public sector in the developing countries. Their application is not simply used to provide management with governing tools but they are also fundamental instruments to improve management of the public sector (O'Boyle, 2015).

### **2.3. Performance Management**

Performance management (PM) is described as a significant strategic human resource action, which refers to a great range of activities performed by an organisation to improve organisational efficiency (Said, 2015). The purpose of performance management is to achieve organisational strategic goals through basic principles which comprise increasing employees' performance (Maley & Moeller 2014).

The subject of Performance Management has developed into a significant practice in private and non-profit organisations (Josifovski & Minovski, 2015). Organisations have realised a need to monitor and evaluate employees' performance in order to reflect the priorities of such organisations' strategic plans (Jian Wu et al., 2016). Performance management could thus be used as a strategy to reach national targets, and its techniques could be adopted across the entire public service for improved public sector management and for addressing bundled policy interventions in bureaucratic, centralised systems (Wu et al., 2016).

Performance management (PM) is outlined as a combination of a number of processes and different technologies that aid an organisation to measure, monitor and evaluate its business so as to maximise organisational performance in order to achieve its goals and objectives (Szczepańska-Woszczyzna, 2015). Furthermore, PM can be seen as a holistic and integrated process which is concerned with individuals' performance in an organisation. It enables employees to have a joint objective with the organisation, as a result, they remain committed and motivated (Acquaah, 2013).

The literature shows that an effective performance management fulfils the key strategies of an organisation by ensuring that managers comply with the terms and references of the organisation and act in accordance with the company policies (Jian Wu et al., 2016). Some authors such as Maley and Moeller (2014) give an example which supports the observation that sometimes employees criticise performance management not so much out of spite, but out of not understanding the criteria used in the organisation to measure their performance. This may result from managers failing in their responsibility to provide performance feedback to employees regularly (Maley & Moeller 2014).

It is apparent from the literature that PM is increasingly developing to being an integral part of managerial control systems intended to monitor employee work performance and work results (O'Boyle, 2015). Given that PM is perceived as an exchange system of work-allied information where both employer and employees express their requirements and ideas towards creating a conducive beneficial relationship (Tozlu & Tüzen, 2016), organisations would benefit from putting it into place (O'Boyle, 2015). Some authors such as Said (2015) show that PM is hated by unions yet remains part of formal labour practice.

The fact that PM enables open and collective leadership, and allows administrative control to be replaced with a structure that provides the organisation with room for improvements for future developments (McAuliffe et al., 2009b), would assist in developing systems that would

ensure that managers had control over production (António & Serra, 2015). Said (2015), provides a good example that performance management is viewed as a forecasting tool for future successful implementation of plans in order to reach desired objectives and targets.

PM is also perceived to be an ongoing communication course connecting employees with their supervisors to ensure compliance in the implementation of stipulated objectives (António & Serra, 2015). Continuous communication ensures that an organisation is oriented in the direction of achieving its strategic goals and improving organisational performance (Baloyi et al., 2014).

The fact is performance-based management concepts increase employees' productivity and improve services provided to citizens (Tozlu & Tüzen, 2016). However, this concept has been criticised for failing to address the issue of performance related pay (Said, 2015), as it is difficult to evaluate and reward employees in the public sector (McAuliffe et al., 2009a). Moreover, to motivate public employees is more complicated due to the nature and complexities of the public sector (Ducrotoy et al., 2015). As a result, implementation of performance-based management in the public sector is only based on providing services to the public not necessarily on employees' fulfilment (António & Serra, 2015).

In the event the PM process is not viewed as fair, employees may become disappointed. This may lead to them physically leaving the organisation, or psychologically withdrawing, that is, putting minimum effort in assigned tasks (Acquaah, 2013). In addition, if no standardised systems are in place, and there are no accurate notes and record keeping systems with regard to employee behaviour and performance, there are massive chances of producing falsified information (Avci et al., 2011). In the circumstances, it would be highly unlikely to send out reliable and unswerving messages to the employees. The discussion will now move to the balanced scorecard as one of the types of performance management tools used by the Ministry of the Public Service of the Government of Lesotho.

### **2.3.1. The Balanced Scorecard**

Among the different kinds of performance management tools discussed in PM literature is the Balanced Scorecard. The Balanced Scorecard is considered the most effective strategic planning management tool used by various organisations (Tozlu & Tüzen, 2016). It provides senior management with an effective approach to monitoring actions and processes performed by employees and allows them to maintain records of those actions in a well-organised and defined manner (Tozlu & Tüzen, 2016).

Wen & Mu, (2015) content that the Balanced Scorecard is the most broadly used PM tool to have spread all over the global business settings since 2000, after having initially been adopted by western countries. A unique aspect about the Balanced Scorecard is that it brings together financial and non-financial aspects of an organisation by presenting a more detailed picture on the actual performance of the organisation (Tozlu & Tüzen, 2016).

Even though the system has been highly recommended, some criticism has been levelled against it for its failure to realise the important roles played by other stakeholders within the organisation whose input might be of significance in determining the achievement of planned objectives (Ducrotoy et al., 2015). For example, as Jugend (2016) succinctly put it, if, following a change in key personnel, new management does not explicitly continue to support its use, existing scorecard initiatives could waver. It is, therefore imperative “to ensure that a change in management does not lead to a pre-occupation with operational matters, rather than a continued focus on the strategic issues reflected in the high-level scorecard,” (Jugend, 2016, p.24). The balance scorecard will inform the study on how PMS is implemented in a dysfunctional democracy like the Lesotho government whereby the leadership of the ministry changes every time the new government gets in charge.

Having examined one of the different kinds of Performance Management tools discussed in PM literature, the discussion now moves to performance measurement.

### **2.3.2. Performance Measurement**

The literature consulted indicates that governments introduce performance measurement in the public service to chart clear targets on each and every Ministry to achieve improved service delivery (Josifovski & Minovski, 2015). Performance measurement could be used as a strategy to reach national targets as its techniques could be adopted across the entire public service (Jian Wu et al., 2016).

For performance measurement to work effectively, chief leadership within the overseer public service unit need to be fully committed to ensure compliance, (Wen & Mu, 2015). The overseer monitors and institutionalises the system by ensuring that all ministries abide by the rules of the system (Aguinis, 2009). The chief accounting officers need to have regular meetings with stakeholders to put more pressure to civil servants to deliver services to the public (Walser et al., 2013).

Unfortunately, managers in the public sector sometimes get overwhelmed with performance targets that are followed by auditing plus rigorous questioning by parliamentarians (Akhtar and Mittal, 2015). The recommendations by parliamentary public accounts committees which are used to ensure both accountability and public service success (Andre & Lantu, 2015) occupy leaders and make them give less time to monitor duties assigned to employees which results in failure to meeting deadlines (Jian Wu et al., 2016). This inundation with different assignments becomes a hindrance to performance measurement which has a specific purpose of achieving sustainable performance management (Smith, et al., 2014).

In the event performance does not improve, and given that performance needs to be related to targets, implementation strategies should be revised in order to achieve the intended goal (Andreasson, 2011). This is in view of the fact that every principal officer has to meet the target of set objectives and goals (Acquaah, 2013). There are, however, counter arguments on performance targets. These will be discussed in the two paragraphs following immediately.

Some authors like Antonakis & House suggest that in the public sector, it is rather difficult to calculate targets in figures (Antonakis & House, 2014), arguing that the ambiguity to relate performance to targets in terms of figures in the public sector is highly noticeable (Jugend et al., 2016). In the absence of stipulated figures as targets, performance compliance is dependent on the management style of the head of section to ensuring achievement of set goals (Acquaah, 2013).

Since the introduction of performance measurement, there have been major arguments by different authors on how to measure performance in the public sector (Alimo-Metcalfe & Alban-Metcalfe, 2006). They argue that government structures are described as complex human activity systems ( Baird et al., 2012) which cannot be managed by simple performance targets (Barratt et al., 2011), but rather by systematic management approaches (Said, 2015). The leadership styles will be reviewed later in order to understand how leadership in the Ministry of the Public Service applied them in the implementation of PMS so as to achieve its objective.

Following the arguments raised above, on the tools of performance management, the discussion will now shift to performance management in the public sector so as to understand the importance of managing performance of the public servants.

## **2.4. Performance Management in the Public Sector**

Akhtar and Mittal (2015) here reviewed that there is plenty of information presented in the literature on Performance Management and on developing an effective system for a specific purpose such as performance measurement. Some managers, in an effort to maximise production in the public sector, place a great deal of emphasis on PM practices (Borins, 2002) such as goal setting, planning, monitoring, feedback, appraisal and remunerating employees (António & Serra, 2015). Therefore, whichever practice is engaged, leaders are expected to play a significant role to ensuring that PMS is implemented without difficulty (Currie, 2009). Leaders have the responsibility to state procedures to be followed by relevant departments in their respective organisations (Deinert, 2015). Performance management in the public sector requires leaders to provide relevant management methods to effectively and efficiently implement monitoring and evaluation systems for improved service delivery.

The next subdivision of the review focuses on the Performance Management System as a tool used to monitor and evaluate employees' performance.

## **2.5. Performance Management System**

The Performance Management System (PMS) is defined as a tool to facilitate faster decision making (Patton & Appelbaum, 2003). PMS can also be described as an adoption of corrective acts aligning employees' performance with an organisation's strategies (Rothacker & Hauer, 2014) and goals in a more effective and efficient manner (Walser et al., 2013). PMS stimulates accountability (Jugend et al., 2016) and promotes a conscious culture in organisations to efficiently and effectively deliver services as planned (Baird et al., 2012). PMS can be used at different scales such as the international level, national level, organisational level, as well as at individual employee's level (Aguinis, 2009).

Organisations, in their endeavour to manage performance, divide PMS into functions; these being: planning, monitoring and reporting (Said, 2015). Planning involves strategic designs of how an organisation's plans should be implemented (Ho-Seong Lee et al., 2016). Monitoring compares the actual performance (Birasnav et al., 2013) and the target status in order to establish whether the organisation is going to achieve the intended objectives (Smith, et al 2014). Evaluation, on the other hand, means assessment of the work performed for a specified period to ascertain whether stipulated targets were met or not (Acquaah, 2013). Reporting, on the other hand, is seen as preparation for a comprehensive documentation required by managers

to facilitate provision of information to the top management for calculated decision making (Walser et al., 2013).

Literature suggests that organisations which have effective performance management systems in place are likely to have motivated employees (Birasnav et al., 2013) with a high level of job satisfaction (Smith et al., 2014). Motivated employees are needed to take the organisation to a level of high performance zone (Barth-Farkas & Vera, 2014). Although many of the writings on PMS emphasise on the use of its components in different organisations (Terlav et al., 2016), they seldom take into cognisance the fact that “...its validity needs to be tested in an emerging country’s context, as this context can be more dynamic and completely different from a developed country’s context” (Muchiri, 2011, p.116).

The setting up of an organisational Performance Management System in a non-profit organisation is a practice that is introduced to improve the overall performance of the organisation (Ho-Seong Lee et al., 2016). Effective implementation of PMS could provide actual benefits in relation to management of performance objectives (Tourish, 2008) and accountability in the organisation (Baloyi et al., 2014).

The literature on PMS states that it is important to have a formalised PMS system if a number of departments are aligned together for a strong accountability to the public sector functions (Yuan et al., 2011). Zulch explains that sometimes organisations find it challenging to fully engage with appropriate performance management approaches (Zulch, 2014), therefore individualised systems need be adopted to fit into the organisation (Said, 2015).

In the public sector, despite the institution of PMS, ineffectiveness and inefficiencies have continued to be reported against public organisations and public employees (McAuliffe et al., 2009b). For instance, Performance Management has failed to make a significant impact in the public sector, especially in the health sector, as in the case of Ghana (Sakyi et al., 2011). This is mostly attributed to the lack of resources to support policy implementation (Moldogaziev & Silvia, 2015). Employees still do not perform as planned, despite PM being considered a system appropriate for effective delivery of services (António & Serra, 2015) with integrated and effective management control tools (Stander et al., 2015). This may be due to, as some other literature indicates, the fact that PMS is a complex process with different dimensions for efficient and productive work processes which may be complicated to such sectors as health (Walser et al., 2013). Sometimes the inefficiencies may be a result of budget limitations (António & Serra, 2015).

In the event PMS is perceived by employees as a useless, frustrating and time-wasting system that takes people away from their main roles and responsibilities (Stander et al., 2015), it should be re-evaluated in order to make sure that it serves the intended purpose of the organisation (Youn et al., 2012), because if employees do not support such a system (Zulch, 2014), it will obviously be of no benefit to the organisation in its entirety (Stander et al., 2015). The literature indicates that it might take long and ongoing adjustments to set up a system that really meets the needs of an organisation (Dipio 2013).

In as much as proponents of PMS eloquently show how it would assist in managing and improving performance (McGurk, 2009), there are strong arguments that indicate to consequences associated with poor implementation of performance management systems (Acquaah, 2013), resulting in the systems not working as intended (Moldogaziev and Silvia, 2015). Some of the negative consequences associated with low-quality and poorly implemented systems would include: physical and psychological quitting (Stander et al., 2015), false and misleading information, decreased motivation, damaged relationships, as well as time and money wastage (O'Boyle, 2015). As a result of the inconsistent systems, relations between concerned employees and their managers may be ruined; in some cases, permanently (Avci et al., 2011). Furthermore, poorly designed and implemented performance management systems would cost organisations not only money, but time, as well as potential employees (Baloyi et al., 2014).

Furthermore, in the event the PMS process is not viewed as fair, employees may become disappointed (Said, 2015). This may lead to them physically leaving the organisation (Ducrotot et al., 2015) or psychologically withdrawing, that is, putting minimum effort in assigned tasks (Dooren, 2010). In addition, if no standardised systems are in place, and there are no accurate reports and record keeping systems with regard to employee performance, there are massive chances of implementing ineffective performance management system (Avci et al., 2011). The literature presents that on account of the deficient systems, which produce poor information, record keeping and feedback, such consequences as poor service delivery, decreased motivation and employee resentment could result (Herman & Aguinis, 2005).

In order to overcome some of the challenges encountered upon implementing PMS, it is important to take a country's political stature into consideration, because political stability and leadership commitment are of great importance (Aguinis, 2009).

Having unpacked the concept of PMS, the focus of the discussion moves to leadership as the research is intended to look at the role of leadership in the implementation of PMS as a tool to monitor and evaluate performance in the public sector.

## **2.6. Leadership**

Leadership may be defined as an approach of behaviour designed to incorporate both the organisational desires and personal interests in the implementation of objectives (Birasnav et al., 2013). Leadership also embraces organisational stability (Antonakis & House, 2014a). It is regarded as a key enabler for organisational performance (Bao et al., 2013), and considered to be the driver of reforms since leaders are able to make informed decisions (Youn et al., 2012). Leadership can also provide guidance and direction to develop the organisation's mission, vision and values (Walser et al., 2013) as well as communicating to members of the organisation in order to coordinate activities (Andreasson, 2011). It is for the afore going argument that managers are often selected to lead because of their unique leadership styles (Terjav et al., 2016).

As Baloyi and colleagues state, when an organisation wants to manage performance effectively, leadership of such an organisation should be fully engaged on issues which will improve transparency and efficiency (Baloyi et al., 2014). This will provide the organisation with a stable performance management system to allow improved monitoring and effective performance (Acquaah, 2013). In order to overcome some of the challenges encountered upon implementing PMS, it is important to note that irrespective of a PM practice followed consultation with employees (Van der Voet et al., 2016) and a sense of ownership from leadership are of great importance (Walumbwa et al., 2011). Engaging leadership for implementation of public programmes, such as PMS is very crucial (Walser et al., 2013).

Furthermore, literature provides a certain consensus that "one of the determining factors in the successful implementation of company goals is leadership of the manager" (Szczepańska-Woszczyńska, 2015, p.315). As disagreements between managers and employees may result in disputes that waste time and reduce productivity (Leslie & Canwell, 2010), managers need to have excellent people skills and be able to adapt their leadership styles to interconnect with the personalities of different employees (Avci, 2011). Lack of leadership causes failure of many companies' initiatives (Kim, 2014) and most of the literature points to concur that leadership is an inevitable component in a successful implementation of an organisations' objectives

(Rothacker & Hauer, 2014). Following here after is a discussion on the role of leadership and performance management.

### **2.6.1. Leadership and Performance Management**

The role of leadership in performance management is perceived as pivotal because leaders have influence on organisational performance decisions (Baloyi et al., 2014) and they are viewed as the backbone of organisations (Akbar et al., 2015) as stated before. The argument raised by Pilbeam et al, (2016), that the role of leadership is perceived to be a solution to performance management because management methods within an organisation are provided by leaders, gains weight from Acquah's (2013) stance that high morale in organisations is gained through good leadership.

A similar argument is advanced by Barth-Farkas & Vera (2014) who suggest that for an organisation to effectively maintain high performance, leadership should be highly committed in order to improve service delivery (Barth-Farkas & Vera, 2014). This will provide the organisation with a steady performance management system to allow improved monitoring and evaluation of performance (Birasnav et al., 2013). Furthermore, the literature provides a certain consensus that 'one of the determining factors in the successful implementation of company's goals is leadership of the manager' (Szczepańska-Woszczyńska, 2015, p. 315).

