#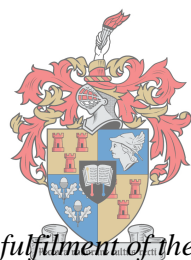 An exploratory study of the Directorate of Customs and Excise's perceptions about the Performance Management System of the public service in Namibia

by

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Masters in Public Administration in the faculty of Management Science
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Declaration

By submitting this thesis electronically, I declare that the entirety of the work contained therein is my own, original work, that I am the sole author thereof (safe to the extent explicitly otherwise stated), that reproduction and publication thereof by Stellenbosch University will not infringe any third party rights and that I have not previously in its entirety or in part submitted it for obtaining any qualification.

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ABSTRACT

Performance management refers to a continuous communication process between staff and supervisors to assist, unleash potential and improve organisational performance. The purpose of this study was to explore and describe the perceptions of the employees of the Directorate of Customs and Excise about the Performance Management System of the public service in Namibia. The study sought to answer the following four broad questions: (1) What is Performance Management System (PMS) in general and in the Namibia context? (2) What are the models for Performance Management System? (3) How do employees of the Directorate of Customs and Excise perceive the implementation of the Performance Management System in their workplaces? (4) How can the implementation of the Performance Management System be improved in the public service in Namibia?

The study also addressed the following research objectives, namely to: (a) Determine the general meaning of PMS in the Namibian context. (b) Explore the different models for PMS. (c) Explore how employees of the Directorate of Customs and Excise perceive the implementation of the Performance Management System in their workplaces. (d) Determine how the implementation of the Performance Management System in the public service in Namibia can be improved.

The study adopted an exploratory, qualitative research design making use of semi-structured questions administered by researcher through face-to-face interviews involving 20 employees of the Directorate of Customs and Excise in various positions who were selected by means of a convenience sampling technique.

Findings of the study show that questions 1, 3, and 4 were answered effectively and objectives a, c, and d achieved successfully, while question 2 was partially answered and objective b partially achieved.

The study recommended several measures to minimise the impact of negative perceptions that can hinder the implementations of Performance Management System in the public service in Namibia as follows: (a) Promote employee engagement. (b) Improve internal management and leadership practices. (c) Initiate peer education in the Directorate of Customs and Excise. (d) Design reliable monitoring and reporting procedures.

OPSOMMING

Prestasiebestuur verwys na 'n deurlopende kommunikasieproses tussen personeel en toesighouers om potensiaal te bevorder, en om organisatoriese prestasie te verbeter. Die doel van hierdie studie was om die persepsies van die werknemers van die Direktoraat Doeane en Aksyns oor die Prestasiebestuurstelsel van die staatsdiens in Namibië te ondersoek en te beskryf. Die studie het gepoog om die volgende vier vrae in die breë te beantwoord: (1) Wat behels die Prestasiebestuurstelsel in die algemeen en in die Namibiese konteks? (2) Wat is die modelle vir 'n Prestasiebestuurstelsel? (3) Hoe beskou werknemers van die Direktoraat vir Doeane en Aksyns die implementering van die Prestasiebestuurstelsel in hul werkplek? (4) Hoe kan die implementering van die Prestasiebestuurstelsel in die staatsdiens in Namibië verbeter word?

Die studie het ook die volgende navorsingsdoelwitte aangespreek, naamlik om: (a) Die algemene betekenis van Prestasiebestuurstelsel in die Namibiese konteks te bepaal. (b) Die verskillende modelle vir Prestasiebestuurstelsel te ondersoek. (c) Te bepaal wat die persepsie is van werknemers van die Direktoraat vir Doeane en Aksyns wat betref die implementering van die Prestasiebestuurstelsel in hul werkplek (d) Bepaal hoe die implementering van die Prestasiebestuurstelsel in die staatsdiens in Namibië verbeter kan word.

Die studie het 'n ondersoekende, kwalitatiewe navorsingsontwerp aangeneem wat gebruik maak van semi-gestruktureerde vrae wat deur die navorser geadministreer is. Hierdie vraertelling het deur middel van aangesig-tot-aangesig onderhoude geskied en met 20 werknemers van die Direktoraat vir Doeane en Aksyns in verskeie posisies of poste wat deur middel van 'n geriefsteekproefnemingstegniek gekies is.

Bevindinge van die studie toon dat vrae 1, 3 en 4 effektief beantwoord is en doelwitte a, c en d suksesvol behaal is, terwyl die vraag 2 gedeeltelik beantwoord is en doelwit b gedeeltelik behaal is.

Die studie het verskeie maatreëls aanbeveel om die impak van negatiewe persepsies te verminder wat die implementering van Prestasiebestuurstelsel in die staatsdiens in Namibië kan belemmer. Die aanbevelings is soos volg: (a) Bevorder werknemerbetrokkenheid. (b) Verbeter interne bestuurs- en leierskapspraktyke. (c) Inisieer groepsonderrig van werknemers in die Direktoraat Doeane en Aksyns. (d) Ontwerp betroubare moniterings- en rapporteringsprosedures.

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CHAPTER 1: BACKGROUND TO AND RATIONALE OF THE STUDY

1.1 Background to and Rationale of the study

Prior to independence in 1990, performance appraisals in the Public Service of Namibia were done through the Merit Assessment and Efficiency Rating Systems. The Merit Assessment System was applicable to all staff below the management cadre; whereas the Efficiency Rating System was meant for the management cadre (Office of the Prime Minister, 2005:22).

The two systems continued in the early years after independence until the establishment of the Wages and Salary Commission (WASCOM) in 1996. Under WASCOM a new system called the Performance Appraisal System (PAS) was introduced. In 1998 three milestones which had an effect on the future of the Performance Management System (PMS) in Namibia were noted.

First, after a short implementation, Cabinet suspended the Performance Appraisal System (PAS) in 1998. A report compiled by the Office of the Ombudsman identified lack of a supporting organisational culture and insufficient training of staff in respect of the system prior to implementation as the main reasons for the suspension of the PMS (Office of the Prime Minister, 2005:22).

Second, while the Performance Appraisal System (PAS) was suspended, the Office of the Prime Minister (OPM), with assistance of the Centre for Public Service Training (CPST), conducted a training needs analysis among Senior Management across the Public Service of Namibia. The results of the training needs analysis identified the need to introduce a Performance Management System (PMS) in the Public Service of Namibia.

Third, during the same period the OPM also facilitated the development of Strategic and Management Plans for Offices/Ministries/Agencies (O/M/A) and underscored the key

role the Performance Management System could play in the effective implementation of the developed plans in the public sector.

Therefore, based on the recommendations of the training needs analysis and the Government commitment, the OPM assembled a project team in April 2001 to develop a Performance Management System (PMS) framework for the Public Service of Namibia. The next section presents the purposes and objectives of the Performance Management System framework developed for the Public Service of Namibia.

1.2 Vision and Purposes of Namibia's Performance Management System

In Namibia, the PMS as a chosen approach for human development and management of public sector employees has multiple visions and purposes (Office of Prime Minster, 2005:23-24).

First, the PMS was developed to assist public servants to achieve a shared vision of the purpose and objectives of public organisations, to help staff members to understand and recognise their contribution to the strategic intent and thus to manage and enhance the performance of public organisations.

Second, the PMS was devised as a management tool that would facilitate the achievement of results by planning staff performance, implementing strategic staff development and reviewing performance.

Third, the PMS as an approach was introduced as a tool for articulating organisational objectives in terms of individual performance, results and priorities, and as a strategy for motivating staff members to achieve their full potential in line with the organisation's objectives.

Fourth, the PMS as a systematic approach was meant to translate organisational intent into unit or team objectives and individual results. Also the system was developed to

improve individual and team performance in order to achieve organisational objectives through a shared understanding of objectives, results, values and priorities.

Fifth, designers of the PMS hoped that the approach would provide relevant human development and focused coaching based on genuine feedback from supervisors.

Sixth and finally, by choosing the PMS approach, government hoped that the system would assist to establish a shared process between supervisors and managers, units/teams and individuals; manage public sector employees by contract rather than by demand; and establish a focused strategic competency-based workforce.

The section below presents a link between the purpose of PMS in Namibia and the objectives.

1.3 Objectives of PMS in Namibia

The PM Policy identifies the following nine objectives that should be achieved during its five-year period of implementation (Office of the Prime Minister, 2011:9):

- promote a performance culture in the Public Service of Namibia;
- convey strategic plans to everyone in the organisation in the form of Performance Agreements which align individual and organisational objectives;
- create a platform for constructive dialogue between supervisors and their employees;
- inform an Office, Ministry, Agency or Regional Council's human resource practices;
- manage service delivery against agreed targets and intended outputs;
- enable the early identification of unsatisfactory performance and the taking of corrective action;
- identify learning and development needs and appropriate interventions at organisational and individual levels;
- provide feedback to staff members on their performance; and
- recognise and reward good performance.

1.4 Legal Framework of the implementation of the Performance Management System (PMS) in Namibia

The implementation of the PMS is guided by the Constitution of the Republic of Namibia (Act No. 1 of 1990) (Republic of Namibia, 1990a); the Public Service Act, (Act No. 13 of 1995) (Republic of Namibia, 1995); the Regulations and Public Service Staff Rules promulgated under the Public Service Act, (Act No. 13 of 1995) (Republic of Namibia, 1995); the Public Service Commission Act, (Act No. 2 of 1990) (Republic of Namibia, 1990b); the Affirmative Action Act, (Act No. 29 of 1998) (Republic of Namibia, 1998a); the Labour Act, (Act No. 11 of 2007) (Republic of Namibia, 2007); the State Finance Act, (Act No. 31 of 1991) (Republic of Namibia, 1991); and Treasury Instructions (Office of the Prime Minister, 2011:6; 2005:19).

In terms of the Constitution of the Republic of Namibia (Act No. 1 of 1990) (Republic of Namibia, 1990a), for example, Article 95 provides for the promotion of the welfare of the people. The Public Service of Namibia and other regulatory instruments have thus translated this constitutional provision through the promotion of an efficient, effective and accountable public service (Office of the Prime Minister, 2011:4).

On the basis of the Constitution of the Republic of Namibia (Act No.1 of 1990), the PMS is applicable to all public servants appointed under the Public Service Act (Act No. 13 of 1995). The Act, for instance, provides for the appointment of civil servants, who in essence once appointed must provide quality service delivery to the citizenry, which strategically underpins the purpose and objectives of the Performance Management Policy. Similarly, the Performance Management System is legally sound as it has been brought in line with Namibia's contemporary legislative framework (Office of the Prime Minister, 2011:4).