Management leadership is positively associated with operational performance (Rothacker & Hauer, 2014). This is confirmed by Zulch's arguments that management leadership improves the level of organisation innovativeness, quality and operational performance in a manner that quality management is promoted (Zulch 2014). Therefore, management leadership requires acceptance of responsibility by top management (Leslie & Canwell, 2010), participation of top management in the quality improvements efforts, specifying of quality goals (Kellis & Ran, 2015) as well as strategic planning for the implementation of company's objectives (Andre & Lantu, 2015). Zulch adds that organisations need top management commitment, corporate quality culture and quality management for the organisation to survive (Zulch, 2014). The focus of the discussion shifts to leadership in managing the public sector.

### **2.6.2. Leadership in the public sector**

The role of leadership in the public sector is considered so crucial that without their full commitment in managing public affairs, it would be difficult to achieve intended goals (Alimo-Metcalfe & Alban-Metcalfe, 2006). The Public sector leaders are faced with a combination of challenges ranging from harsh financial climate (Kim, 2014), long term demand for quality

services from citizens (Bao et al., 2013), and commitments to improve performance of the public sector (McGurk, 2009). Leslie and Canwell (2010), present that the delivery of services remains the challenge for the public sector because of financial problems, therefore leaders struggle to manage as expected, especially head of departments, because they are expected to implement government strategies (Dipio, 2013).

Curry (et al., 2012) indicate that Public leaders are highly capable individuals; however, they are at times, not able to exercise their leadership skills due to the fact that they operate in complex and inflexible government departments (Curry et al., 2012). Consequently, the bureaucratic nature of the job means that leaders tend to underplay emotional intelligence (Dipio, 2013). In using supportive behaviour, leaders would show social and emotional support to employees for them to be motivated for accomplishment of tasks (Currie et al., 2009).

For effective coordination of activities, leaders are expected to provide guidelines and advice to employees in the public sector (Moldogaziev & Silvia, 2015). Furthermore, for the smooth implementation of organisations' objectives, leaders could benefit from mentoring and coaching employees (Kim, 2014) as they could be able to judge the appropriate degree of delegation as opposed to assuming aloof management status (Zulch, 2014). Tourish adds that for public sector leaders to be effective, teamwork should be promoted in order to think and reflect together for the survival of the organisation (Tourish 2008). As the study will show in the findings leadership, as demonstrated by Human Resources practitioners, means the backbone of PMS implementation in the public sector.

### **2.6.3. Transactional Leadership Theory**

One way of viewing leadership is through transactional leadership theory which provides important new perspectives about the role of leadership in managing performance in the organisation in order to promote compliance of employees (Kim, 2014). Transactional leadership theory encourages, promotes and facilitates change management in the organisation (Antonakis & House, 2014). It also explains the control of leadership on the organisational processes and strategies as a substitute to examining perception of subordinates (Pilbeam et al., 2016). The theory is understood to promote acceptance of obligations and loyalty by followers (Bao et al., 2013), whereby the leader is able to articulate a vision and encourage innovative thinking in employees (Szczepańska-Woszczyzna, 2015). Moreover, transactional leadership theory encourages commitment to organisational change which may be through rewards and punishment where necessary (Antonakis & House, 2014).

#### **2.6.4. Transformational Leadership**

Another way to understand leadership is to discuss the transformational leadership style. The transformational leadership is defined by Tourish as “a style of leadership whereby a leader works with subordinates to identify needed change, create a vision to guide the change through inspiration and execute the change in tandem with committed members of a group” (Tourish, 2008 p.234). The literature consulted also submits that to improve performance, organisations need transformational leadership in which employees will have the autonomy to decide the way to perform their duties (Antonakis & House, 2014b). Various literatures have found that there is a relationship between transformational leadership and efficiency of a company (Birasnav et al., 2013). Deinert et al., (2015) reviews have discovered that there is a positive connection between transformational leadership of managers and performance of their supervisees. Therefore, these views support the idea that the role of leadership is important in the organisational implementation of goals and objectives (Barth-Farkas and Vera 2014).

Transformational leadership encapsulates the art of motivating and empowering employees (Youn et al., 2012), because “organisations need leaders who will not only manage people but leaders who will first of all work with them to achieve common goals” (Tourish 2008, p.97). Transformational leadership involves mobilising employees, leading teams (Stander et al., 2015), and ensuring that employment standards are adhered to in the organisation for accomplishment of goals (Van der Voet et al., 2016).

Leaders who use the transformational leadership style are able to inspire and motivate workers to achieve organisational goals (Sirén et al., 2016), because they can encourage workers to perform at their level best and ensure that they abide by the organisation’s rules (Rothacker & Hauer, 2014). Literature on transformational Leadership attests to the fact that leaders are perceived to be the backbone of organisations (Kim, 2014) since they provide support to employees in order to take organisations to highest levels of performance (Deinert et al., 2015).

Although transformational leadership is perceived to be the most appropriate leadership style, it has been criticised for using influence as a means of getting the job done by employees (Stander et al., 2015), and sometimes leaders use rewards to persuade employees (Dipio, 2013) and it becomes costly to the organisation (Rotberg, 2009).

Another leadership theory is the transformational leadership theory that defines leaders as people who positively envision the future of an organisation (Kim, 2014) and engage primarily on improving employees’ confidence by helping them to realise their potential in order to

achieve organisational goals (Walumbwa et al., 2011). In pursuit of increasing organisational innovation, transformational theory puts an emphasis on encouraging employees to develop a framework on how to solve problems themselves (Mwambazambi & Banza, 2014). This theory supports the notion that employees should take risk while performing their activities (Terglav et al., 2016), because risky decisions are highly effective for producing unique services (Youn et al., 2012).

Transformational leadership theory further presents that an organisation should engage in a series of activities in a manner that promotes change management (Walumbwa et al., 2011). It also promotes commitment among employees and develop team identity (Terglav et al., 2016). Leaders who use the transformational leadership theory are able to inspire and motivate workers to achieve organisational goals (Sirén et al., 2016), because they can encourage workers to perform at their level best and ensure that they abide by the organisation's rules (Rothacker & Hauer, 2014).

#### **2.6.5. Responsible Leadership**

The meaning of responsible leadership derives from a process of collaboration with stakeholders both inside and outside an organisation integrating around a joint goal (Szczepańska-Woszczyzna, 2015). Responsible leadership is based on values and ethics in order to fulfil legal requirements (Rothacker & Hauer, 2014), as organisations need leaders who will perform their duties in a responsible manner (Van der Voet et al., 2016). This leadership style advocates for leaders who are fair and transparent when carrying out their responsibilities (Szczepańska-Woszczyzna, 2015). Responsible leadership involves responsibility of leaders in supervising other institutions in order to fulfil legal and formal requirements in the organisations (Stander et al., 2015).

Responsible leaders manage employees in a manner that will increase their moral standards and professional behaviour (Kim, 2014). Responsible leaders also understand that they should be exemplary on how to implement policies within an organisation (Baloyi et al., 2014). But leaders whose leadership style is not based on values and ethics may fail to adapt their leadership styles with personalities of different employees especially in instances of staff dissatisfaction (Deinert et al., 2015). Therefore, leaders who are not responsible to manage performance of employees under their supervision affect proper PMS implementation and this will be shown in the findings.

### **2.6.6. Situational Leadership**

Situational leadership approach on the other hand, emphasises that leadership is made up of two dimensions namely directive and supportive (Rothacker and Hauer, 2014). Therefore, efficient leaders need to apply one of them in appropriate situations (Borins, 2002). Rothacker and Hauer (2014) argue that directive dimension focuses on identifying on what should be done, who is responsible for what and how it is supposed to be done and this is a one-way communication (Leslie & Canwell, 2010). In contrast, when opting for supportive aspect the leader demonstrates social and emotional support as well as assisting in accomplishing a task and this provides a two-way communication (Kellis & Ran, 2015). Thus leaders will be able to communicate effectively with the employees and the adoption of proper management leadership style would promote smooth operations in the organisation.

For an organisation to operate smoothly, leaders need to adopt one of the styles or opt for a combination of styles (Birasnav et al., 2013). This is confirmed by Zulch when stating that leadership styles are required to allow managers to function in a complex environment in order to mobilise employees to maximise organisational productivity (Zulch, 2014). However, leaders may vary the leadership styles depending on the circumstances (Pilbeam et al., 2016). In as much as leaders are regarded as key enablers of organisational performance, in itself however, leadership is not a productive activity (Stander et al., 2015). “Managers do not actually produce goods or services while spending time leading and instructing workers to make sure that they perform their duties well” (Walumbwa et al., 2011, p204). Hence leaders need to consult employees in their strategic decisions so as to get their support in order to implement strategies without resistance and sabotage.

The discussion on situational leadership style brings us to the end of the literature debates and arguments on performance management and the role of leadership in the implementation of performance management systems.

### **2.7. Conclusion**

There is a relationship between leadership and performance management which emphasises that for PMS to be implemented effectively, leaders should take responsibility to ensure that employees adhere to the set rules and regulations. The review has assisted with valuable information on unpacking technicalities relating to effective performance management and leadership, respectively. It is thus crucial to factor in leadership approaches which can be

considered when implementing the Performance Management System and maintaining those approaches in the public sector.

Different strategies can be used to reform the public sector, particularly implementation of reforms. This is of great significance as the research intends to explore how such strategies as implementation of PMS in the public sector could be executed effectively. The literature also points to the notion that the role of leadership in PMS implementation is crucial as leaders are the ones who decide management methods in the public sector. This provides a useful and necessary basis to frame the study in this dissertation in regards to how leadership in the Lesotho Ministry of the Public Service apply effective strategies in implementing Performance Management System.

The literature further shows how leaders should take responsibility in organisations to monitor and evaluate employees' performance. The fact that the leaders should perform their role with diligence so as to motivate and support employees in the implementation of PMS, is also emphasised in the literature. The literature provides theories which relate to leadership and performance management such the transformational leadership theory and the transactional leadership theory which are going to be used to set the conceptual framework for the current study.

## **2.8. Conceptual Framework**

### **2.8.1. Theory of Leadership in Performance Management**

The transactional leadership theory and the transformational leadership theory as discussed in the literature review are going to set the framework for the current study as they present how the roles of leadership in managing performance in the organisation could promote service delivery (Kellis and Ran, 2015). Transactional leadership theory encourages and facilitates how change management should be promoted in the organisation (Antonakis & House, 2014b). It also explains the control of leadership on the organisational processes and strategies as a substitute to examining perception of subordinates (Pilbeam et al., 2016).

The transactional leadership theory and transformational leadership theory have been chosen to guide the whole study because both theories interpret the vision and reality of the current research. The transactional leadership theory advocates for leadership which can be able to influence employees to behave in a certain manner in order to achieve set goals and objectives of the organisation. The transformational leadership theory, on the other hand, concentrates on the links formed between the leader and followers for reliance and commitment.

Transactional leadership emphasises on the imperative for the leader to take control of the organisation to a level of high performance zone, while the main objective of the transformational leadership theory is to improve employees' confidence in order to maximise production. A transformational leader encourages employees to realise their potential so that they can be able to achieve organisational goals, whereas the transactional leadership theory presents the importance of the role of leadership in performance management, which is the main aim of this research. Furthermore, leadership styles are also going to form part of the conceptual framework since leaders in the Ministry of the Public Service opted for a combination of leadership styles to implement PMS in their respective ministries.

The study identifies performance management and management leadership as the two key concepts which define and set the parameters of the research. Therefore, the following concepts, drawn from the literature, will guide the research throughout. They are: sense of ownership from leadership, leadership styles, performance management practices, as well as consultation with employees. The following table presents the dimensions which emerged from the literature.

The literature presents different perspectives which provides themes and concepts which could be used to guide the current study. As a result, the research is guided by the themes and concepts as indicated in the table below.

<b>Themes</b>	<b>Author</b>	<b>Measures</b>	<b>Data</b>	<b>Purpose</b>	<b>Key Question</b>
Management Leadership	Rothacker & Hauer (2014) and Zulch (2014)	Leadership roles and employees participation	Interviews	To discover the level of participation in the implementation of PMS process.	What are the roles of leaders in ensuring effective and efficient implementation of PMS?
Performance Management practices	Aguinis (2009)	Performance targets	Documents	To determine performance standards set to enhance a functional PMS.	What are the key performance indicators set to enhance an effective PMS?
Leadership strategies	Tourish, 2008	Leadership styles	Interviews	To find out the leadership strategies and styles used by leaders in facilitating PMS implementation.	What are the leadership styles used by leaders to facilitate efficient and effective PMS?

Implementation strategies	Pilbeam (2016)	Efficiency and effectiveness	Interviews	To determine the effectiveness and efficiency of leadership in PMS implementation.	What are the strategic trends that are used by leadership in the implementation of PMS?
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**Table 1**

## CHAPTER THREE

### RESEARCH METHODOLOGY

#### 3.1. Introduction

The aim of this study is to investigate the role played by leadership in the implementation of Performance Management system in the Ministry of the Public service in the Lesotho Government. The main research question that the research required to answer is: What is the significance of leadership in PMS implementation? The sub questions are as follows:

- a) What is the role of HR practitioners in facilitating an effective PMS in Lesotho?
- b) How do poor management methods by ministerial leadership affect proper implementation of PMS?
- c) What are the challenges facing leaders in enhancing an effective PMS in Lesotho?

The chapter discusses research paradigm, design, the sampling of research participants and data collection. The chapter goes on to discuss not just the review of documents and interviews conducted to collect data, but issues related to validity and reliability, as well.

#### 3.2. Research Paradigm

The research study followed an interpretive qualitative approach and the methodology applied in the research is rooted in constructivist or interpretivist theory of understanding how leadership shapes the reality of the performance management system implementation in the Ministry of Public the Service (Wagner et al., 2012). This is based on the understanding that the constructivist approach addresses understanding of the world as people experience it unlike the positivist who believe that the researcher discovers reality through a particular realm of probability. The constructionist differs from the positivist in relation to their expectations about the nature of reality (Wagner, 2012). Therefore, the current study on leadership and factors affecting PMS implementation in the Ministry of the Public Service is understood from participants' perspectives and interpretations.

#### 3.3. Research approach

This study on the importance of leadership in performance management in the Ministry of the Public Service in Lesotho has employed a qualitative methodology due to its nature of following the interpretive qualitative approach. In qualitative research, ideas and meanings are socially constructed by individuals in their interaction with the social world (Barratt et al.,

2011). In addition, qualitative research is considered useful because it allows for some thorough investigation in respect of change, amendment and modification, all of which are of major concerns in this study. Moreover, qualitative research was deemed suitable in the sense that it helps researchers to understand interpretations provided by participants when explaining a phenomenon at a particular point in time (Trochim and Donnelly, 2001).

The other reason for selecting a qualitative research approach to this study was the fact that qualitative research methodology as described by Marshall, can be used to “investigate how social and political aspects of the situation shape reality and how individuals constitute reality” (Marshall, 2002, p.4). It can also be used to question aspects of the construction of reality in understanding how reality is organised (Barratt et al., 2011). Therefore, Performance Management System implementation within the government of Lesotho became better understood when participants from the different government ministries presented their experiences.

The other reason for selecting the qualitative method for this research was that in a qualitative study, the researcher is considered to be the primary instrument to gather information extensively through probing, during interviews. The most important thing is that the human instrument in data collection is able to be responsive and adaptive in order to accumulate loads of information (Trochim and Donnelly, 2001). The researcher can also check for accuracy of interpretations and determine unusual responses.

Last but not least, Human Resources practitioners’ experiences were examined and analysed constructively through use of the qualitative research method because the product of qualitative research is richly descriptive, since words and pictures are used to convey what the researcher has learned about a phenomenon. Although the qualitative method does have disadvantages due to the fact that the human instrument is likely to have shortcomings and biases when collecting and analysing data, such inadequacies, it was considered, could be controlled by far, by being aware and self-correcting as appropriate.

### **3.4. Research Design**

In undertaking this research, a case study design was used because the aim of the study was to answer the question, “why Performance Management System in the government of Lesotho is ineffective?”. This research on the importance of leadership in Performance Management in Lesotho’s Ministry of the Public Service is a study of a single case. Opting for use of a case study was based on the fact that a case study “is a particular strategy for qualitative empirical

research that allows an in-depth investigation of a contemporary phenomenon within its real-life context” (Patton & Appelbaum, 2003, p.103). Case studies usually employ a variety of data collection methods and sources which were used in the current study. Given that case studies do not rely on random sampling techniques, for this particular study, the researcher purposefully selected a case that was pertinent to the subject of the study in order to allow the subject to be fully investigated (Patton & Appelbaum, 2003).

Case studies have different types namely: exploratory, explanatory and descriptive (Yin, 2003) in (Trochim and Donnelly, 2001). An exploratory case study could be used for acquisition of an understanding of how a particular phenomenon takes place as well as understanding how social processes operate (Patton & Appelbaum, 2003). An explanatory case study on the other hand, allows for a hypothesis to be tested, and for theories to be developed, as it could be used to comprehend why a particular phenomenon takes place (Trochim and Donnelly, 2001). A descriptive study finally is used to describe “an intervention or phenomenon and the real-life context in which it occurred” (Patton & Appelbaum, 2003, p.548).

Stake (1995) in (Trochim and Donnelly, 2001) contrasts these three types of case studies by introducing the intrinsic, collective and instrumental case studies. The intrinsic case study aims at gaining a concrete insight into a particular case of interest. The collective case study on the other hand, involves a multiple case studies, while the instrumental case study works from the premise of providing some deep understanding into a subject. Stake (1995) in (Trochim and Donnelly, 2001) further asserts that an instrumental case study is used to understand something else of secondary interest and may help to refine a theory or provide additional insights into an issue.