It is evident from the preceding discussion that Namibia, like most countries in Sub-Saharan Africa, has taken steps through various laws, policies and procedures to improve service delivery through the introduction of the Performance Management

System in the public sector. However, the implementation of these Performance Management Systems to improve service delivery in the public sector remains questionable.

For instance, in his study of the effectiveness of the performance management system with regard to service delivery of the Zimbabwean civil service, Zvavahera (2014:1) noted that most African governments continue to offer poor services to ordinary citizens of their countries.

In Namibia, the quest for effective service delivery has been much debated since independence in 1990. However, 12 years since the revamped Performance Management System for the Public Service of Namibia was introduced in 2005, the debate continues. The next section presents the statement of the problem encountered in this study.

1.5 Research problem

Since the implementation of the Performance Management System in 2005, the media including newspapers, radio and television stations have and continue to report negative sentiments about poor service delivery in various government institutions. It appears that negative public sentiments are against the purposes and objectives of the PMS, which under the mandate of the Public Service Act (Act No. 13 of 1995) (Republic of Namibia, 1995) was thought would empower appointed public servants to provide quality service delivery to the citizenry. As stated above, negative employees' perceptions regarding the implementation of the Performance Management System might be affecting the implementation of the Performance Management System in the public service (Office of Prime Minster, 2005:58).

However, a literature search to determine the influence of perceptions of employees on the implementation of the Performance Management System in Namibia yielded no

results on this topic. This study, therefore, intends to explore how Customs and Excise employees' perceptions are affected by the implementation of the Performance Management System in the public service in Namibia. The study hopes to obtain feedback on Customs and Excise Officers' experiences of the Performance Management System in their work places. The study will also contribute to national and international debates on the efficacy of the Performance Management System in the public service. The study will also provide recommendations for PMS policy in government and the Directorate of Customs and Excise about how to implement the PMS in the finance sector, thereby helping to improve the twin challenges of raising quality in service delivery and staff motivation.

1.6 Research questions

The main research question of the study is: How do Customs and Excise employees perceive the implementation of the Performance Management System in public service of Namibia? The study attempted to answer the following four broad questions:

1. What is PMS in general?
2. What are the models for PMS?
3. How do employees of the Directorate of Customs and Excise in Namibia perceive the implementation of the Performance Management System in their workplaces?
4. How can the implementation of the Performance Management System be improved in the public service in Namibia?

1.7 Research objectives

This study addressed the following research objectives, namely to:

a. Determine the general meaning of PMS;
b. Explore the different models for the implementation of PMS;

c. Explore how employees of the Directorate of Customs and Excise in Namibia perceive the implementation of the Performance Management System in their workplaces; and

d. Determine how the implementation of the Performance Management System in the public service in Namibia can be improved.

1.8 Research methodology

This section briefly discusses the methodological approach of this study. The present study explored and described the perceptions of employees regarding the implementation of Performance Management System in the public service in Namibia. To accomplish this aim, the researcher employed mainly the qualitative approach. The qualitative approach was adopted to assist in understanding the subject and in defining concepts, which included the legal framework and policies as well as previous research and books relevant to the topic. Thus the primary sources of data collection were written or oral accounts of direct witnesses of, or participants in the Performance Management System implemented in the Directorate of Customs and Excise, Ministry of Finance in Namibia. Twenty participants selected through a convenience sampling technique took part in this study and were each interviewed in their respective offices after permission was granted by the Permanent Secretary of the Ministry of Finance.

1.9 Chapter outlay

This study is divided into five chapters as follows:

Chapter 1 provides the background of and rationale of the study. It includes Vision and Purposes of Namibia's Performance Management System, Objectives of PMS in Namibia, Legal Framework of the implementation of the Performance Management System (PMS) in Namibia, problem statement, research questions, research objectives and research methodology.

Chapter 2 explores the literature of Performance Management System in relation to various definitions and models of performance management.

Chapter 3 focusses on legal framework of the Performance Management System in Namibia with specific reference to the Constitution of the Republic of Namibia (Act No. 1 of 1990) (Republic of Namibia, 1990) , the Public Service Act (Act No. 13 of 1995) (Republic of Namibia, 1995), the Public Service Commission Act (Act No. 2 of 1990) (Republic of Namibia, 1990), the Affirmative Action Act (Act No. 29 of 1998) (Republic of Namibia, 1998), the Labour Act (Act No. 11 of 2007) (Republic of Namibia, 2007), the State Finance Act (Act No. 31 of 1991) (Republic of Namibia, 1991), and the Treasury Instructions manual guidelines. Also the chapter presents the Performance Management System Process, which describes the different governance levels of the PMS in Namibia. Further, the chapter presents an overview of the Directorate of Customs and Excise, the case pursued in this study.

Chapter 4 outlines the research design and methodology and how data were analysed. The chapter outlines the sample and sampling procedures, research instruments, data collection and analysis procedures including strategies of how qualitative data were verified. Moreover, the chapter discusses how ethical considerations and access issues were dealt with in this study. Further, the chapter presents a summary of the findings of the study.

Chapter 5 presents the conclusions and recommendations of the study.

List of references: This section presents a list of the references quoted in the thesis according to the Harvard referencing style.