Therefore, the present study on the Ministry of the Public Service, used a descriptive case study to investigate and explore the phenomenon on factors prohibiting leadership from implementing PMS effectively. This kind of study requires a deep investigation in order to understand experiences facing leadership in the Ministry. Even though case study findings may not be generalisable, as they are personal, a case study was considered important because it was an appropriate method to provide a comprehensive understanding of the subject matter under study. This case study deals only with the Ministry of the Public Service within the government of Lesotho.

### **3.5. Data Source and Sampling**

Purposeful sampling was used to select the participants. Sampling in a research is described as the process of selecting units from a population of interest so that the result of the sample studied can be equally generalised back to the population from which they were selected (Trochim & Donnelly, 2001a). The unit of analysis is defined as “a phenomenon of some sort occurring in a bounded context” (Trochim & Donnelly, 2001b, p. 199).

Participants were chosen from the Ministry of the Public Service in the Lesotho government. The participants were chosen from the Ministry of the Public Service by virtue of it being the custodian of the PMS notwithstanding that the participants are deployed in the other ministries. The Ministry of the Public Service has twenty-seven Directors of Human Resources and Human Resources Managers. Twenty human resources practitioners constituted the sample for the current study. The research excluded officers who were not facilitating the implementation even though they had to comply with terms and conditions of PMS.

Though the researcher is a mid-level human resources practitioner and an employee of the Ministry she selected the respondents without preferential bias. No personal knowledge of both the participants and subject matter was made to influence the selection. The respondents were selected by virtue of their capacity as DHRs or HRMs in the absence of the DHR.

The sampling choice was important because the current study seeks to explore the experiences of human resources practitioners in the implementation of PMS as leaders in the Ministry of the Public Service.

To avoid the sampling bias in selecting participants and depending on availability, the researcher tried to include all the Ministry’s twenty-seven Directors of Human Resources (DRHs) and their assistants, being the Human Resources Managers (HRMs) as they work together for the smooth implementation of PMS. Therefore, irrespective of whether a response came from director or manager, reliability of the findings was guaranteed.

### **3.6 Data Collection**

#### **3.6.1 Primary data**

Primary data refers to the data that was collected from participants. For the current study, method of data collection was face-to-face interviews. Given that in qualitative research, the respondents, be they individuals or groups, are conceptualised as dynamic shapers of actions

and circumstances, participants in this qualitative research had their experiences defined in relation to factors affecting PMS implementation in their respective departments. Therefore, the researcher gained highly from interacting with participants due to the concentrated and interactive nature of qualitative research.

For data collection with regard to investigating factors prohibiting the Ministry of the Public Service from having an effective and efficient Performance Management System, semi-structured questions were designed, and an interview schedule was developed for the human resources practitioners in their capacity as implementers of the PMS.

Interviews were envisaged not to take longer than an hour. Face-to-face interviews provided the researcher with detailed information on challenges and experiences encountered by the human resources practitioners when implementing PMS in their respective ministries. Furthermore, the interviews provided access to probing where necessary, and in the event the participants needed clarification to certain questions, the researcher was at hand to provide explanations. As a result, information gained was rich and to the point.

Before commencement of conducting the interviews, which for all the participants was done in their places of work, the respondents were given a briefing session about the purpose of the research, and their rights were explained to them in order to get them sign the consent forms so that they could participate in the research. All the twenty participants agreed to sign the consent forms, meaning they voluntarily participated in the research. The participants also agreed to having their interviews audiotaped.

Given the nature of the study, a close relationship to the respondents was established, for it is of utmost importance to forge close association with people when dealing with their experiences. Owing to the concentrated and interactive nature of qualitative research, and the fact that it allows for close collaboration with participants, thus establishing a social rapport with them, the researcher gained highly from interacting with participants (Barratt et al., 2011). The fact that the purpose of this study was to investigate the role performed by leadership, and the effectiveness of that leadership within the Ministry of the Public Service in Lesotho, in the implementation of PMS with regard to ensuring and facilitating an effective Performance Management System, interaction with participants was of great help.

### **3.6.2 Secondary Data**

Secondary data is the data which is gathered from documents. To gather more information from the Ministry of Public Service, the researcher reviewed Public Service Rules and Regulations 2008, Public Service Act 1995, Performance Management System Policy, Strategic Plan, Annual Reports and Minutes of meetings from the Ministry of the Public Service. These provided the researcher with an understanding on how the ministry deals with the implementation process of PMS. As a result, triangulation was reached at the data collection stage where multiple sources of data were used to enhance internal validity of the research.

### **3.7. Data Analysis**

Data Analysis “is the process of making sense of the data to answer the research questions” (Wagner, 2012, p.269). It comprises of summarising and examining data to find out how it will fit together to make sense. Data analysis, especially in interviews, is comprised of themes and patterns. Analysis can be classified as inferential analysis and descriptive analysis (Wagner et al., 2012). In this research, the data was gathered from documents and interviews, and it was analysed. The data was analysed on a daily basis after it was collected and transcribed.

The researcher started the data analysis from establishing and organising data around certain topics, categories, comparisons and key subjects from the literature review in relation to the current study. Themes and patterns identified were coded according to the theoretical framework established. The main task was to look at the relationship of themes and patterns. At a later stage, the researcher looked at additional themes and patterns which came out of the data collected. The analysis to the current study drew inspiration from content analysis, thematic analysis and discourse analysis due to the fact that the research is a case study. The data was also transcribed in order to present it and to identify patterns and themes. During data analysis supplementary interviews for clarifying some of the information provided earlier, was done telephonically with officers in the Ministry of the Public Service. These telephonic interviews lasted for about 10 to 15 minutes.

Data analysis in this study involved coding and categorising. Coding “is the process of transforming raw data into a standardised form” (Marshall, 1996, p29). On the other hand, categorising refers to the process of identifying and grouping together codes which relate to same item (Marshall, 1996). Therefore, a coding system to organise the data into units was developed. The coding system involved several steps such as searching through the data for themes and patterns, as well as writing words and phrases to represent patterns and topics.

Colour coding was used in each page of transcription, that is, a one colour strip was used for each category.

The data from documents was organised, read and re-read several times, from the beginning to the end. This was done not only to familiarise the researcher with the data, but more importantly, to get immersed into the data. During the reading process, the researcher coded the data in order to sort it according to topics, patterns and themes.

The interviews were audiotaped and transcribed into a master file. The data collected from interviews was repeatedly studied and categorised into patterns and themes. The list of categories was severed and grouped together under higher order so as to reduce the number of categories. As a result, the data collected from the documents was compared with the data collected from the interviews.

### **3.8. Reliability**

Issues of reliability in qualitative research are highly important. Given that in dealing with issues of reliability in research is crucial, researchers become apprehensive about whether or not the methods and processes they engage would yield the same results when employed on the same population and subject by different researchers (Barratt et al., 2011). In the current study, reliability was achieved through use of purposeful sampling and its strategies to produce reliable data. In order to further produce reliable data, the researcher had to rely on people who were knowledgeable on the subject under review.

The researcher in this study ensured that reliability was guaranteed by ensuring that data findings were an accurate representation of participants' views. The researcher looked for consistency of the findings by employing an audit trail strategy through which verification of the findings from the respondents was done after generating transcripts where possible.

In addition, an appropriate data base was established to store raw data from where it was easily accessed and retrieved. The data base was also used to keep data sources in an organised style so that the researcher could be able to access different kinds of data easily to ensure reliability. Records such as key documents from the Ministry of Public Service, audio files and narratives were also kept to enhance reliability.

### **3.9. Validity**

In order to enhance validity in the study, different methods of data collection were used. To validate the data, documentary evidence and interviews were administered fully with the aim

of obtaining and acquiring information about hindrances obstructing the Ministry of the Public Service from effectively and efficiently implementing PMS. Research questions were clearly written and edited to effectively substantiate the data. In order to get adequate information, the data was systematically collected through face-to-face interviews to allow for further probing in the event more clarity was needed. To further enhance validity, documents were sought from the Ministry of the Public Service, and they were being adequately reviewed to extract PMS implementation plans, strategies, monitoring and evaluation of the system. During the data compilation, further discussions with officials from the Ministry were engaged to validate the information being collected.

As indicated earlier, participants taking part in the study were Director Human Resources and Human Resources Managers in the absence of the Director Human Resources, the officers who by virtue of being implementers of the PMS, were expected to know factors affecting implementation of the performance management system. For the reason of finding themselves in the subject matter being investigated, it was assumed that they were highly knowledgeable and could thus be expected to be helpful in providing information which could enhance validity.

### **3.10. Ethical Considerations**

As ethics are highly considered in qualitative research, permission to conduct research was sought in the form of a letter from the Principal Secretary of the Ministry of the Public Service, as the Head of the Ministry, to provide permission to have his/her staff (human resources practitioners) participate in the study. It was explained to the participants that the information sought was going to be used for the purpose of the master's degree fulfilment as I was not being commissioned to conduct the research by any internal body. They were also made aware that if the findings were found to be helpful to the ministry, their participation would have been of great help in providing solutions to the country's implementation problems. They were further assured that their participation would bring no harm to them and that they were not forced to participate, therefore they could withdraw from the study when they felt that they were no longer want to take part. In fact, before being interviewed and having their interviews tape-recorded, they were asked to sign a consent form which they granted the researcher permission to have them interviewed.

### **3.11. Personal Discussion**

I declare that I am also an employee of the Ministry of the Public Service placed in the Ministry of Finance as Human Resources Officer. I am doing the research for the purpose of fulfilling requirements for my studying for Master in Management in the Field of Public Sector Monitoring and Evaluation. My employer has no control over this study, that is, I have not been tasked to carry out this research by my employer. Therefore, biased will be highly minimised as I have neither been coerced nor compelled to either undertake the study, or to make the study suit the needs of my organisation. The study is engaged to fulfil the requirements of the research component for the degree of Master in Management in the Field of Monitoring and Evaluation.

### **3.12. Limitations of the study**

Due to budget constraints, the researcher was not able to engage other researchers to assist in the collection and preparation of data and, as such, the aspect of member checking might be compromised as this was a self-study.. Through multiple data collection methods, comprising interviews and documents review, the researcher was, however, ensured that data was validated.

As a block-release part-time student, the researcher worked under a very stringent time consideration. Nevertheless, wisdom in efficient time management and the hunger to acquire a master's degree, the researcher made an effort to ensure that deadlines on the research scheduled time were met.

As the study was confined to the Ministry of Public Service top management, who operated within a busy schedule, securing interviews with them was challenging, but it was arranged that in situations where appointments with substantive heads did not materialise, their deputies would be available to stand in for them. Furthermore, due to constraints of time, lack of budget for carrying out the research, and due to the nature of the research, which is a mini dissertation, the study has had to be limited to twenty human resources practitioners in the ministry.

### **3.13. Conclusion**

The purpose of the chapter was to present the research methodology used for the current study. A research paradigm applied in this research was rooted in constructivist theory of understanding. A qualitative research design was selected, and a case study was used as a suitable design for this research to investigate the role of leadership in PMS implementation and factors prohibiting the Ministry of the Public Service from having a functional monitoring

and evaluation system. Face-to-face interviews were opted for data collection, while documents were reviewed to get in-depth information about PMS implementation in the Lesotho Government.

## **CHAPTER FOUR**

### **PRESENTATION OF FINDINGS**

#### **4.1. Introduction**

In this chapter, data will be presented and findings stated. The data to be presented and analysed comprises the Ministry of the Public Service's documents governing Performance Management System, as well as experiences and opinions of the directors and managers of Human Resources about PMS implementation in the Ministry of the Public Service (MPS).

The first set of findings emerges from review of documents governing PMS in the Ministry of the Public Service. The second set of the data comprises the data collected through interviews from the Directors Human Resources (DHRs) and Human Resources Managers as implementers of PMS in the Ministry of the Public Service.

The data analysis in this study included use of both narrative reconstruction of participants' accounts and the categorisation of personal accounts into themes that emerged from interviews and documents.

#### **4.2. The Ministry of the Public Service**

This section presents data which was collected from various documents which are used for implementation of PMS in the Ministry of the Public Service.

As the mother ministry, the Ministry of the Public Service is responsible for ensuring improved service delivery across all government ministries. It is also responsible for PMS implementation, which in the long run, is aimed for use to pave way for performance related pay. The Ministry of the Public Service has twenty-four Directors Human Resources (DHRs) deployed in the different ministries to facilitate and coordinate human resources functions, as well as PMS implementation in those ministries. Therefore, documents such as Strategic Plans, Public Service Regulations, Legal Notices, PMS policy, Annual Reports and Minutes were reviewed to determine the efficiency and effectiveness of PMS implementation by the Ministry of the Public Service.

The Ministry of the Public Service is the government ministry which ensures that all the other ministries perform as mandated. All the ministries are headed by political appointees referred to as Principal Secretaries (PSs), also known as Head of Ministries (HoMs), otherwise Chief

Accounting Officers, who are responsible to the minister. Second in command in the management of each ministry is the Deputy Principal Secretary (DPS) followed, further down the hierarchy, and at the level of directors, by Heads of Department (HoDs) who are responsible for the implementation of government policies to ensure that the ministries, through the various departments into which they are divided, achieve their objectives. In accordance with the Public Service Regulations of 2008, Directors Human Resources are supposed to work together with the HoDs in the implementation of PMS, in consideration of the fact that the employees who are to be appraised belong to the latter's departments. Thus, in principle, maximum cooperation between the two sets of directors is a necessity for ensuring effective PMS implementation (Public Service Regulations, 2008).

### **4.3. The Performance Management Policy**

The Performance Management System policy has, for years, remained as a draft, and as the system could not function without guidelines, some legislation was put in place to govern and guide the implementation of PMS. Since 2001, Performance Management in the Ministry of the Public Service has, thus, been governed by the Public Service Act of 1995, the Government of Lesotho Legal Notice No. 21 of 2000, and the Public Service Regulations of 2008. Notwithstanding the absence of a final PMS policy document, government ministries were obliged to deal with PMS as a strategy to monitor and evaluate public servants' performance, established by the Lesotho government in its endeavour to manage wage bill and implement performance related pay system. Nevertheless, Head of Ministries (HoMs), also referred to as Principal Secretaries, did not take responsibility to ensure that PMS was implemented as required and as planned due to the fact that in most ministries HoMs are not even aware that PMS exists (PMS Draft Policy, 2017).

Congruent to both the Performance Management Policy draft document and the Legal Notice No. 21 of 2000, the government of Lesotho, through the Ministry of the Public service, is set to instil a culture of continuous performance improvement and effective service delivery aimed at improving the standard of living of the entire nation. PMS was, thus, established to respond to an urgent need for improved service delivery in the public service in order to keep abreast with the changing national development challenges and priorities. For the foregoing reasoning, Director of Human Resources in the Ministry of the Public Service, in accordance with the Public Service Regulations, are required to play a leading role in managing the PMS in order to manage public servant's performance (MPS Circular Notice, 5<sup>th</sup> April, 2001).

Although the Ministry of the Public Service clearly stipulates how PMS, as one of the government strategies to improve performance in the public sector, should be implemented, Head of Departments did not support the Director of Human Resources to ensure that appraisals are conducted as planned, since appraisals have either not been conducted at scheduled times, or in some cases, not conducted, at all. Head of Departments did not feel obliged to implement PMS because the PMS policy remained a draft for years and both the Legal Notice No. 21 and the Public Service Act and Regulations (2008) do not provide guidelines (MPS Annual Report, 31<sup>st</sup> March, 2017).

The Public Service Regulations outline the components of PMS as planning, monitoring, evaluating, recognising and rewarding performance, as well as correcting poor performance and keeping employees motivated. In addition, performance should be monitored, reviewed and assessed on the basis of agreed goals, objectives, performance targets and service delivery standards. The regulations further state that in order to implement PMS effectively, an annual performance appraisal should be conducted at the end of the financial year, while performance review should take place half yearly. But all the steps were not followed because Head of Departments and supervisors did not comply with the PMS time frames for appraisals (MPS Annual Report, 31<sup>st</sup> March 2017).

#### **4.4. The Performance Management System: Anticipations and Expectations**

In accordance with the Legal Notice No. 21 of 2000, at the beginning of each financial year, government ministries are required to prepare annual operational plans which should among other things, set out the objectives and activities of each ministry in accordance with objectives stipulated in the national plan, as prepared by the Ministry of Development Planning. Further, still, at the beginning of each financial year, the Head of Ministries (HoM) are supposed to enter into performance contract with the government through the Ministry of the Public Service. Thereafter, the HoMs are to see to the setting out of the ministerial objectives and drawing up of annual operational plans, and submitting them to the Ministry of the Public Service for approval. They are so tasked to do so though they are political appointees, they are expected to administratively lead the ministries to which they are deployed. However, this has hardly ever happened, because there are no contractual documents legally put into place for the HoMs to sign. As in the case of the PMS policy, the document which should be used to that effect remains in draft form. Thus, nothing binds the HoMs to act in accordance with the contents of a draft document (MPS Annual Report, 31<sup>st</sup>March, 2017).