Appendices: This section comprises of the research interview questions, letter permitting the researcher to conduct the study and consent to participate in research.

The next chapter discusses the literature on performance management that guided this study.

CHAPTER 2: LITERATURE REVIEW OF PMS

2.1 Introduction

This chapter presents the literature reviewed for the study. The definition of performance management, challenges of implementing a Performance Management System and the theoretical framework that underpins this study are presented in the chapter. In addition, the concept of performance appraisal, benefits of performance appraisals, and factors influencing performance appraisals are discussed.

Moreover, the chapter provides a discussion of the performance appraisal process, and entities that may be responsible for performance appraisals. Furthermore, this chapter presents the methods that are used to conduct performance appraisals, their inherent challenges and lastly, the common strategies used by employees to avoid performance appraisal challenges.

2.2 Defining performance management

Despite diverse definitions in literature of what constitutes performance management, most researchers agree that performance management is a goal-oriented process directed toward ensuring that organisational processes are in place to maximize the productivity of employees, teams, and ultimately, the organisation (Giannetto, 2009:12). In addition, there is recognition among researchers that performance management plays a major role in accomplishing organisational strategy. Performance management involves measuring and improving the efficacy of the workforce and attaches incentives to employees (Giannetto, 2009:12).

Tyler (2005:58–63), for instance, notes that performance management is the single largest contributor to organisational effectiveness. Thus, Tyler (2005:58–63) believes that organisations fail if they ignore performance management.

Grobler, Warnich, Carrell, Elbert and Hartfield (2011:293) define performance management as a meaningful practice towards organisational success which requires managers and employees to work together to set expectations, review results and reward performance.

Although in agreement with the above explanations, Lussier and Hendon (2012:285) define performance management as the process of identifying, measuring, managing, and developing the performance of the human resources in an organisation. This means that management tries to discover how well employees perform so as to ultimately improve their performance level. Lussier and Hendon (2012:285) further claim that when used correctly, performance management is a systematic analysis and measurement of workers' performance, which includes the communication of assessment processes to individual employees.

From the above-mentioned definitions it is also evident that a performance management system operates within a systems approach, hence the name 'performance management system'. In the context of Namibia, performance management system is defined as a comprehensive tool for the management of the effectiveness and efficiency of the delivery of customer-focused services across the Public Service of Namibia (Republic of Namibia, 2005:2).

In this study, performance management is defined as the process of identifying, measuring, managing, and developing the performance of the human resources in an organisation. This definition is relevant because the performance management process in private and public organisations must be used to assist managers to discover how well employees are performing in the discharge of their daily responsibilities so as to ultimately improve their performance level. In addition, this aforementioned definition is relevant to this study as it assumes that performance management is a systematic analysis and measurement of workers' performance, which as a process includes the communication of assessment processes to individual employees (Lussier & Hendon, 2012:285).

2.3 Models of performance management

Literature provides numerous models demonstrating how PMS could be implemented in different organisations. This study explores four such models which are briefly described below.

2.3.1 The Balanced Scoreboard as a measuring instrument for organisational performance

Robert S. Kaplan and David P. Norton introduced the Balanced Scoreboard in 1990. The intention was to measure both the short- and long-term objectives of organisations and provide a holistic view of how organisations are performing (Kaplan & Norton, 1996: viii). According to Whittaker (2001:149), a balanced-scoreboard approach allows an organisation to consider all the important operational measures at the same time; letting one see whether improvement in one area is achieved at the expense of another area. Kaplan and Norton (1996:181) regard a Balanced Scoreboard as a model for clarifying, communicating and managing an organisation's strategy by focussing on high-impact measures.

The organisation's vision and strategy are the starting point in the Balanced Scoreboard approach. The vision and mission are then translated into performance measures, which are tracked down to ascertain whether the vision and strategy have been implemented. This is achieved by setting objectives and measures in the four distinct scoreboard perspectives discussed below and illustrated in Figure 2.1.

2.3.1.1 Financial perspective

According to De Waal and Fourman (2000:48) the financial perspective measures the bottom line of an organisation, such as growth, return on investment and other traditional measures of business performance. It looks at the results already achieved

and is therefore a lagging perspective. Kaplan and Norton (1996:8) suggest that whereas front-line employees must understand the financial consequences of their decisions and actions; senior managers must understand the drivers of long-term financial success.

2.3.1.2 Customer perspective

The customer perspective specifies what customers/stakeholders will be served, including how they will be satisfied. De Waal and Fourman (2000:48) state that the customer perspective measures performance in terms of how the customer experiences the value created by the organisation. Williams (2002:48) therefore notes that organisations must undertake stakeholder analysis to help understand major stakeholders' needs. However, once stakeholders' needs have been identified organisations must maintain good relationships with major stakeholders by keeping their needs in some kind of balance (Williams, 2002:49).

2.3.1.3 Internal business perspective

Internal business perspective focuses on processes that are critical to providing value and satisfaction to customers (Kaplan & Norton, 1996:26). De Waal & Fourman (2000:48) on the other hand, contend that this perspective measures the ability of the organisation to create value by implementing and managing effective processes, as well as to determine how effectively these processes operate. Authors on the internal business perspective indicate that this aspect reflects what public sector organisations must excel at to satisfy their customers (Williams, 2002:66; De Waal & Fourman, 2000:48; Kaplan & Norton, 1996:27).