#### **4.5. PMS Implementation**

The Ministry of the Public Service issued a Circular Notice to instruct Head of Ministries (HoMs) to implement PMS as stipulated in the Public Service Regulations and Public Service Act. The HoMs were supposed to level the ground for Director of Human Resources (DHRs), as experts in PMS. Moreover, for effective implementation of PMS in their respective jurisdiction, the HoMs were supposed to resolve disagreements between the DHRs and HoDs in the event misunderstandings arose in order to implement PMS effectively especially because DHRs are deployed from another ministry and they were supposed to work together (MPS Circular Notice, 5<sup>th</sup> April, 2001). However, being political appointees, the HoMs have not been fully engaged in PMS implementation matters, but have over the years, had their attention and focus diverted to entrenching their political party mandates within the government ministries as a way to further extend their term of incumbency come election time. This practice has a serious impact in the administrative implementation of PMS since the system has to monitor performance of employees in the HoMs respective ministries (MPS Minutes, 22<sup>nd</sup> June, 2017).

The Circular Notice, 5<sup>th</sup> April, 2001 further stipulates that the performance management cycle in the Ministry of the Public Service should be aligned to the financial year which starts on the 01<sup>st</sup> April, and ends on the 31<sup>st</sup> March, the following year. But, all parties who were entrusted with PMS implementation, did not, even once, comply with this obligation as in most cases, if not all, employees began each financial year without having drawn work plans and went on to habitually perform their routine duties, resulting in appraisals not being conducted at the end of the financial year, but pay increases guaranteed (MPS Minutes, 22<sup>nd</sup> June, 2017).

#### **4.6. Ministerial Work Plans**

Three months before the beginning of the financial year, the Ministry of Development Planning is expected to issue guidelines on national priorities. This is done to ensure that each ministry's annual plans are congruent to the set national priorities. It is also stipulated that between November and February in each financial year, ministries shall, in line with budgetary planning, develop their own objectives and priorities for the next financial year, and submit the plans to the Ministry of the Public Service for monitoring. Despite the Ministry of Development Planning's efforts that include drawing up of the National Development Strategic Plan (NDSP), and making it available to all the HoMs (in their respective ministries), the HoMs hardly ever compiled their own ministerial work plans for onward submission to the Ministry of the Public

Service for approval. Failure to draw and submit plans to the Ministry of the Public Service results in ministerial plans that do not align with the NDSP (MPS Annual Report, 31<sup>st</sup> March 2016).

#### **4.7. Individual Work Plans**

According to the Public Service Regulations, (2008), every public officer, based on their job descriptions, and linked to the overall goals and objectives of the ministry, is expected to prepare an individual annual work plan for each financial year. The said plans are to be approved by immediate supervisors within the ministry's hierarchy so that each and every individual officer's performance is monitored, reviewed and assessed on the basis of agreed goals, objectives, performance targets (output) and service delivery standards set by the responsible department within the ministry (Public Service Regulations, 2008). However, all these seem to be alive and evident only in the regulations, as supervisors and supervisees do not comply with the established and stipulated terms and conditions of PMS, as evidenced by the fact that they prepare work plans and conduct appraisals only when they seek promotion to posts senior to those they currently hold (MPS Minutes, 24<sup>th</sup> August, 2917).

#### **4.8. Performance Appraisal**

As stated in the Public Service Regulations (2008), annual performance assessment is to be conducted at the end of every financial year. The Public Service Regulations further state that while performance review is expected to take place after every six months, performance monitoring is to be carried out throughout the performance cycle. The regulations clearly stipulate that supervisors are supposed to review public officers' performance on the basis of annual work plans that have clear objectives. Furthermore, the regulations state that coaching should be provided during work plan implementation, and emphasis is made on feedback (Lesotho Government Legal Notice, 16<sup>th</sup> March, 2000). However, supervisors only provide feedback when employees are accused of misconduct, and in such instances, only negative feedback is presented at the expense of the positive feedback which, if PMS had effectively-cum-efficiently been engaged, would be given by supervisors (MPS Minutes, 27 April, 2017).

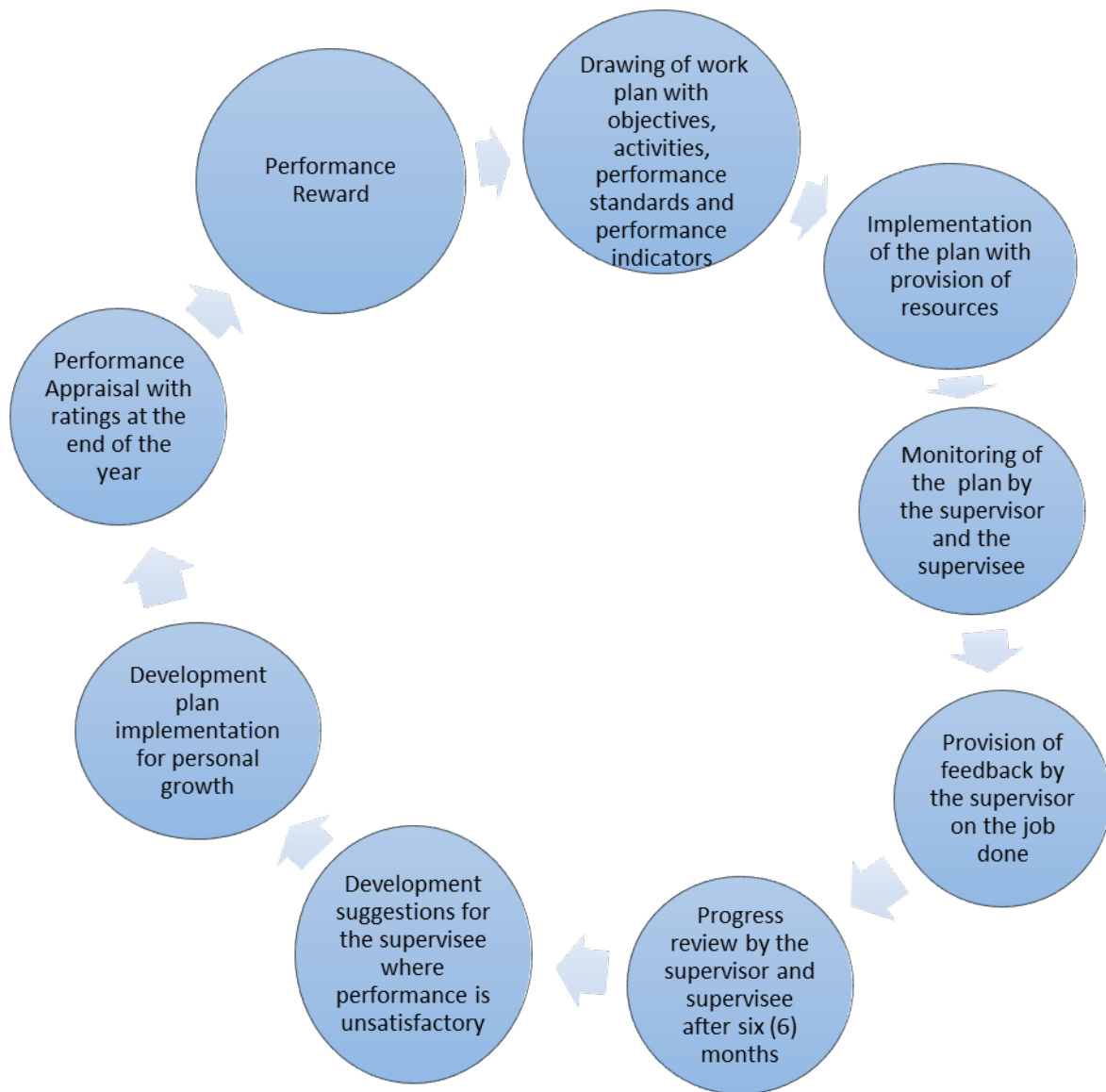
As stated in the Public Service Regulations, the Head of Ministries (HoMs) are expected to submit their ministerial quarterly performance reports to the Ministry of the Public Service (MPS) for the MPS to be kept abreast of ministerial developments regarding PMS implementation and for the MPS to monitor accordingly. For purposes of annual evaluation, the regulations are clear that annual performance reports should be submitted to MPS within a

month after end of each financial year (Public Service Regulations, 2008). Notwithstanding, the HoMs have, over the years, not submitted reports because there is insignificant or no PMS implementation happening in their ministries. The failure to submit reports stifles monitoring and evaluation which, in turn, impact negatively on efforts to implement PMS (MPS Minutes 24<sup>th</sup> August 2017).

According to the Public Service Regulations 2008, government ministries are subjected to annual performance appraisal at the end of each financial year in order to ensure that there is harmony and balance between ministerial performance and individual performance. Performance appraisal should be based on agreed performance standards, as well as tangible and substantive evidence to make sure that assessment is based on facts not perceptions. The ministerial annual appraisals should be completed within a month after the end of the financial year. Lastly, performance review should be carried out twice a year to allow for implementation of performance related pay. Nonetheless, since 2001, government ministries have not been appraised because there were no appraisal forms or supporting documents designed to appraise ministries, neither were there clear procedures to appraise them (MPS Minutes, 27 April, 2017).

The regulations further stipulate that different appraisal forms should be used for the different levels of employees, starting from top management, senior level and junior levels respectively. The appraisal forms for the three levels of employees are categorised into those on salary grade J to L (for top management), salary grade F to H for head of sections, while the final appraisal form caters for employees in the lower levels of salary grade A to E. Though the appraisal forms have been made available to all government ministries, they have not been used as expected, that is performance appraisal annually, and performance review, semi-annually. This means that the level of compliance was very low irrespective of introduction of Public Service Rules and Regulations to govern PMS in the absence of PMS policy (Public Service Regulations, 2008).

**The following sketch illustrates steps to be followed in the Performance Appraisal Process as stated in the Public Service rules and regulations; starting from drawing of work plans.**



**Figure 1 (Public Service Regulations)**

According to the MPS minutes of the meeting held on Wednesday, 22<sup>nd</sup> June 2017, it had been realised that if employees on first appointment did not seek confirmation for permanent appointment following completion of probationary period, or in the case of confirmed officers not seeking promotion, supervisors and supervisees ignore all the Performance Appraisal Process steps as illustrated in figure 1 above. Only when either confirmation for permanent appointment was sought by employees on first appointment, or when confirmed officers sought

promotion, did both the supervisors and supervisees concentrate on performance appraisal only, ignoring all other steps (MPS Minutes, Wednesday, 22<sup>nd</sup> June 2017).

#### **4.9. Performance Related Pay**

The Legal Notice No. 21, 2000 indicates that all the above mentioned steps, as indicated in figure 1, should form the basis for a Performance Related Pay System. The purpose for Performance Related Pay is to inculcate a culture of result-oriented performance in order to improve service delivery. In order to facilitate the rewarding of officers who deliver services as planned, the process of appraisal should be done as stipulated in the regulations. Ideally, the supervisor and supervisee should meet and appraise the work done for the whole year. Ratings emanating from such a transparent appraisal exercise should determine whether the officer deserves to get a notch increment or not. In practice, within the Lesotho public service, however, this is not the case, as public servants still get salary notch increments automatically during the month in which they were employed, after a cycle of twelve months, irrespective of whether they were appraised or not (MPS Minutes, 22<sup>nd</sup> June, 2017).

#### **4.10. Performance Appraisal**

As stipulated in the Public Service Regulations, performance appraisal is considered to be an interactive process which takes place between the appraiser and appraisee. Performance appraisal should embrace honesty and provision of feedback on actual performance against set performance targets (output). As a result, during performance planning, both supervisor and supervisee are required to agree on key performance areas that should be delivered during that particular year. Employees are expected to achieve objectives stipulated in the performance plan. Ahead of the appraisal session, the appraisee should compile and present a portfolio of evidence to ensure that assessment is based on facts. The performance appraisal form should be completed and signed by both the appraiser and the appraisee once the appraisal is done, and each party must sign a form allocated to their grade levels as proof that the appraisal was, indeed, conducted by the two parties (MPS Strategic Plan, 2014/2016).

However, MPS minutes of the meeting held on 22<sup>nd</sup> June 2017 highlight that, over the years, the supervisors and supervisees have not interacted as specified in the regulations, reason being the supervisors claiming that they are too busy with other managerial activities to make time for appraisals. Even when the interactive process does take place, sometimes the supervisors are not as honest as they are supposed to be when conducting appraisals. There were a few claims recorded in the MPS minutes of Wednesday, 22<sup>nd</sup> June 2017 that in some instances,

supervisors provided higher assessment ‘grades’ to their favourite employees even though they may not be deserving. In such incidents, the employees would not even have compiled work plans, yet the supervisors would not take that as misconduct. When work plans are compiled, it is on occasions of employees seeing prospects for promotion, thus seeking to be appraised to pave a way for them to apply for senior positions and when they want their temporary appointment to be changed to permanent appointment by way of confirmation to permanent and pensionable position (MPS Minutes, 27<sup>th</sup> April, 2017).

#### **4.11. Managing Performance Results**

Although the Ministry of the Public Service documentation clearly indicates how PMS should be implemented, ministerial monthly and annual reports, as well as minutes reviewed make no mention of PMS implementation. There is neither indication of PMS on the agenda of the said meetings, nor any sign of PMS mentioned in the reports (MPS Minutes, 27<sup>th</sup> April, 2017).

The Public Service Regulations state that in a case where performance of a public officer has been average or unsatisfactory, both the supervisor and the supervisee should together establish the factors contributing to the poor performance. Necessary arrangements should be made by the supervisor to address the problems identified, and to bridge the performance gap. The regulations further state that in the event an employee has performed up to the expected standard, and has thus met the target, such an employee should get a progression to the next notch (Public Service Regulations, 2008). In practice, however, the employees continue to get salary notch increment without being appraised, because supervisors do not conduct appraisals at scheduled times. As a result, it becomes difficult to determine whether or not the employees do really deserve the salary notch increment. In the circumstance, it further becomes difficult to have a sense of whether or not ministerial goals are taken into consideration during the appraisals or are simply conducted for the sake of being promoted to senior positions (MPS Minutes, 24<sup>th</sup> August, 2017).

The next section will present data from the interviews. The data was collected from two groups of human resources practitioners as is indicated in the table below.

## Biographical information of participants

Participants	Gender		Total
	Male	Female	
Director Human Resources	5	7	<b>12</b>
Manager Human Resources	3	5	<b>8</b>
<b>Total</b>	<b>8</b>	<b>12</b>	<b>20</b>

Table 2

### 4.12. Data from Interviews

#### 4.12.1. The Role of Director Human Resources in PMS Implementation

The directors and managers of human resources in the various ministries, whose input was obtained for the purpose of this study, agreed that their role in facilitation of PMS implementation encompasses mentoring senior staff on how to conduct performance management, ensuring compliance, and ascertaining that departmental vision and mission statements are aligned with the ministry's strategic plan. Their role also includes planning, directing and managing the process of PMS implementation within the different departments in each ministry as stated in their job descriptions.

The director from Ministry Six commented that:

As a leader, and by virtue of my position as Director of Human Resources, I am compelled to see to it that there are systems in place to serve as enablers, and that they are functional. PMS is one of those systems which focus on each individual's performance within the entire ministry (Setefane, Maseru, 05.10.2017, Interview, M6).

The Director of Human Resources explained that they understand their role in facilitating implementation of PMS, and they stated that it was their responsibility to smoothen effective implementation of PMS in their respective ministries, as they were accountable to managing change in order to improve management of the public sector.

Although the Director of Human Resources were clear that they have a responsibility to ensure that employees adjust to change, they also did indicate that they do not have authority with the mandate to control technical affairs of the ministries in which they are deployed. As a result,

when PMS implementation looks not to be going according to plan, and Ministerial Heads do not abide by Public Service Regulations, they feel disempowered to address such wayward behaviour as their responsibility is limited only to advising and guiding the HoDs on how to work within the scope of the regulations of the Public Service.

DHR from Ministry Six further stated that:

I am responsible for ensuring that individual employee's roles and responsibilities (job descriptions) are clear, understood and measurable (Setefane, Maseru, 05.10.2017, Interview, M6).

The Directors Human Resources pointed out that their role is to ensure that PMS processes are clearly understood and owned at all levels, and this is achieved through administering regular training sessions. Directors of Human Resources further indicated that their role embraced ensuring that PMS was implemented efficiently and effectively, thus guaranteeing that performance reviews and performance appraisals are done timely and accurately. Directors of Human Resources did however indicate that they could not compel the Heads of Department (HoDs) to conduct appraisals on time. All they could do was write reminders, by way of memos, to the HoDs, and no more than that. Director Human Resources have no powers to push the HoDs into complying.

The DHR from Ministry Nine mentioned that his role in PMS implementation is to ensure that:

PMS is not used as a punitive measure, but to, amongst others, improve below par performance as well as developing and maintaining the good performance. In the event poor performance is determined, it is the supervisor's responsibility to assist, develop and maintain the improved performance bearing in mind that PMS is a two-way process between the two parties - supervisor and supervisee (Ntoi, Maseru, 05.10.2017, Interview, M9).

All the directors of human resources share the same view that some supervisors use PMS as a tool to punish their supervisees; presenting their dissatisfaction and addressing misconducts matters against their subordinates which they might have failed to take disciplinary action against them a long time ago, thus failing to adhere to the Public Service rules and regulations and such other legal documents as the Code of Good Practice. The interviewees were clear that such a norm was unacceptable as PMS had not been introduced to punish employees, but to improve and manage performance of employees.

Although the Ministry of the Public Service introduced PMS in 2001 with the aim of managing public servants' performance, and also with the hope that performance related pay would be implemented, about 70% of Human Resources directors and managers indicated that they had, since 2001, not at all started with PMS implementation. Even for those who claimed to have tried in a rather insignificant way, there was nothing to show for it, calling for one to conclude that there, indeed, is zero PMS implementation, while prospects for a result-oriented performance in the Government of Lesotho remain far-fetched for now.