2.3.1.4 Learning and growth perspective

The last perspective of the Balanced Scoreboard, learning and growth represent what is done to maintain the ability to change and improve. Organisations should look at opportunities to create a climate that ensures continuous improvement and creates value for future performance and survival. To ensure continuous improvement, organisations should concentrate on a people perspective, and then measure people's well-being, commitment and qualities (like internal partnership teamwork, knowledge-sharing), as well as aggregate individual qualities (like leadership, competency, and use of technology) (Kaplan & Norton, 1996:28-29).

Within the context of the four perspectives discussed above, Kaplan and Norton (1996:10) note that organisations may use the Balanced Scoreboard as a strategic management tool to accomplish critical management processes over a long period of time. In order to achieve any of the four perspectives outlined above either singly or holistically, the Balanced Scoreboard model suggests that executive management teams should honour four interrelated processes (see Figure 2.1).

2.3.1.4.1. Clarity and translate the vision and strategy

According to Kaplan and Norton (1996:10), the scorecard process starts with the senior executive management team whose responsibility it is to translate the public sector's strategy into strategic objectives. At this stage it is important for management to clarify the performance for customers and stakeholders, which are the basis upon which the success of the strategy of the organisation will be judged.

In addition, it is at this stage of the scorecard that the executive management promotes a harmonious teamwork and consensus on organisational objectives among different functional departments in order to establish team-based management processes (Kaplan & Norton, 1996:12).

2.3.1.4.2. Communicating and link strategic objectives and measures

This component of the scoreboard approach suggests that once strategic objectives have been agreed upon, the executive management should communicate the critical public sector objectives to all employees in the organisation. In other words, all employees in the organisation should understand the high-level objectives and measures so that they in turn can establish local objectives that support the organisation's global strategy (Kaplan & Norton, 1996:13).

These authors further suggest that as communication and gaining employees' commitment to organisational strategy and objectives are a vital process of the Scoreboard, executives may communicate departmental measures via newsletters, bulletin boards, videos, including electronically through groupware and networked personal computers (Kaplan & Norton, 1996:13).

2.3.1.4.3. Plan, set targets and align strategic initiatives

The Balanced Scorecard can only have an impact on the organisation if it is implemented to effect change. As a result Kaplan and Norton (1996:15) suggest that managers should carry out a planning and target-setting management process aimed at quantifying the long-term outcomes they wish to achieve; identify mechanisms and allocate resources for achieving those outcomes and establish long-term milestones for the financial and non-financial measures on the scorecard. Moreover, it is important for managers to ensure that employees are measured on the basis of their ability to meet or exceed customer expectations.

2.3.1.4.4. Enhance strategic feedback and learning

According to Kaplan and Norton (1996:15) this final management process enables managers to monitor and adjust the implementation of their strategy and make fundamental changes in the strategy itself. In other words, the strategic feedback and

learning process feeds into the vision and the strategy process where the objectives in the various perspectives are reviewed, updated and replaced in accordance with the most current view of the strategic outcomes.
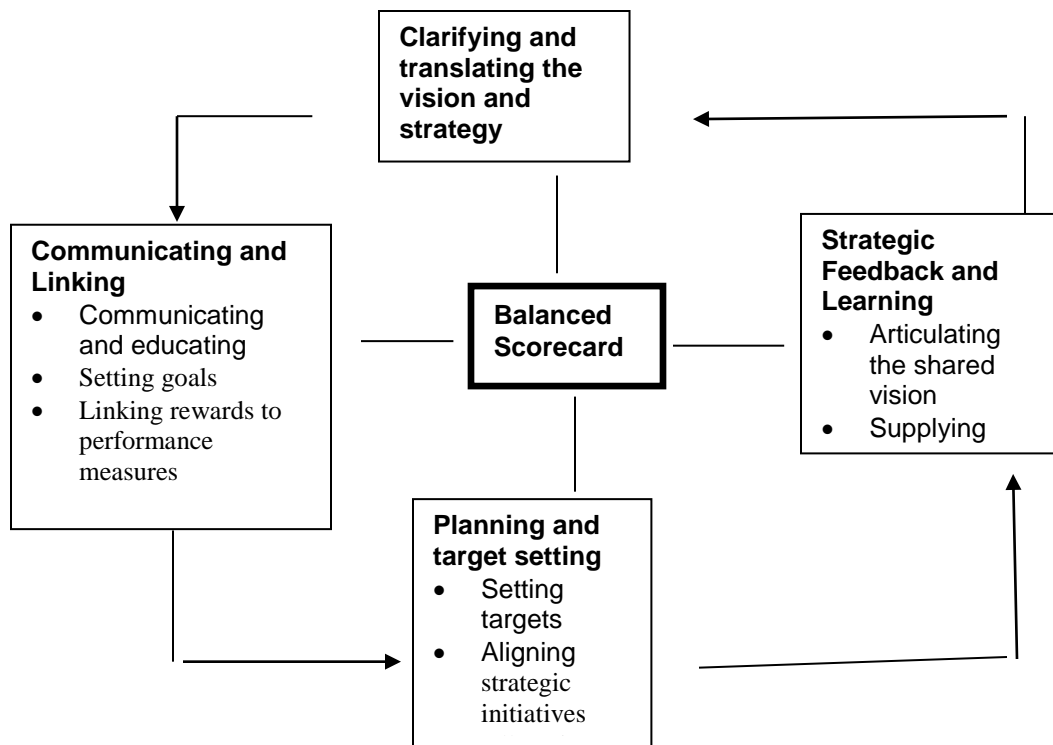
Figure 2.1: The Balanced Scorecard as a Strategic Framework for Action

(Source: Kaplan and Norton, 1996:11)

It is evident from the discussion above that the balanced scoreboard model is an advanced tool that public organisations can use to achieve their set of strategic objectives. It has an advantage in goal clarity and promotes communication at different levels within the organisation. At the same time the researcher observes that the senior executive management teams who are the forbearers of the vision of the organisation have the potential to impose their strategic objectives on employees. Furthermore, the researcher is of the opinion that the balanced scoreboard model as discussed in this study might be more effective in profit-orientated business organisations and less effective in bureaucratic government-run institutions. It is therefore the researcher's

contention that in the private sector, the Balanced Scoreboard performance management model may be easy to implement in the private sector because it is concerned with issues of input and output and the related remuneration, which cannot be said for public government institutions.

2.3.2 Cornell University PMS Model

The second model is the Cornell University PMS Model illustrated below.
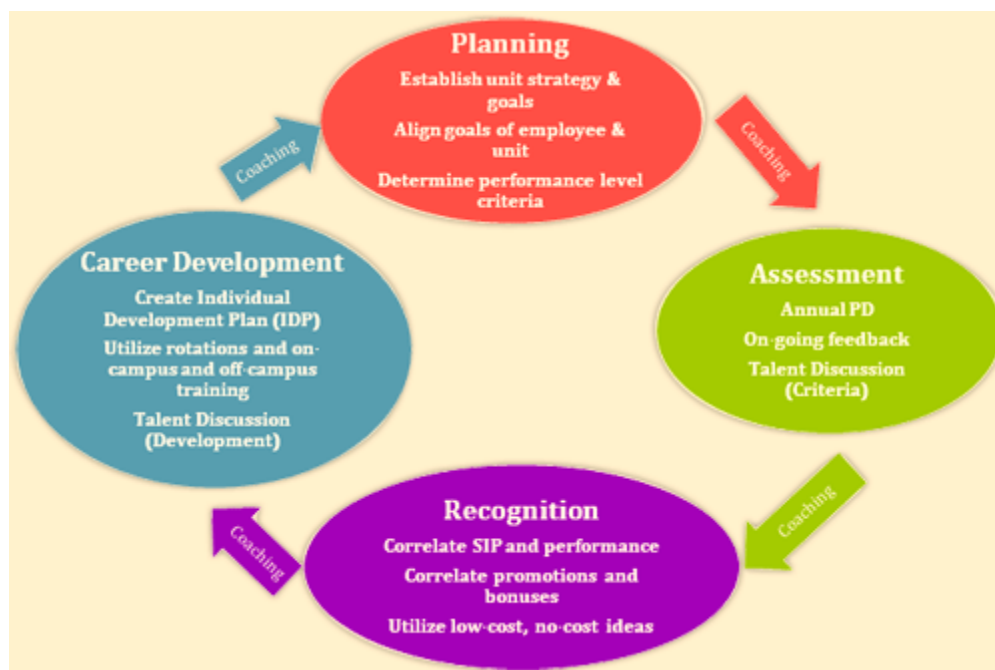
Figure 2.2: Cornell University PMS Model
(Source: Cornell University, 2010)

As shown in Figure 2.2 above, this cyclical model comprises four major components, namely planning, assessment, recognition and career development. Advocates of this model have argued that coaching connects each stage to the next component of the framework. Flanagan and Finger (1998:153), for instance, indicated that "coaching is a key step in building an effective team, but cannot be done offhandedly or haphazardly".

Another important feature of the Cornell University Model is that it calls for the alignment of employees' goals to those of the unit/organisation during the planning phase.

A key advantage of the model above is that if used according to plan it contributes to employees' career development. Critics of the Cornell model have, however, argued that it does not graphically show how it is linked to the strategic goals of the organisation. This weakness has been alluded to. Critics have suggested that the model might have been designed mainly for educational institutions and thus its use outside the university environment may require further enhancement.

2.3.3 Public Service Performance Management System

A third model is that of the Public Service Performance Management System (PSPMS) presented and discussed in Section 3.3 of this thesis. As illustrated in Figure 3.1 the model outlines various steps that government institutions and employees should follow to attain Namibia's Vision 2030 of: "A prosperous industrialised country by 2030, developed by our people, enjoying peace, harmony and political stability" (Office of the Prime Minister, 2004:14). Namibia's PMS calls for, amongst others, performance management at all levels of government, development of performance agreements, performance measurements, assessments and formulation of employees' development plans (Office of the Prime Minister, 2005:25). The present study contends that if all the stages outlined in the existing PMS had been implemented as planned, there would have been improvements in Namibia's public service delivery system.

The researcher's contention is that even though the operationalisation of the new PSPMS is viewed to have taken long, training on its usage should be continuous to allow for its successful implementation and maintenance.

Critics of this model argue that despite the well-articulated stages of the model, from its graphic form, the model is crowded and difficult to understand as its stages are not clearly linked.