As the DHR in Ministry Three said:

There is zero implementation because supervisors and supervisees appraise each other when they need promotions only. In this ministry, we don't live PMS. There is nothing much I've done with regard to PMS implementation, besides, in as much as I wish to begin work on PMS, other managerial responsibilities keep me so busy I just wouldn't cope (Lehloka, Maseru, 26.09.2017, Interview, M3).

#### **4.12.2. Significance of leadership in PMS implementation**

The DHRs were unanimous that the Ministry of the Public Service emphasises that Head of Ministries (HoMs) play an important role in PMS implementation given that they have executive powers to determine and put in place strategies that can be followed by all employees in achieving personal and organisational goals. In spite of having been mandated by the Public Service Act to ensure that PMS implementation becomes a success story, in practical terms, the HoMs are seen not to be doing much to support the DHRs in their endeavour to facilitate implementation of PMS.

Even though the Heads of Ministries are considered crucial in PMS implementation, reviews and appraisals appeared to be unmanageable in most Ministries. In such Ministries, the DHRs indicated that they did not implement PMS as planned since employees got appraised only when they sought promotion.

The director from Ministry eight stated that:

Employees were not keen to be appraised because they perceived PMS to be a useless tool which did not determine their remuneration (Kotoka, Maseru, 17.12. 2017, Interview, M8).

The Director Human Resources further indicated that employees complained that supervisors did not conduct appraisals professionally as they did not invite the supervisees to the appraisal meetings as was stipulated in the Public Service regulations. Instead, according to the supervisor's amendment of employees' claims, the supervisors waited for the supervisees to beg to be appraised when they sought to apply for higher positions, a matter further compounding the challenge of having the appraisals not being conducted timeously. As a result, the appraisals become casual, informal and incorrect due to the fact that the supervisors allocate marks without taking performance standards into account, and without proof that the job had been done satisfactorily, and as planned (Kotoka, Maseru, 17.12. 2017, Interview, M8).

#### **4.12.3. PMS Implementation Strategy**

The directors and managers of human resources shared a similar understanding that for PMS to be implemented as effectively-cum-efficiently as the Ministry of the Public Service (MPS) guidelines indicate, it would require a series of strategies from leadership in the form of each ministry's management team comprising the Ministerial Heads, their Deputies and Head of Departments. In spite of the Ministry of the Public Service's provision of the guidelines, the Director of Human Resources and Human Resources Managers pointed out, PMS implementation seems a far-fetched reality.

On the same matter, as the Manager from ministry four argued:

The MPS's flaw might, in part, be attributed to its contracting a consultant to train and equip the Director of Human Resources with relevant skills with regard to effective PMS implementation, yet not rolling up the training to the Head of Ministries (HoMs). As a result of the imbalance in understanding, the manager indicated that they found it difficult to penetrate through to the top management about PMS (Tšehlo, Maseru, 05.10.2017, Interview, M4).

The directors and managers further mentioned that in order to guide facilitators on how to manage PMS implementation in their respective ministries, the Ministry of the Public Service drew a master plan, established service standards, and set indicators, not only to make PMS easy to manage, but also to create uniformity in all government ministries regarding PMS implementation as well as paving a way for a Performance Related Pay System. The strategy did, however, not work, as some government ministries such as the Ministry of Agriculture and Food Security complained that the master plan did not accommodate the fact that some of their activities were seasonal, and their performance could only be measured after harvesting

seasons. There were complaints that the master plan had been imposed on the ministries, and that employees were rebelling against the plan. All these resulted in supervisors not complying with the terms and references of PMS as provided by the MPS, and even worse, not conducting appraisals at the scheduled times.

#### **4.12.4. Challenges facing leadership in PMS implementation**

Almost all the DHRs and managers interviewed complained about the same challenge, namely lack of compliance and adhering to the time of appraisal period which proved to be a problem across all the ministries. The problem involved both supervisors and supervisees not conducting appraisals at scheduled times, as they viewed appraisal as a waste of time. Their reasoning was that irrespective of whether they conducted it or not, they were sure of getting a notch increment come beginning of a new financial year.

According to the director from ministry thirteen, Directors of Human Resources (DHRs) were frequently transferred from one ministry to another. Just as they thought they had settled in a certain ministry, and were able to work on challenges pertaining to PMS, they got transferred to another government ministry. So, getting round PMS implementation challenges remained difficult, and this the DHRs blamed upon their employer, Ministry of the Public Service, which was responsible for effecting their transfers, thus allowing the problem to persist (Metsing, Maseru, 08.10.2017, Interview, M13).

Furthermore, over half (60%) of the DHRs and managers interviewed described PMS, in the form in which it currently was employed, as a tool very much prone to being influenced by personal feelings and opinions, as it allowed for personal opinions to affect the end product. They further indicated that by virtue of the system being conducted manually, it remained susceptible to being abused by supervisors allocating good marks to their favourite employees at the expense of the others even if the former may not be deserving. Employees, on the other hand, did not provide a portfolio of evidence of work done against set targets, so this allowed the supervisors to use their discretion when rating their supervisees. The absence of PMS policy makes the system vulnerable because employees know that there will be no consequences if they do not apply necessary measures during appraisals.

As succinctly said by DHR in Ministry One:

I wish PMS was scientific and appraisal forms were filled electronically as in psychometric tests, because supervisors are not firm during appraisal, as they buy

people's faces by rating employees without producing proof for the job done. I think we need a Monitoring and Evaluation Unit in each ministry to manage the standards set for PMS (Seeiso, Maseru, 22.09.2017, Interview, M1).

The Director of Human Resources further stated that although PMS was put in place to manage public servant's performance, political appointees in the form of Ministers and Principal Secretaries interfered with the recruitment process of new employees, as they dictated to human resources practitioners to appoint people who supported their political parties into the various vacant positions within the government ministries. Such employees would, in most cases, be neither qualified nor relevant for the positions into which they were recruited, and would thus fail to perform, leading to omission or even negligence of guidelines drawn for PMS implementation, and thus making PMS irrelevant. It was further pointed out that the said employees strongly detested being appraised, and that the supervisors found it extremely hard to deal with them. In addition, the DHRs highlighted that the supervisors complained that they could not appraise employees who were responsible to a political appointee because they did not want to get into trouble.

As concisely stated by Human Resources Manager from ministry twelve:

PMS needs support from top management. It becomes difficult if the Head of the Ministry is a political appointee who does not show support because they are busy with their political mandates (Seleteng, Maseru.10.10.2017, Interview, M12).

Furthermore, the Directors of Human Resources from ministry eight indicated that:

The frequent change in government in Lesotho, necessitated mostly by political instability in coalition governments, affected PMS implementation, because each time a new government with a new Prime Minister from a different political party comes into power, a new head of ministry, who is a political appointee, takes over; and in most cases, they would be clueless about PMS. Orientating them, sometimes, became a challenge due to the fact that some of them would not even take it seriously. Even though the Directors of Human Resources worked tirelessly to initiate training sessions for the political appointees with regard to PMS, it became clear that the latter's interest rested elsewhere other than in PMS, thus further compromising its implementation (Kotoka, Maseru, 17.12. 2017, Interview, M8).

#### **4.12.5. Performance Management Practices**

Performance Management practices in the Ministry of the Public Service are considered as performance targets and performance standards set to enhance a functional PMS. Manifestation of both the performance targets and performance standards within the Ministry of the Public Service were evident in the PMS draft policy and the Ministry of the Public Service Regulations of 2008, respectively. To assess employee's performance, different appraisal forms were to be used as legal instruments during performance reviews and performance appraisal which were to be conducted semi-annually and annually, respectively. Another difference in the forms pertained to positions and responsibilities that the officers held. Appraisal forms for officers in clerical positions, for instance, differed from those used to appraise officers in strategic positions.

The Human Resources Manager from ministry eleven indicated that prior to the introduction of PMS, performance standards were not set centrally. Each ministry determined its own performance standards and indicators. Employees were appraised once a year by their supervisors who would recommend whether their supervisees were eligible for promotion or not. This was, later on, deemed ineffective, as employees did not partake in the appraisal process. On their part, the employees complained that the method was not transparent and that the whole system was biased, hence the introduction of a new system, the PMS in 2001 (Mphahla, Maseru, 15.10.2017, Interview, M11).

Although PMS does not necessarily change the functions and the uniqueness of each government ministry, performance appraisal forms were introduced for the purpose of uniformity across the ministries, so that the performance standards and measurements could be the same to pave way for performance related pay. Nonetheless, supervisors have been resistant to engage in the process of appraisal citing excuses such as lack of time. Consequently, time designated for appraisal would come and pass without both the supervisors and their supervisees having engaged in any appraisal as is suggested in the public service guidelines as well as rules and regulations. This, undoubtedly affects implementation of PMS.

For ease of the appraisal process, and to measure employees' performance so that they would, ultimately, be rewarded, the Ministry of the Public Service divided the officers into three categories, namely: junior officers, senior staff and executive staff. The

ministry then devised appraisal instruments for each category (Metsing, 08.10.2017, Interview, M13).

For the junior officers, the forms were simplified for ease of grasp and use, also taking into cognizance the level of education attained by some within this bracket. For the senior level, the forms tended to be rather comprehensive, as they were designed to accommodate issues of strategic and technical nature. A rather more complex set of forms was designed for use by the executive staff, taking into consideration that their work plans quite often covered not only day-to-day issues at ministry level, but also extended to including projects. Even so, employees still displayed some dissatisfaction with the appraisal process, claiming that it was flawed with bias and prejudice. They proclaimed that appraisal was, but a waste of time, because whether they got appraised or not, it made no difference, as they still were guaranteed of their remuneration and automatic annual pay rise (Metsing, 08.10.2017, Interview, M13).

#### **4.12.6. Leadership Strategies and Styles**

The respondents stated that when the system was introduced, a team of departmental heads, that is, directors of departments within the various ministries, including the Director of Human Resources, was identified and trained not only on PMS implementation, but also on how they would assist line managers with how to conduct appraisals and settle supervisor versus supervisee disputes. As this was a human resources related matter, all the other directors were to submit reports on the progress on PMS related activities to the Director of Human Resources, on a quarterly basis.

As indicated by the Director of Human Resources from ministry nineteen, initially, the workload was shared between the DHRs and the other departmental heads, but with time, the teams started thinning out, until they all could be said to have died a natural death. The DHRs expressed concerns of lack of interest and commitment from the other head of departments, and stated that the lack of commitment affected effective implementation of PMS (Matebele, Maseru, 27.09.2017. Interview, M19).

By virtue of being facilitators of PMS implementation, most DHRs described themselves as implementers that direct, lead, support and manage employee relations in their respective ministries, and that in their working with the other directors, they used a combination of transformational and situational leadership to ensure that PMS was implemented effectively. They indicated that a combination of the two leadership styles made managing PMS implementation organised because with transformational leadership, they only communicated

information and with situational leadership, they intervened where Head of Departments encountered problems.

They specified maintaining the philosophy that leadership styles must be responsive to given situations. This was based on the understanding that transformational leadership required them to drive PMS implementation, while situational leadership, on the other hand, mandated them to adjust to change as they supported their counterparts. The respondents asserted that initially, this approach helped them cope with challenges that arose in their working with the other departmental heads. Notwithstanding opting for a combination of the leadership styles, the head of departments and the DHRs seem to have somehow worked in disharmony in levelling the floor for PMS implementation, particularly at a time when cooperation, collaboration and teamwork were very crucial, as employees who were to be appraised were in the departments headed by those directors whose cooperation evaporated when it was most needed.

#### **4.12.7. PMS: Strategies for Implementation**

In the early days, that is, following the introduction of PMS, in 2001, there were scheduled fortnightly meetings in which Directors of Human Resources discussed strategies to implement PMS across the various ministries in which they were deployed. Not only strategies were presented in the meetings, but also challenges that the directors faced in their ministries in regard to PMS implementation. All in all, the meetings were a platform for provision of solutions to the DHRs' problems, and a pillar of support for those who were struggling to have PMS implemented in their ministries. Some directors were with the opinion that the meetings were beneficial, while others felt that the meetings did not fully provided solution since DHRs do not have control to manage the affairs of the whole ministry. The following quotations illustrate the director's divergent opinions with regard to PMS and the meetings, in particular:

When PMS is done properly, it enhances communication between parties, which results in a harmonious relationship; it promotes team work as well as team spirit, and it creates a conducive working environment. The fortnightly meetings that we used to have helped us not just to discuss the way forward, but also to share experiences. They thus, became a platform from which we shared skills and assisted each other so that we could better be equipped to implement PMS effectively (Ketsi, Maseru, 06.10.2017, Interview, M5).

In the beginning, we, as HR practitioners, and head of departments in the ministries where we were deployed used to work as a team for the advancement of PMS

implementation. In such meetings, the Ministry of the Public Service used to be in charge, but nowadays, the ministry is losing control, and this has affected PMS implementation negatively (Mabusetsa, Maseru, 03.10.2017, Interview, M16).

#### **4.12.8. Consultation with Employees**

According to the Human Resources Manager from ministry ten, prior to the introduction of PMS, public servants did not take part in the appraisal process, neither did they get feedback about their performance. Information relating to their performance was kept a secret by their supervisors, and they were not able to get promotions if the supervisors did not make such recommendations. With the new system in place, employees have a right to be provided with information about their performance. Heads of Department and supervisors (head of sections) are mandated to contact employees time and again, and provide feedback about their performance (Mohau, Maseru, 16.10.2017, M10).

Although directors provided training and awareness to public servants about their responsibility in respect of PMS, there still were challenges for supervisors and supervisees getting together to conduct appraisals on time. The DHRs interviewed pointed out that supervisors claimed that it was difficult to structure time for appraisals. The supervisors indicated that appraisals required the ministries to draw master plans which would accommodate appraisal sessions, as the task of appraising employees often clashed with the supervisors' times allocated for other work assignments. This had resulted in some employees not having been appraised for a period exceeding a whole fiscal year.

Even though the Ministry of the Public Service has opted for uniformity and standardisation in respect of use of the same performance appraisal forms and the same period of performance review and performance appraisal across the ministries, in some ministries, such as Ministry of Agriculture and Food Security, the performance review and appraisal periods, September and March, clashed with the planting and cropping, plus small stock's shearing seasons, when extension officers were immensely engaged in fieldwork, assisting farmers (Metsing, Maseru, 08.10.2017, Interview, M13).

An array of opinions also existed about PMS implementation in the ministries. The DHRs considered themselves as facilitators of PMS implementation not appraisers, and believed that they were doing their role towards implementing the system, but supervisors, on the other hand, were not doing their part. Furthermore, the DHRs indicated that they could not compel the other directors, referred to as Head of Departments to abide by the terms and conditions of

PMS, because they were not directly answerable to them. They also expressed their exasperation with the supervisors (section heads) who had to be implored to appraise employees at the times scheduled for appraisal. Yet, despite their persuasion for employees to be appraised, there was nothing to show for their effort.

The relationship between the DHRs and the Head of Departments could be described as acrimonious since they all were at the level of directors, though with regard to PMS, the DHRs exercised more power. The DHRs were of the opinion that since they and the HoDs were technically at the same level, even though by virtue of their facilitating PMS implementation the DHRs, in principle, exercised more power, could have worked against them. An example cited by the DHR of ministry nine helps elucidate the complexity of the working relations. On a certain date, a few weeks ahead of a performance appraisal period,

...the DHR wrote a memo to the HoD, having set a dead line for submission of appraisal forms. The HoD neither responded nor submitted the appraisal forms. After weeks of waiting, the DHR requested for intervention from top management. The intervention sought never came until there was change of government which in turn necessitated for a change in the top management of the ministry. This is a classic example of how our appeals as DHRs to top management would, quite often, reach a dead end, triggering many a facilitator to give up on PMS implementation. This is why some DHRs call the process 'zero PMS implementation' (Ntoi, Maseru, 05.10.2017, Interview, M9).

Yet in other ministerial duties and assignments not having to do with PMS, so indicated the respondents, the DHRs worked well with the Head of Departments. The DHRs further indicated that when they reported to the top management in their respective ministries that the HoDs did not account for their employees' performance, thus neglected responsibility regarding PMS, management did not intervene.

Though the PMS policy is still in draft form, there are clear guidelines on how to and how not to handle PMS by supervisors and supervisees. For example, the regulations state that reviews and appraisals should be conducted half-yearly (end of September) and annually, (end of March) respectively. In this case, the DHRs from all ministries are of the same view that they have been insisting that supervisors take responsibility and set dates for appraising their supervisees, but supervisors have failed to do so.

All participants interviewed agreed that since the Head of Departments and supervisors did not conduct appraisals, in as far as they understood, implementation of PMS had not been achieved. The director from ministry seventeen, for instance, strongly contended that such underlying issues as disagreements between DHRs and HoDs, and finding a common ground on when to conduct appraisals in ministries which have their own pressing engagements lined up during times set for performance review and performance appraisal, that is, in September and March, respectively, need to be resolved (Matela, Maseru, 09.10.2017, Interview, M15). “These resolutions need, first, to be arrived at so that a favourable working environment to all parties is created, paving way for effective and efficient PMS implementation” (Lenkoane, Maseru, 27.09.2017, Interview, M17).