2.3.4 Spangenberg's Integrated Model of Performance

The present study also reviewed Spangenberg's Integrated Model of Performance adapted from Maila (2006:15).

Table 2.1: Spangenberg's Integrated Model of Performance

Organisation	Process/function	Team/individual
Vision Mission Strategy Organisational goals set and communicated	**Performance Planning** Goals for key processes linked to organisational and customer needs	Team mission, goals, values and performance strategies defined Individual goals, responsibilities and work planning aligned with process/function goals
Organisation design ensures structure supports strategy	**Design** Process design facilities and efficient goal achievement	Teams are formed to achieve process/function goals Job design ensures process requirements reflected in jobs; jobs logically constructed in a sound environment
Continual organisation development and change efforts Functional goals (in support of organisational goals) managed, reviewed and adapted quarterly Sufficient resources allocated Interfaces between functions	**Managing Performance (and improvement)** Appropriate sub-goals and process performance managed and regularly reviewed Sufficient resources allocated Interface between process steps	Achieve team building efforts" feedback, coordination and adjustment Developing individual understanding and skills, providing feedback Sufficient resources allocated

managed	managed	
Annual review, input into strategic planning	Reviewing Performance Annual Review	Annual review
Financial performance of organisation	**Rewarding Performance** Function rewards commensurate with value of organisational performance and function contribution	Rewards commensurate with value of organisation performance and for team function and team contribution; for individual – function/team performance and individual contribution

Adapted from Maila (2006:16) – Source: Spangenberg 1994:30-31

Advocates of Spangenberg's model have indicated three advantages that this model has over the three other frameworks discussed above. For instance, the Integrated Model establishes the link between performance at an organisational as well as individual levels and their alignment to the strategic objectives. Also the model provides a clear mapping between strategic planning and strategy implementation through team/individual operational performance plans. Based on Table 2.1 above the researcher infers that performance management processes involve performance planning, design, managing, reviewing and rewarding, which conform to the earlier definitions with a new element of design.

Critics of the Integrated Model contend that while the model makes provision for rewarding performance, it does not sanction non-performance, an element that is regarded as the main shortcoming of the model.

While the researcher acknowledges the contribution by the four Models of performance management, she has found the last model to be simple and easy to adapt to any working environment; however, as mentioned earlier, there is room for improvement,

especially if consideration is given to certain aspects when dealing with non-performance.

In sum, Performance Management Model Frameworks should clearly establish linkages between operational plans of teams and individuals in respect of the objectives/targets in the strategic plan of an organisation. It should also make provision for all inputs and processes required to attain the output.

As is evident from the various models reviewed above, frameworks guide the strategic direction of organisations. However, their success or failure depends on, amongst others, how they are perceived by employees, whose behaviour are meant to regulate within an organisations.

The next section thus explores literature pertaining to employees' perceptions about the implementation of PMS in their work environment.

2.4 Employee perceptions of PMS

There are limited studies in Namibia that have explored employees' perceptions of the implementation of PMS in the public sector. Nonetheless, literature research found that perceptions play a critical role in how individuals reason, construe situations and assign meaning to life's phenomena, society in general and organisations. Perceptions influence people's life experiences, attitudes, and feelings. According to Mullins (2010:209) perception forms the basis of organisational behaviour and that situations can be evaluated in terms of its perceptual inferences.

Kalashe (2016:22) contends that there are different perceptions of the implementation of the Performance Management System that can affect the whole system and its intended purpose negatively. Matlala (2011:63) who investigated employees' perceptions of performance management system in South Africa found that both

subordinates and supervisors view the performance management system as time-consuming. Additionally, Matlala (2011:63) reported that in some instances the conflict between employees and their supervisors was due to different perceptions of how to implement the PMS held by subordinates and their supervisors.

Empirical findings from Matlala's (2011:63) study further reported that while 67% of subordinates perceived performance management as a tool used to determine employees' performance, 100% of supervisors perceived performance management as a tool used to assess employees' performance and determine the department's effectiveness. Supervisors in Matlala's (2011:63) study indicated that the Performance Management System encourages employees when rewards for good performance are involved.

Zvavahera's (2014:14) study of teachers in Zimbabwe, on the other hand, found that lack of clarity of the goals of the performance management system introduced by government led to negative perceptions of its effectiveness among most practicing teachers.

Evidence from the foregoing discussion shows that managers and their employees employed in the public sector may have different perceptions of the implementation of the PMS. Thus, the researcher's view is that to improve employees' support for a new PMS initiative requires the public sector to set clear goals that use specific and measurable standards. Additionally, the researcher suggests that organisations should rather create the perception that there are no winners and losers, but only winners if the total organisation effectively implements the PMS.

The next section presents a theoretical framework, which outlines critical success factors for evaluating the performance of employees in an organisation.

2.5 A Theoretical Framework for evaluating performance

In line with Kaplan and Norton's (1996:18-24) Balanced Scoreboard discussed in section 2.4.1, this study adopted the goal-setting theory developed by Edwin Locke to explore the key success factors applicable to the implementation of PMS in an organisation (Locke & Latham, 2002:705-717; O'Neil & Drillings, 1994:85).

Consistent with the Balanced Scoreboard perspectives, which are translated into strategic action demonstrated in Figure 2.1, Locke and Latham (2002:49-52) suggested five factors that may play a key role in the evaluation and management of performance in organisations, namely setting clear and challenging goals, commitment, feedback and task complexity (Locke & Latham, 2002:49-52).