The DHRs further added that in response to the concerns presented by DHRs to the Ministry of the Public Service about their frustrations regarding PMS implementation, and in a bid to build collegiality and mutual understanding between the facilitators of PMS implementation and the head of departments and sections, as well as to build respect for PMS as a government strategy aimed at improving public sector management, the Ministry of the Public Service, as the mother ministry, charged the top management (the PSs, the DPSs and the Directors) with the responsibility of making PMS implementation a priority in their respective ministries. The Principal Secretaries were, thus, instructed to lead the process of seeing to it that PMS was accorded the priority it deserved. Notwithstanding, the Principal Secretaries, by virtue of being political appointees, continued to give priority to instructions given by ministers of government over the mother ministry’s instruction to prioritise PMS.

#### **4.13. Conclusion**

The chapter has presented the data that was collected. The main findings highlighted the role and importance of leadership in the implementation of Performance Management System. It has also outlined the challenges facing the leadership in their resolve to guide PMS implementation. The most noteworthy challenges are lack of cooperation from Head of Departments and supervisors in the various ministries. It has emerged that the situation has been aggravated by lack of support by the top management in the ministries. Furthermore, the complexity of the ministries has implications on PMS implementation as it hinders a timely appraisal process.

The respondents raised concerns about the country’s dysfunctional democracy which is caused by political instability or change of guard in government, facilitators of PMS implementation

experienced lack of support from political appointees as the latter concentrated on entrenching their political mandates rather than public sector management as a result effective PMS implementation has been compromised.

This chapter has also demonstrated that in spite of the problems they encountered, the Directors Human Resources were committed to implementing PMS. Even though some of the problems proved to be beyond their control, they relentlessly tried to overcome every single challenge as they came to encountered it.

Finally, the chapter has established that for as long as the Ministry of the Public Service does not consult line ministries in their decision making effective and efficient PMS implementation will remain both a massive challenge and as volatile as has been the case since 2001. The next chapter will present discussion of the findings.

## CHAPTER FIVE

### DISCUSSION OF FINDINGS

#### 5.1. Introduction

This chapter critically analysis findings presented in the previous chapter. The data collected in this study consisted mainly of documents and informed personal accounts of directors and managers of human resources about implementation of Performance Management System in the Ministry of the Public Service. The findings are discussed in relation to the literature already reviewed for finding out whether the proposition was strengthened or challenged. However, this chapter also introduces some relevant, additional literature. The rationale behind this is the fact that new ideas such as bureaucratic hurdles and dysfunctional democracy emerged during the research process, therefore it becomes necessary to assess additional literature in order to discuss the findings effectively.

#### 5.2. A Functional Public Sector in a Dysfunctional Democracy

Though the focus of this study has been primarily on the importance of leadership in PMS implementation, it has, however, emerged from the findings that there are political factors which can be interpreted as signs of a dysfunctional democracy, and which need to be managed if effective PMS implementation is to be realised in Lesotho. This point is emboldened by Aguinis' argument that in order to overcome some of the challenges encountered upon implementing PMS, it is important to take a country's political stature into consideration, because political stability and leadership commitment are of great importance (Aguinis, 2009).

One of the key findings of the study pertains to the Ministry of the Public Service's determination to implement PMS in the context of Lesotho's recent-cum-current political landscape. Given the recurrence of change in government and governance, owing to the instability of the coalition governments that the country has come to experience of late, with the current one being the third within five years, PMS implementation is negatively affected. Although Walser et al., 2013 contend that engaging leadership for implementation of public programmes such as PMS is very crucial (Walser et al., 2013), the opposite is observed to be true in Lesotho, for each time a new government comes into power, a new head of ministry, who is a political appointee, takes charge. With a new political appointee in charge, the focus of leadership in the ministry shifts more to entrenching political interests of the new government, and paying little or no attention at all to PMS implementation. Thus, leading to

such suppositions as “political appointees even forget that PMS is a government strategy to improve public servants’ performance...” as was observed by one interviewee (Setefane, Maseru, 05.10.2017, Interview, M6). Another participant responding on the same matter, pointed out that “under the leadership of head of ministries who are political appointees, improved public sector management is compromised because their attention is diverted to political matters at the expense of administrative obligations” (Matebele, Maseru, 27.09.2017, Interview, M19).

The study has taken note of the fact that in spite of certain governance weaknesses and flaws with regard to use of state apparatus which have prompted some scholars and analysts to refer Lesotho to a dysfunctional democracy, the Ministry of the Public Service, as mother ministry, has striven to have a functional public sector, as evinced by strides taken to implementing PMS with the aim of not only improving the public sector, but managing the public servants’ performance, as well. The literature suggests that irrespective of a PM practice, a sense of ownership from leadership are of great importance (Pilbeam, 2016) therefore the ministry should, be credited for acting as a strategic leader who is concerned with setting a framework of where the organisation needs to be in the future so that the strategy could translate the moral purpose and vision into reality no matter how dysfunctional the state is. The study points out the fact that the Ministry of the Public Service has played a pivotal role in implementing PMS and taking responsibility as the leading ministry to ensure that line ministries implement PMS irrespective of institutional politics prevailing in the government of Lesotho. The ministry’s action also find emphasis from scholars’ Baloyi et al., 2014 expression that responsible leaders understand that they should be exemplary on how to implement policies within an organisation.

### **5.3. Public Sector Management**

The other key finding to have emerged from this study relates to effective management of the public sector through Performance Management System. If, in line with a point raised in the literature that in the event of need to manage the public sector like the private sector, the New Public Management may be adopted in the public sector to accomplish multiple goals for increased government efficiency and improved service delivery (Bao et al., 2013). PMS in the government of Lesotho had been implemented in accordance with the tools provided by the Ministry of the Public Service. The study indicates that had it been the case that PMS policy was in operation rather than being in draft form, not only would public value have been attained, but a results-oriented performance could also have been achieved. Further, still, the

literature demonstrates that performance-based management concepts increase employees' productivity and improve services provided to citizens (Tozlu & Tüzen, 2016).

In its effort to reform the public sector through Performance Management System, the government, through the Ministry of the Public Service, has fallen way short in respect of either or both attainment of effective PMS implementation and achievement of a results-oriented performance. Since ministries' structures were not flexible enough to provide the Directors of Human Resources necessary support in their endeavour to implement PMS due to the fact that there were no supporting documents such a PMS policy document in place to clearly stipulate the terms and conditions of PMS so as to enforce proper implementation of the system. Admittedly, therefore, it could safely be said that the government has not achieved its objective to effectively monitor and evaluate public servants' performance, as well as implementation of performance related pay system.

Consequently, prospects for either or both attainment of effective PMS implementation and a result-oriented performance in the government of Lesotho remain a far-fetched reality, for now. Said's suggests that should organisations find it difficult to fully engage with appropriate performance management approaches, individualised systems need be adopted to fit into the organisation (Said, 2015). Performance reviews and appraisals within the public service of Lesotho might be manageable if PMS policy gets finalised and becomes operational so that concerns such as individual ministries demanding their own scheduled times appropriate for them to conduct the reviews and appraisals within each financial year could be addressed.

The findings indicate that some of the reasons for PMS not being operational, notwithstanding clarity of the Public Service Regulations regarding its implementation, could be ascribed to ministerial complexities. Such complexities are attributed to some ministries not being able to align their activities with Public Service Ministry's master plan. Imposing the ministry's master plan for PMS implementation upon the public servants resulted in the plans and strategies for implementation being resisted by supervisors, as evidenced by ministries which progressed with their own activities during appraisal periods. It has, thus, been noted that contrary to Smith et. al's observation that in the event PMS is perceived by employees as a useless, frustrating and time-wasting system that takes them away from their main roles and responsibilities, it should be re-evaluated in order to make sure that it serves the intended purpose of the organisation (Smith, et al.,2014). The Ministry of the Public Service's undoing laid in its slow reaction to have the system re-evaluated. It was only in 2017, some seventeen years after first

being implemented, that the ministry began to revise tools and strategies for PMS implementation.

#### **5.4. Strategic Leadership**

Congruent to literature suggesting that leadership plays an important role in PMS implementation, it is apparent from the findings that leadership in the Lesotho Government's Ministry of the Public Service did their best to support implementation of PMS, despite the challenges they faced. The Literature has also established that leadership is important in effectively and efficiently implementing PMS, as strategies to implement PMS are coordinated by leaders. As succinctly noted by Pilbeam et al (2016), the role of leadership is perceived to be a solution to performance management, since management methods within an organisation are often provided by leaders. This observation is supported by Aguinis's (2005) stance that leadership could instil high morale in the organisation for effective implementation of plans. Aguinis argues that sound leadership could improve employee confidence and make employees be more responsible and loyal to the organisation (Aguinis, 2005).

The study has established that the Directors of Human Resources' role in PMS implementation encompasses training staff about PMS; mentoring senior staff on how to conduct performance appraisals; ensuring that appraisal forms are available to employees; making reminders to the Head of Departments about periods within which to conduct appraisals; compiling filled appraisals for onward submission to the Ministry of the Public Service, and standing in as reference point for PMS consultations as well as settling of disputes that may arise between the supervisor and supervisees. This is due to the fact that human resources practitioners are believed to be experts of PMS implementation in the Ministry of the Public Service.

The findings have revealed that the role of reminding the Head of Departments of times to conduct appraisals received little attention from the Head of Departments due to the prevailing tension between them and the Directors of Human Resources. As a result, achieving respective departmental objectives as well as ministerial vision and mission were compromised by lack of team work in the various ministries. The respondents emphasised that it was difficult to implement PMS without getting support from the Head of Departments as this led to incidences of appraisals not being conducted at scheduled times for final submission to the Ministry of the Public Service for the latter to reward employees who performed as planned.

It has also been observed that contrary to the initial understanding that the Directors of Human Resources were deployed in the various ministries to implement PMS, they, in actuality, are

facilitators who not only provide guidelines on how to conduct appraisals properly, but also advise on the planning process that encapsulates drawing work plans and the implementation process which comprises monitoring and evaluation. The findings point at the fact that the Head of Departments, as appraisers, are, themselves, implementers, since they are responsible for appraising employees. Hence, effective PMS implementation depends on their commitment to comply with the terms and reference of PMS as stipulated in the Public Service Regulations (2008). Admittedly, however, in as much as literature points out that one of the determining factors in the successful implementation of a company's goals is leadership (Szczepańska-Woszczyńska, 2015), it has been found that leadership within the ministries of the government of Lesotho did not have a guidelines document in place to help them support the initiative to implement PMS because the PMS policy is still in draft form.

The findings have further noted that in as much as the Directors of Human Resources' role comprises planning, directing and managing the process of PMS implementation in the different departments within the ministries where they are deployed, they do not have the mandate to appraise public servants. In fact, with the exception of Human Resources Officers and Managers, all staff in the ministries answers to the various section heads, who have the obligation to appraise them. Thus, the responsibility to appraise public servants rests not with the Directors of Human Resources, but with supervisors in the different sections and departments within each ministry. The PMS literature assumes that leadership can make PMS implementation a success, but in Lesotho it is not so, because there are no guidelines documents to help them manage and make officers to comply with the set standards, and to perform their duties as allocated to their respective positions.

The respondents voiced their displeasure regarding the poor efforts of ministries to draw work plans with objectives, activities, as well as performance standards and indicators for management of employees' performance and preparation of appraisals at the end of financial year as stated by the Public Service Rules and Regulations (2008). Neither is there evidence, as the study has revealed, of the ministries providing resources for implementation of the plans, not to mention such other steps of the appraisal process as monitoring implementation of plans and provision of supervision. Although literature on leadership clearly indicates that leaders in the public sector are faced with multiple responsibilities such as having to provide quality services to the public, as well as improving performance of public servants (Bao et al., 2013), the findings have shown that without supporting guidelines documents in place to implement

the systems, it becomes difficult for leaders to effectively implement strategies successfully, as a result the systems such as PMS becomes useless.

Admittedly, therefore, the findings have revealed that PMS is not implemented as planned and this is what António & Serra alluded to, that if not implemented as planned, PMS fails its primary purpose of being an ongoing communication course that connects employees with their supervisors to ensure compliance in the implementation of stipulated objectives (António & Serra, 2015). In the case of the Lesotho government, PMS depends on the good will of supervisors to comply with the terms and reference of the system due to the fact that the PMS policy is only a draft and a large proportion of supervisors do not commit to appraising employees under their supervision at the time of appraisal, as a result, PMS implementation becomes a far-fetched exercise.

One of the key findings in this study is that the Ministry of the Public Service, when deploying the Directors of Human Resources in the various ministries, had not envisaged that they would face a challenge in leading other leaders, namely departmental directors (Head of Departments) within the ministries. The ministry was thus not aware that the Directors of Human Resources might need a government tool with which they would feel legally positioned in directing the Head of Departments with regard to matters relating to PMS implementation. As a result, PMS implementation within the ministries was not progressing as mandated by both the Public Service Act of 1995 and the Public Service Regulations of 2008. Furthermore, the Directors of Human Resources received little support from leadership in the ministries as the latter did not act in accordance with both the Public Service Act and the Public Service Regulations in implementing PMS.

Another finding of the study relates to the fact that since 2001, PMS has not been implemented in accordance with the Public Service Act and the Public Service Regulations. The context in which PMS was supposed to have been implemented was not followed, and this negatively affected the government's strategy to both manage public servants' performance and implement a rewarding system. The fact that PMS has not been implemented within the pre-planned framework has thus resulted in employees not being eager to partake in it, yet are still desirous of annual salary increment, concurs with Acquah's assertion that deficient systems may result in decreased employees' motivation and resentment (Acquah, 2013).

The study has also revealed that given necessary support, use by the Director of Human Resources of a combination of two leadership styles, namely, transformational and situational

leadership, could prove useful towards the success of PMS implementation. This is based on the Directors Human Resources' responses that in spite of the challenges relating to resistance by the Head of Departments, as earlier pointed out, use of either or a combination of the two leadership styles had resulted in relaying information as well as intervening where there were problems. The Director Human Resources' responses seem also to be in agreement with Birasnav et al., (2013) that for an organisation to operate smoothly, leaders need to adopt one of the styles or opt for a combination of styles. The DHRs' assertion is in tandem not just with Rothacker & Hauer's declaration that transformational leadership theory specifies that leaders display a certain behaviour which speeds up employees' level of understanding through which they could improve their performance, (Rothacker & Hauer, 2014), but also with Zulch's intimation that leadership styles are required to allow managers to function in a complex environment in order to mobilise employees to maximise organisational productivity (Zulch, 2014).

### **5.5. Sense of Ownership from Leadership**

The DHRs and HRMs interviewed share the same view that although PMS requires commitment from all public servants, ownership from leadership is of utmost importance. They opined that commitment and compliance with the regulations and guidelines of PMS from leadership are fundamental aspects of PMS implementation, as a result leadership needs to balance the procedural elements of PMS and the governing of the ministry for in accordance with the Public Service regulations:

Heads of Departments shall be responsible and accountable for the effective application of the Performance Management System in their respective jurisdictions in accordance with the regulations and guidelines set out by the Minister Public Service Regulations, (2008).

Performance management is, thus, one of the chief responsibilities of leadership aimed at improving public sector management. If PMS was implemented as planned, the respondents indicated, public value could be achieved. Thus, all the DHRs and managers interviewed were in agreement that results oriented performance could be achieved through proper PMS implementation. However, this commitment remained only in theory as captured in the MPS's documents, for there was no evidence of it on the ground, given that some supervisors, line managers, Head of Departments and even Head of Ministries did not share the same

commitment. Even so, the DHRs made no secret that given necessary support, they aimed at achieving improved PMS implementation through training, facilitation of PMS meetings, scheduling appraisals and reviews and compiling appraisal results for onward submission to MPS for performance management.

### **5.6. Service Delivery**

The literature suggests that for an organisation to effectively maintain high performance, PMS should be implemented properly in order to improve service delivery (Barth-Farkas & Vera, 2014); and the government of Lesotho has decided to introduce PMS to monitor and evaluate public servants' performance for improved service delivery; unfortunately, the findings proved that implementation of PMS in the government of Lesotho has not been effective. The failure to implement PMS effectively has thus affected service delivery. The respondents confirmed that PMS implementation in the Government of Lesotho has been neglected therefore Directors of Human Resources got overwhelmed by lack of both interest and commitment by various Head of Departments and Head of Ministries to solve PMS implementation related problems in their respective ministries in order to ensure accountability and improved service delivery. All these factors, it was observed, resulted in failure to implement PMS successfully. These views concur with Josifovski & Minovski's proposition that governments introduce Performance Management System in the public service to chart clear targets on each and every ministry to achieve improved service delivery but if there are no legal documents to guide the processes effective implementation will not be achieved (Josifovski & Minovski, 2015).

Another aspect which impacts negatively on PMS implementation, as raised by respondents, is lack of communication within ministries. It has been found that the Ministry of the Public Service, as the mother ministry, imposes appraisal periods on the other ministries without taking into account different activities performed by those ministries. Furthermore, transfers of Managers and Directors of Human Resources from one ministry to another are instituted by the mother ministry without consulting the receiving ministries. Such transfers impact negatively on facilitating effective PMS implementation and service delivery. Such practices may result in the public service not being competitive and efficient, as well as in inefficient and ineffective use and management of resources, and in disagreement with Yuan et al.'s expression that the new public management has come to recognise a series of methods and programmes intended to reform the public sector in order to improve service delivery (Yuan et al., 2011). The failure to manage resources may affect service delivery negatively, for example, to transfer human resources practitioners without consultation affects service delivery, because

these officers coordinate ministerial plans, and for an officer to adjust in another ministry takes time and that affects implementation of plans, including PMS.

Although the literature states that PMS can be used to remedy under-performance where it is recognised, and in such cases it could be employed to engender systematic methods which would ensure that employees' performance was monitored and evaluated on a regular basis (Walser et al., 2013). The respondents agreed that a serious challenge they encountered in PMS implementation was the fact that public servants' performance was not monitored on a regular basis as is stipulated in the Public Service Regulations (2008). They indicated that this affected service delivery negatively since no one knew whether plans were implanted accordingly or not to maximise productivity in the public sector.

It has also been established that no systematic channels of communication exist between supervisors and their supervisees, as is evidenced by the fact that when conducting appraisals, the supervisors neither invite their subordinates to consultative assemblies or gatherings nor convene meetings to either discuss matters related to performance reviews and appraisals or actually have them administered. Contrary to Walser et al.'s observation that managers need to have regular meetings with employees in order to put pressure on them to deliver services to the public (Walser et al., 2013). The whole process, as managed by the Ministry of the Public Service, is haphazardly directed, with scores and ratings not done in accordance with work plans as is specified in the Public Service Regulations. The Ministry of the Public Service's delay to finalise supporting guidelines documents such as the PMS policy to level the ground for PMS implementation was also realised by respondents. They presented that to have an orderly and organised system for the entire public service depended on the ministry's commitment to have documents in place since performance appraisals have proven to be problematic during the transition from the old system to the new system hence why supervisors struggled to cope with the new system.

### **5.7. Compliance**

Even though António & Serra, 2015 maintain that performance management is perceived to be an ongoing communication course connecting employees with their supervisors to ensure compliance in the implementation of stipulated objectives (António & Serra, 2015), it has become evident from the findings that there is lack of compliance and adherence to the periods of time allotted for appraisal. This has proved to be a problem across all the ministries. Although the Public Service Regulations 2008 categorically state the times of year during

which performance reviews and appraisals are to be undertaken, some ministries have, during times assigned for reviews and appraisals, continued to engage in their own activities as if the system and all its instruments are non-existent. This practice makes the system look weak and useless. It is also inconsistent with the literature which suggests that for performance management to work effectively, management within the overseer public service unit needs to be responsible for ensuring compliance (Acquaah, 2013).

All Participants interviewed pointed out that supervisors have been resistant to engage in the process of appraisal, citing reasons such as lack of time, among their excuses. Consequently, time designated for appraisal would come and pass without both the supervisors and their supervisees having engaged in any appraisal as is suggested in the public service guidelines as well as rules and regulations. This is undoubtedly not only an act of defiance, but also sabotage of effective PMS implementation and performance-based management which is aimed at increasing employees' productivity as well as improving services provided to citizens as is indicated by Tozlu & Tüzen, (2016).

Another finding of the study relates to Head of Ministries and Head of Departments not complying with the Public Service Rules and Regulations. Their negligence of responsibility as management, coupled with their lack of support for the human resources practitioners in their endeavour to implement PMS in the ministries, exacerbates the problem of non-compliance with the Public Service Rules and Regulations for the public servants. Though the literature indicates that compliance is dependent on the management style of the head of section to ensuring achievement of set goals and targets (Acquaah, 2013), management style of ministerial heads in the government of Lesotho has not been responsive to attainment of effective PMS implementation.

The issue of non-compliance with the system and its tools, as has been stated by the respondents, is further aggravated by the fact that the Head of Departments show no interest in working together, as a team, with Human Resources Practitioners in implementing PMS to an extent that for some, working relations have now grown to levels of personal enmity. Thus, poor response of the Head of Departments to comply with instruction from the mother ministry that they should share the responsibility of implementing PMS with the Directors of Human Resources in their respective ministries has risen to unnecessary heights of ill will.

Although the Public Service Regulations are clear that public servants should get notch increment after assessment of their performance, the findings have made it abundantly clear

that employees continue to get notch increment without being appraised, for as long as they have completed twelve months in an occupied position, irrespective of whether they have performed or not. Even if the literature argues that it is rather ambiguous to relate performance to targets in terms of figures in the public sector (Jugend et al, 2016), the study has evidently found that public servants do continue to score their yearly notch increment without any evidence of performance. Acquaaah, (2013) suggests that in the absence of stipulated figures as targets, performance compliance is dependent on the management style of the head of section to ensuring achievement of set goals.

The interviews of human resource practitioners also highlighted that in as much as there are supervisors in certain ministries who dissent the times set by the mother ministry for reviews and appraisals, thus requiring to draw their own master plans, there are, on the other hand, those whose request for own master plans is based on genuine reasoning, as is the case with seasonal agricultural activities. Rigidity and refusal to allow for flexible ministerial master plans, on the part of the mother ministry, lead to non-compliance.

The final finding on compliance relates to the point that despite literature indicating that the head of section has to ensure achievement of set goals and targets (Acquaaah, 2013), the Principal Secretaries (Head of Ministries) have neglected to comply with the terms and reference of PMS due to the fact that they are political appointees, who have continued to give priority to instructions given by ministers of government over the mother ministry's instruction to prioritise PMS.

### **5.8. System and Professionalism**

The findings have proven that in its endeavour to have PMS implemented, the Ministry of the Public Service has stridden in deviation to Bao et al's 2013 observation that as public sector leaders are inundated with a combination of challenges ranging from long term demand for quality services from citizens to improving performance of the public sector, introducing new things without consultations may bring confusion. At times it can even result in resistance. It is with regard to consultation that the study has revealed a litter of processes that could be described to lack professionalism in respect of the government's introduction of PMS through the Public Service Ministry. Professionally handled, the fact that PMS was going to be implemented in different ministries would have mandated for those ministries to be consulted first about the government's intent on introducing a performance management system, as well as about appraisal times and other tools that would be inherently employed in an efficient and

effective implementation of the system, bearing in mind that those ministries have their own goals and objectives to achieve at the end of every financial year.

It has also been established that incidences of lack of professionalism exist in recruitment of staff, in which case political appointees, be they Ministers or Principal Secretaries, interfere with the recruitment process of new employees. They dictate to human resources practitioners to appoint people who support their political parties into the various vacant positions within the government ministries. Such employees, being hard to manage, it has been discovered, refuse to be appraised. In the event they are appraised, and are unhappy with the scores in which they are rated, are quick to report their displeasure to either the minister or the Principal Secretary, leading to reversal of scores and ratings, thus rendering the process of performance appraisal, hence PMS irrelevant and useless.

The findings show that the master plan to appraise employees was imposed on the management of ministries. As a result, head of sections, head of departments and ministerial heads have, since its introduction, shown dissent against it. The fact that the framework for PMS implementation was not well communicated by the Ministry of the Public Service to the other ministries may explain why implementation of the system has not been effective. It may also clarify why it has met strong opposition from the various layers of leadership within the ministries, even though the Public Service Act and the Public Service Regulations were in place to legalise it. It is within the foregoing context that Alimo-Metcalfe & Alban-Metcalfe's view that the role of leadership in the public sector is considered so crucial that without full commitment by leaders in managing public affairs it would be difficult to achieve intended goals (Alimo-Metcalfe & Alban-Metcalfe, 2006), is perfectly understood.

The findings have revealed that failure to implement PMS has led to miscarriage in regard to introducing the government's anticipated performance related pay system, as its institution depends on the former. Given that both systems were adopted by the government not only to manage public servants' performance, but also to control its wage bill, the failure to implement both has left the wage bill in as serious a state as was prior to the resolve to introduce a performance management system.

Participants also displayed their dissatisfaction on the fact that the system is conducted manually, as it exposes it to being susceptible to abuse by supervisors, who it has been discovered, are at times, predisposed to allocating good marks to their favourite employees at the expense of the others, even if the former may not be deserving. Institution of such actions

defeats the purpose for which the system was introduced and displays lack of professionalism on the part of supervisors.

### **5.9. Bureaucratic Hurdles**

It has been noted that the fact that the government of Lesotho's public service structures are governed by a centralised authority of a mother ministry, the Ministry of the Public Service, and are thus highly bureaucratic and emphasise on a strong chain of command, makes it difficult for the other ministries to fit new systems being implemented into their own activities. Even if, in accordance with Jian Wu et al's contention that performance management could be used as a strategy to reach national targets, and its techniques could be adopted across the entire public service for improved public sector management (Jian Wu et al., 2016), the ministries were to develop their own strategies and techniques aimed at improving employees' performance, and thus enhancing service delivery, they would still have to get approval for such developments from the mother ministry. In spite of some ministries, like the Ministry of Education and Training, for instance, having well established a successful recruitment commission plus an effective system for processing salaries, the Ministry of the Public Service has not been keen on sanctioning such developments; insisting instead, on the institution of a uniform-cum-centralised system. As was earlier observed, the centralised public service structure could be attributed to having contributed to the failure to implement PMS effectively, as leadership at various levels within the other ministries has not accommodated PMS activities in their ministerial and departmental plans.

The study has highlighted that adoption of bureaucratic leadership with its characteristic monotonous, tedious and pedestrian processes in the public sector, makes it difficult to manage systems meant to improve the public sector as opposed to strategic leadership which is flexible, receptive and responsive. The rigid structures inherent in bureaucratic leadership discourages innovation and prohibits creativity and flexibility in performing ones' duties. The conventional way of doing things under bureaucratic leadership as adopted by the Ministry of the Public Service, has resulted in public servants becoming less passionate about PMS.

### **5.10. Conclusion**

This chapter has revealed that as a result of failure to implement Performance Management System effectively since 2001, public servant's performance could not be managed. A performance related pay system could neither be implemented; hence service delivery could not be improved. Thus, the government of Lesotho, through its Ministry of the Public Service,

needs to re-strategise how to effectively and efficiently implement PMS as a tool to monitor and evaluate public servant's performance in order to manage the public sector and pave way for performance related pay. It has also been evident from this chapter that the proposition that leadership in the Ministry of the Public service could implement PMS effectively was highly challenged by the findings.

With reference to Lesotho being a politically unstable state hence a dysfunctional democracy, the whole political system needs to establish ways to resolve political differences in order to have a stable government, so that reforms and systems aimed at improving public sector management and enhancing public service delivery could be implemented effectively.

Interestingly, though, the kind of leadership styles and management methods used by the Ministry of the Public Service with regard to implementation of PMS, very much resonate with what is found in the literature. In particular, there was a noteworthy resonance in the literature in regard to:

- The idea of engaging leadership in PMS implementation
- Use of leadership styles in different situations
- Strategies used to implement PMS despite misunderstandings
- Performance management practices

This correlation between what the literature says and the methods employed by the ministry in implementing PMS, not only highlights the role of leadership in implementing systems aimed at improving public sector management, but also demonstrates the significance for leadership to engage in informative research, through relevant literature, prior to instituting new systems.

The research report will close with conclusions and recommendations that could possibly help the Ministry of the Public Service and the Government of Lesotho to effectively and efficiently implement systems in the public sector.

## CHAPTER SIX

### CONCLUSIONS AND RECOMMENDATIONS

#### 6.1. Introduction

This qualitative study set out to look into the importance of leadership in PMS implementation as pertains to the Ministry of the Public Service of the Government of Lesotho. Problems hindering the Lesotho Government's Ministry of the Public Service, as mother ministry, from facilitating an effective-cum-efficient process of implementation of a performance monitoring and evaluation system aimed at improved public service delivery were investigated during the course of the study. As the study unfolded, the interaction of key themes and key findings emerging from the study came to the fore, leading to identification of the following factors as influencing effective PMS implantation: ownership from leadership, commitment from ministerial management teams, sensitisation of employees, compliance to the public service rules and regulations, compliance to the terms and reference of PMS, and prior as well as ongoing consultation between the Ministry of the Public Service and the other government ministries.

Data deriving from the study has established that contrary to expectation by the Ministry of the Public Service, various layers of leadership in the government ministries do not provide support for PMS implementation. Another variation from the Public Service Ministry's prior understanding that has emerged from the study relates to the Directors of Human Resources discovering, during their endeavour to implement PMS, that they, in actual fact, were not implementers as had been considered by the Ministry of the Public Service when deploying them in the different ministries. Rather, the Directors of Human Resources came to realise that their role was that of facilitators of PMS implementation because they can only act as reference point to provide guidance on how to comply with the terms and references of PMS, while the Head of Departments within the ministries were implementers because they are responsible for appraising employees under their supervision.

Besides bringing the study to a close, the aim of this chapter is therefore to come to a stock-taking via presenting conclusions drawn from the study, as well as putting forward recommendations formulated for consideration in respect of not only resolving implementation problems in the Government of Lesotho, but also rousing the Ministry of the Public Service to

facilitate smooth implementation of systems for monitoring and evaluating performance of public servants for improved service delivery.

## **6.2. Conclusion**

As the study sought to examine the importance of leadership in PMS implementation in the Ministry of the Public Service of the Lesotho Government, a comprehensive look into the leadership's commitment and a sense of ownership over the system, inclusive of how the two affected effective PMS implementation, needed to be engaged. For the aforesaid, an empirical investigation that included review of documents plus face to face interviews with informants considered knowledgeable about PMS implementation in the Lesotho Government's Ministry of the Public Service were conducted to augment this qualitative research. The informants did really provide some authentic data. Therefore, the conclusion will be drawn from the themes which guided the research to ascertain whether the study has achieved its intended goal.

The following concepts were drawn from the literature to guide the whole research and they are:

- Performance management practices
- Management leadership
- Sense of ownership from leadership
- Implementation strategies
- Leadership style
- Consultation with employees

From the study, the following conclusions can be drawn:

### **6.2.1 Performance Management Practices**

The analysis indicated that the Ministry of the Public Services has been determined to facilitate and implement performance management practices in the Lesotho Government in order to monitor and evaluate public servants' performance. The ministry did make an emphasis on goal settings, planning the work, monitoring and evaluating employees' performance for improved service delivery. Unfortunately, there were no supporting guidelines documents such as the PMS policy to enforce decisions, as implementation is possible when the procedure to be followed by employees is clear and legalised.

The research findings have revealed that the Ministry of the Public Service, as the mother ministry, has played a pivotal role in striving to have a functional public sector in a

dysfunctional democracy. The ministry's aim to implement PMS and the effort to deploy its leadership in the different ministries to lead the implementation process was a huge risk which was meant to transform the public sector. Even though the Directors of Human Resources received little support from their counterparts (Ministerial Heads), they tried all they could under the circumstances.

### **6.2.2 Management Leadership**

All Directors of Human Resources and the Managers consulted viewed Performance Management System as a strategy to promote quality management for improved service delivery, notwithstanding the challenges encountered during its implementation. The system was introduced by the government through the Ministry of the Public Service in order to monitor and evaluate public servants' performance thus top management in the ministry assumed responsibility to implement the system. Though no prior consultation had been made with the other ministries, as discussed in Chapter Five, the Directors of Human Resources did clearly explain the importance of PMS to staff at all levels within the various ministries where they were deployed. They made it clear that there were regulations and guidelines in place not only to facilitate implementation of the system, but also manage the process. Furthermore, appraisal documents were made available and appraisal periods were scheduled.

Despite the challenges, the Directors of Human Resources were devoted to making PMS implementation a success. Therefore, it can be agreed that the role of leadership in PMS implementation is important. Since they provided support to the ministries towards implementation of PMS even though there was no PMS policy in place to govern the system. As a consequence of the Directors of Human Resources' efforts through meetings and training workshops to inform employees about the existence of PMS, the system was well known across all ministries, and officers, at all grades, were aware not only of the system, but of its requirements as well.

### **6.2.3 Hindrances to Effective PMS Implementation:**

The PMS policy which has stayed in draft form for years has made it difficult for the Directors of Human Resources to manage the affairs of the ministries, since officers who were complying with the terms and reference of PMS did so without clear guidelines, in the absence of a policy document provided by the Ministry of the Public Service.

The political instability prevailing in the Government of Lesotho seems to be destabilising implementation of systems such as PMS due to the fact that ministerial leaders concentrate more on political issues instead of management of the affairs of the public sector.

The Directors of Human Resources across government ministries faced similar problems, namely, lack of commitment from ministerial leadership as well as lack of compliance with the terms and conditions set for implementation of PMS.

#### **6.2.4 Leadership Styles**

The Directors of Human Resources (DHRs) interviewed for the purpose of this study used the transformational and situational leadership styles in order to effectively facilitate implementation of PMS in the ministries where they were deployed. For the employees to have the same understanding about PMS, the DHRs communicated information to the rest of the employees through training workshops. In addition, the DHRs showed willingness to solve problems relating to PMS processes and procedures.

The research findings have indicated that leadership styles are important when implementing systems in the public sector, because they can make the process organised and orderly. Moreover, intended goals and objectives can be achieved through application of relevant leaderships styles even if the organisation is unstable. The styles adopted provided the Directors of Human Resources with skills which helped them act like transformational leaders who were capable to translate the Ministry of the Public Service's vision of implementing PMS for the entire civil service a reality.

#### **6.2.6 Sense of Ownership from Leadership**

According to the findings presented, not only did a sense of ownership about PMS receive less attention from ministerial leadership, but so did it reflect a sense of rejection for its implementation. Not only did ministerial leadership appear to ignore their responsibility regarding effective PMS implementation, but also did they bother to enforce accountability. For example, if appraisals were not conducted and employees were not appraised, there would be no action taken to either enforce discipline or rectify the situation. Ministerial leadership seemed not to have a sense of ownership for PMS. However, the poor acceptance of PMS by ministerial leadership may be attributed to ministerial complexities and the absence of PMS policy as ministerial management did not have supporting documents to enforce discipline for non-compliance.

### **6.2.7 Implementation Strategies**

Implementation strategies in the Ministry of the Public Service seemed to be not strong enough in the sense that lack of pre-implementation consultation with ministries led to the ministry struggling to control the other ministries regarding PMS implementation, contrary to the public service rules and regulations which stipulate that the ministries were to submit public servants' performance appraisals annually to the Ministry of the Public Service to prepare for performance related pay. This had been the expectation since 2001, when the system was implemented. The fact that employees were not appraised at scheduled times, yet received salary raise at the time of notch increment, was evident that the process was flawed with ineptitude. Nonetheless, for nearly seventeen years, the Ministry of the Public Service seemed neither to have a clear strategy to manage PMS implementation amidst the wave of resistance and rejection from leadership within the ministries nor did it seem to have the astuteness to re-strategise ways to handle challenges arising from PMS implementation.

The fact that as mother ministry, leading all government strategies to reform the public sector, the Ministry of the Public Service did not seem to initiate sound relationships with the Head of Ministries; and that the PMS policy, which was supposed to be the cornerstone for effective PMS implementation, has, since 2001, remained in draft form; plus the fact that no initiative was taken to re-strategise the best way to implement PMS when it became evident that DHRs were facing serious challenges within the ministries where they were deployed, that for a period spanning way over a decade, the Ministry of the public Service seemed to have been suffering from ineffectiveness and a lack of ability in respect of improving PMS implementation. As a result, inability to effectively manage challenges arising from the government's resolve to implement PMS resulted in public servants not only disliking PMS, but also to not being keen to get appraised, thus further becoming hesitant to adhering to some of the requirements of PMS.

### **6.2.8 Consultation with Employees**

It can be agreed that consultation with employees by supervisors received less attention due to the fact that at the time of appraisals, employees were not consulted by their supervisors to attend appraisal meetings, since appraisals were done haphazardly. All participants confirmed that getting employees appraised at the scheduled periods of appraisal was a huge challenge and the public servants' impatience towards performance appraisal has been attributed to, among other reasons, lack of transparency and favouritism by supervisors. Only when employees desired to be promoted to positions senior to their substantive ones, and when they

completed probationary period would supervisors be sympathetic and agree to appraise them so that they could be moved from being temporary to permanent employees.

### **6.3. Recommendations**

Based on the findings of the study, the following recommendations were formulated for the Ministry of the Public Service and the Government of Lesotho to address challenges relating to PMS implementation. The recommendations are envisaged to be useful to the leadership in the Ministry of the Public Service and ministerial leadership in line ministries as well as other countries which experience similar challenges associated with dysfunctional democratic institutions. It is the researcher's opinion that lessons learnt from the Lesotho experience could prove to be of help to other developing countries. Thus, the researcher recommends that:

#### **6.3.1. Effective PMS Implementation**

Given that the government of Lesotho, through the Ministry of the Public Service (MPS), has shown intent to improve service delivery by way of monitoring and evaluating public servants' performance, effective PMS implementation must be a priority in each and every government ministry. This study has clearly shown that PMS has not been implemented efficiently and effectively, as public servants' performance across all ministries could neither be monitored nor evaluated, thus, effective PMS implementation could not be achieved. Since PMS allows for implementation of performance related pay system, the failure to achieve an effective PMS implementation has dented the government's desire to implement a Performance Related Pay.

In view of the Government of Lesotho's initiative to implement PMS effectively, it is recommended that:

The Government makes PMS implementation its top priority for improved public sector management. Management of PMS should be moved from the Ministry of the Public Service to the Prime Minister's office to gain respect so that other ministries will have to comply with the directive from the Prime minister.

The Ministry of the Public Service should finalise the PMS policy so that it ceases operating in draft form in order that PMS implementation can be guided by an authentic document instead of Public Service Regulations only.

The government through the Ministry of the Public Service should change appointment of Head of Ministries (Permanent Secretaries) from being political appointees to that of public servants

who are governed by the public service rules and regulations, instead of serving as Minister's appointees, as is currently the case.

Head of Departments, rather than Directors of Human Resources, should take responsibility for PMS implementation. As experience has shown that DHRs get deployed from the Ministry of the Public Service to the different ministries to oversee issues of PMS implementation do sometimes get to be rejected by head of departments and head of ministries, the head of departments, by the authority granted them by the Public Service Rules and Regulations should take responsibility for the implementation.

The Directors of Human Resources should act as reference point for proper implementation. Since PMS is one of the human resources practitioners' functions, the DHRs should only provide assistance where necessary, instead of having total control of PMS implementation.

The Director of Human Resources' transfers across ministries should be done in consultation with the receiving ministries in order to maintain stability in the ministries. Even though the DHRs are employees of the Ministry of the Public Service who get deployed in line ministries, their arbitrary transfers without consultation with the line ministries distabilises administration.

Calendar times designated and reserved for performance appraisal should be decided in consultation with line ministries, and where needs be, should be revised to suit annual programmes for each ministry.

Contrary to the current situation whereby Director Human Resources battle PMS implementation challenges on their own, the Ministry of the Public Service should closely-cum-directly monitor PMS implementation and provide DHRs more support than is currently the case.

Meetings and progress reports on PMS implementation within the ministries should be resumed under the guidance of the MPS head. For improved ownership and accountability, the Head of Ministries (Principal Secretaries) should be part of such meetings.

Salary notch increment should not be attained automatically, but by merit, and only as a consequence of having gone through the processes of performance review and appraisal, as is stipulated in the governing instruments.

With regard to all the other ministries, it is recommended that:

Head of Departments take responsibility to facilitate performance appraisals timeously within their departments by including appraisal sessions in the ministries' goals and objectives.

By virtue of being supervisors in their respective departments, the Head of Departments need to work hand in hand with Directors of Human Resources for effective PMS implementation.

The Head of Departments need to draw departmental work plans at the beginning of each financial year in preparation for performance appraisals. The work plans should accommodate appraisal sessions to allow supervisors time to appraise staff under their supervision.

The Head of Departments must ensure that employees within their departments work within the set PMS framework to achieve ministerial objectives. Employees should know that if they do not perform as planned and do not meet set targets, they will not get notch increment.

The Head of departments need to ensure that all employees have individual work plans that show clear targets and performance standards. This will allow for sooth appraisals at the end of every financial year, thus allowing appraisers and appraisees to engage in honest, reflective on-going assessment.

Each section within departments should have a master plan which includes appraisal time to avoid clashes during appraisal period. This will minimise disagreement at the time of appraisals.

Head of departments need to ensure that monitoring and evaluation are continuous and provide useful information to be used for institution of performance related pay.

### **6.3.2. Developing a Sense of Ownership in PMS Implementation**

As leadership is about balancing the procedural elements of new strategies such as the PMS with the leadership's core business of governing, there is a need for ministerial leadership to display a sense of ownership not only for the system (PMS), but for the process of its implementation as well, because without support of the ministerial leadership, PMS becomes useless and irrelevant. Given that the leadership of each and every organisation is vital for its stability, there needs to be ongoing communication between ministerial management teams and the facilitators of PMS implementation so as for the system to be effectively implemented. That however, should not be interpreted to mean that PMS is a codified efficiency machinery of the state, but one strategy that the government has chosen to engage not just to improve performance of employees, but to have service delivery improved as well.

### **6.3.3. Enhancement of Management Methods**

The research has shown that employees in the various government ministries do not answer to the Director Human resources, but to the Head of Departments who in turn are accountable to Head of Ministries. Consequently, lack of support by officers within the two levels of leadership to manage PMS implementation reduces the system to a state of zero implementation. Unless the aforementioned leadership applies strategies that not only allow them to accept PMS, but also to work in harmony with Directors of Human Resources, PMS implementation will remain a challenge. For the system to succeed, ministerial leadership teams would first need to have a thorough comprehension of what it is, and what its goals and objectives are. Secondly, they would have to align it with their ministerial plans and manage it as one of their ministry's activities.

### **6.3.4. Adoption of Effective and Relevant Leadership Styles**

The study has found that application of appropriate leadership styles played a crucial role in disseminating information and assisting ministries with regard to PMS implementation. It has also been established that in a context riddled with a bureaucratic structure as is the case in Lesotho, ministerial leadership might benefit and thus achieve intended goals and objectives from appliance of a combination of transformational and situational leadership styles hence why they are recommended.

### **6.3.5. A Functional PMS in a Dysfunctional State**

Given that a functional PMS is an important element in public sector management; and owing to the fact that the government of Lesotho is currently engaged in implementing multi-sectoral reforms recommended by the Southern African Development Community (SADC), which, if well handled, could usher in a state of a functional democracy, which in turn may help remove bureaucratic shackles and open avenues for creation of an environment conducive for PMS implementation, it would sure be beneficial for the government, through the MPS, to continue striving for effective PMS, irrespective of current challenges.

### **6.3.6. Strategic Leadership in the Ministry of the Public Service**

In view of the fact that during the past seventeen years when the Ministry of the Public Service was managing PMS implementation in the ministries, no accomplishment was noted, it is imperative that the ministry develops a strategic thinking standpoint that allows for flexibility and quick action should the ministries encounter problems relating to PMS implementation. Not only would the development of a strategic thinking standpoint help to monitor the process

of implementation and to intervene timeously when the process stumbles, but would also help the Ministry of the Public Service to encourage line ministries to accommodate PMS so as to share the same understanding as theirs in order to translate strategy into action.

#### **6.3.7. Administrative Leadership of the Ministry of the Public Service**

As poor public sector management is often due to lack of control of political appointees in the name of ministers, who, in most cases, lack managerial skills, the mother ministry, in its resolve for improved public sector management, would benefit immensely from having the political appointees undertake not to interfere with the day to day running of ministries. It is upon the Ministry of the Public Service, in accordance with the powers vested in the ministry, to ensure that government ministers are with the awareness that their mandate is to shepherd policies, not the day to day running of the ministries, as there are technocrats employed for running the ministries.

#### **6.4. Conclusion**

The aim of this study was to investigate the role of human resources practitioners in facilitating effective PMS implementation in the Ministry of the Public Service in the government of Lesotho. The study was intended to establish if ministerial leadership played a valuable role in effecting an adept PMS implementation. The ensuing data has demonstrated that in as much as the government's initiative to improve service delivery had been a noble one, leadership in the Ministry of the Public Service faced overwhelming administrative, leadership, managerial and political challenges which had not been anticipated, and all these challenges made it difficult to have PMS effectively implemented. It can also be noted that leadership in the Ministry of the Public Service of the government of Lesotho did play a leading role, to have PMS implemented in different ministries and a sense of ownership for PMS implementation was displayed despite the challenges.

The study has also discovered that contrary to the Ministry of the Public Service's notion prior and during deployment of Directors of Human Resources in different government ministries, the Directors of Human Resources are not implementers, but facilitators of PMS. It has, thus, been revealed that DHRs can only facilitate PMS implementation as employees in the ministries are not responsible to them but to the Head of Ministries, Head of Departments and Head of Sections, and leadership at these various levels are the ones who can implement PMS effectively.

It has also been established by the study that the most effective way to implement PMS is to give responsibility for PMS implementation to the ministries with Directors Human Resources only serving as point of reference of PMS so that the ministries not only include PMS in their ministerial plans and activities, but also take responsibility and ownership of the implementation process. The mother ministry should only provide assistance where necessary, and ensure that rules and regulations are in place to ascertain conformity and authorisation. Furthermore, the Ministry of the Public Service, in consultation with other ministries, should revise periods earmarked for performance review and appraisal so that they fit into each ministry's annual plans, so that not only is the government's initiative to monitor and evaluate public servants' performance achieved, but a way for performance related pay is paved, as well.

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## **Appendix 1**

### **INTERVIEW GUIDE**

#### **Purpose of the research**

The purpose of this study is to discover the significance of leadership and the role human resources practitioners perform in facilitating an effective Performance Management System implementation in the Ministry of the Public Service, in Lesotho. This research is intended to contribute to resolving the country's implementation problems.

#### **Research question:**

What is the significance of leadership in PMS implementation?

#### **Sub-questions**

- d) What is the role of human resources practitioners in facilitating an effective PMS in Lesotho?
- e) How do poor management methods by ministerial leadership affect proper implementation of PMS?
- f) What are the challenges facing leadership in enhancing an effective PMS in Lesotho?

#### **Introduction and warm up for interviews:**

1. Introduce myself and explain the purpose of the interview.
2. Request permission to record and explain that recordings may be deleted if so wished.
3. Explain that the information will be written in their personal names as the report may be used to improve PMS implementation in the Ministry of the Public Service.
4. Explain to participants that in the event questions sound rather technical, they will be interpreted and simplified.
5. Probe on what it feels like to be a leader (as ice-breaker).

## **Interview guide**

1. Tell me what your responsibility, as a leader, is, in the implementation of Performance Management System.
2. Tell me about the leadership strategies that you apply to ensure that PMS is implemented as planned.
3. Who is accountable to see to it that PMS implementation is efficient and effective?
4. I am aware that the system has been in place for a number of years, how have you ensured that officers, at all levels, complied with requirements of the system?
5. Tell me about the challenges that you face in the implementation of PMS.
6. What is the level of commitment of public servants towards PMS, in your experience as Human Resources practitioner?
  - a) Any memorable incident or experience, since implementation of PMS?

### **In the case of officers who have transferred from Ministry to another**

7. Given that Human Resources practitioners rotate from one ministry to another, how do your challenges differ from ministry to ministry, if you were moved?
8. What, in your opinion, could have been helpful to necessitate DHRs to effectively and efficiently implement PMS?
9. Choosing from the following leadership styles, which styles have you, as a leader, used to facilitate timely and robust PMS?
  - i) Responsible
  - ii) Transformational
  - iii) Situational
10. What, for you, are hiccups in managing PMS implementation in a politically unstable country like Lesotho?
11. What are the bureaucratic hurdles, in the public sector, which can affect effective implementation of PMS?
12. Do you think implementation of performance related pay is feasible in Lesotho?

Thank you for your participation.

Ministry of Finance

P.O. Box 395

Maseru 100

21<sup>st</sup>September 2017

The Principal Secretary  
Ministry of Public Service  
P.O. Box 228  
Maseru

Dear Sir/Madam

**RE: PERMISSION TO CONDUCT INTERIEWS IN THE UNIT OF PERFORMANCE  
MANAGEMENT IN THE MINISTRY OF THE PUBLIC SERVICE**

This letter serves as a humble request for permission to conduct research interviews in the Unit of Performance Management - Ministry of Public Service as a requirement for fulfilment of the Master of Management in the field of Public Sector Monitoring and Evaluation part-time studies that I am pursuing with the University of the Witwatersrand, in Johannesburg.

The information I request to be assisted with is on Performance Management System (PMS) and I believe it will help inform my research topic, “**Leadership and Performance Management in Lesotho’s the Ministry of the Public Service**”. It is my honest affirmation that the information to be provided during the requested research interviews will be used only for the purposes of my research study.

I am a Human Resources Officer currently stationed in the Ministry of Finance.

For ease of reference regarding my studies, please find attached to this missive confirmation/proof of registration for the above mentioned study program.

Thank you for your assistance.

Yours Faithfully

Sefora Mosaase (Mrs)

(FIN/P/29974

## CONSENT FORM

### Information Sheet and consent form

Hello, I am Sefora Mosaase - a student at the School of Governance at the Witwatersrand University (Wits).

I am conducting research on Performance Management System (PMS) in the Ministry of the Public Service. It is a research for the fulfilment of master in management in the field of monitoring and evaluation.

I am asking whether you will allow me to conduct an interview with you about your perspective and experience on the implementation of Performance Management System in your respective ministry. If you agree you will participate in one interview for approximately one hour. I am also asking you to give permission to tape record the interview. I tape record interviews so that I can accurately capture what is being said.

Please understand that your **participation is voluntary** and you are not being forced to take part in this study. The choice of whether to participate or not, is yours alone. If you choose not to take part, you will not be affected in any way whatsoever. If you agree to participate, you may stop participating in the research at any time and tell me that you do not want to continue. If you do this there will also be no penalties and you will not be prejudiced in any way.

Any study records that identify you will be kept confidential to the extent possible by law. The records from your participation may be reviewed by people responsible for making sure that research is done properly, including the members of ethics committee Witwatersrand University. All of these people are required to keep your identity confidential. Otherwise, records that identify you will be available only to me only unless you give permission for other people to see the records.

The information will not be published unless you give your specific permission in writing at the end of this consent form. All identifying information will be kept in a locked file cabinet and will not be available for others. I will refer to you by a code number or another name in any publication.

At the present time, I do not see any risks to your participation.

There are no immediate benefits to you for participating in this study. However, this study will be extremely helpful in solving our country's implementation problems.

If you would like to receive feedback on this study, I will record your email address so that I can send you the results of the study when it is completed sometime in May 2018.

This research has been approved by Wits Ethical Research Committee.

If you have concerns about the research you may contact my supervisor on the following address: [caryn.Abrahams@wits.ac.za](mailto:caryn.Abrahams@wits.ac.za).

**CONSENT**

I hereby agree to participate in research on Performance Management System in the Ministry of the Public Service. I understand that I am participating freely and without being forced in any way to do so. I also understand that I can stop participating at any point should I not want to continue and this decision will not affect negatively.

I understand that this is a research project the purpose of which is not necessarily to benefit me personally in the immediate short term.

I understand that my participation will remain confidential.

.....

**Signature of participant**

**Date.....**