2.5.1 Clarity of goals

In their work Locke and Latham (2002:49-52) indicate that clear goals should be measurable and unambiguous. They further contend that when a goal is clear and specific, with a certain time set for completion, there is less confusion about what to reward in respect of employees' behaviours. Moreover, when a goal is vague it becomes difficult to determine what behaviours should or should not be evaluated and evaluations may have limited motivational value for both the employers and employees.

Based on this assumption, an assigned goal influences employees' views about being able to perform the task at hand and if it becomes certain that recent performance is not achieving desired goals, employees will be motivated to increase effort or change their strategy (Schultz, 2006:27).

2.5.2 Challenging goals

One of the most important characteristics of goal setting theory is that employees may appreciate a system if they know what is expected of them. In this context, therefore, employees may have positive perceptions of the performance management system if they are aware of the financial and non-financial measures and objectives towards which they should direct their efforts (Locke and Latham, 2002:49-52).

Thus as in the case of the Kaplan and Norton's (1996:18-24) Balanced Scorecard, managers need to communicate the organisational strategy and objectives in order to ensure that all employees support the strategy because they know not only the nature of the tasks to pursue but also the rewards that may accrue after the completion of a milestone.

2.5.3 Commitment

Locke and Latham (2002:49-52) contends that employees are more likely to "buy into" a goal if they feel they were part of creating that goal. Juxtaposed against Kaplan and Norton's (1996:18-24) Balanced Scorecard, Locke and Latham (2002:49-52) agrees that participative management rests on the idea of involving employees in setting goals and making decisions, which will result in consensus building and a team-based management process that will drive the achievement of organisational goals after agreed goals lead to employee commitment.

Although not every goal has to be discussed with and agreed by employees, Locke and Latham (2002:49-52) believes that goals should be consistent and aligned with organisational expectations and concerns in order to promote total employee commitment.

2.5.4 Feedback

Feedback is a strategic last step in Kaplan and Norton's (1996:18-24) Balanced Scorecard process. However, for Locke and Latham (2002:49-52) feedback is a regular activity which is continuously used to provide chances to clarify expectations, adjust goal difficulty, and gain recognition based on organisational benchmarks or targets. Feedback helps individual employees determine for themselves their performance through regular progress reports, which measure specific success along the way based on intermediate milestones.

Thus, to motivate employees, organisations should build in time for providing formal feedback through informal check-ins aimed at providing employees regular encouragement and recognition whereas formal meeting should be conducted to discuss goal performance necessary for long-term performance improvement. In addition, feedback should help and allow employees set their personal goals, which are consistent with the overall vision and purpose of the organisation (Locke and Latham, 2002:49-52).

2.5.5 Task Complexity

This factor assumes that employees may develop positive perceptions towards a performance system if first they are given sufficient time to meet the goal or improve their performance; and, second, if they are provided enough time to practice or learn what is expected and required for their success (Locke and Latham, 2002:49-52).

As with the Balanced Scorecard management process discussed above, the whole point of goal setting theory is to facilitate success within a team-oriented environment. Thus, organisations should create conditions where employees are involved in the development of departmental goals so that they do not get frustrated once they set out

to implement and accomplish the organisational strategy and objectives (Locke and Latham, 2002:49-52).

Thus, in terms of the goal setting theory, various methods are followed in order for the appraisal to take place. First, the individual staff members will meet with their supervisors to plan the goals, set standards for appraisal, define values as well as outline strategies to achieve these. Second, the individual staff member's goals and standards are designed in line with those of the organization. Third, during the year, the individual staff member meets with his/her appraiser to evaluate progress and amend goals and strategies if necessary.

From this account, the goal setting theory is applicable to this study because the performance management system is among other things a process of setting specific performance goals for the employee, which in turn helps as a potent motivating force for the employee.

The goal setting theory has been found to have some benefits for both individual employees and organisations. First, Heystek, Roos and Middlewood (2005:77) stated that this theory is effective because it depends on the ability of individuals in an organisation to combine their efforts towards a coordinated goal.

Secondly, Zvavahera (2014:14) contended that individual autonomy is the major advantage of this model. However, Zvavahera (2014:14) admitted that some individuals may set weak or over-ambitious goals which may actually misrepresent performance. Despite this caveat, performance management is necessary to maintain the strength of the organisation. It is grounded on the principle of management by agreement or participative management rather than management by command (Bezuidenhout, 2000:56). Under the PMS, supervisors and employees jointly work out performance goals, review performance, provide feedback and work out corrective actions. The performance management system therefore emphasizes the development and the

initiation of self-managed learning plans and the combination of the individual and corporate objectives (Berry, 1998:256).

However, in his study on employees in Zimbabwe, Mandishona (2003:75) concluded that the success of the performance management system depends on how employees perceive the system. Buchner (2007:59-73) reported that in most instances, public sector employees always have an opposing feeling about performance management systems.

Verspoor (2004:5-8), on the other hand, perceived that the success of the PMS may be based on a number of factors, including the way the system is communicated to employees; level of staff training on PMS; quality of coaching and guidance employees receive from their supervisors and the Human Resource Department; accessibility of resources in the department and the nature of staff development programmes implemented in workshops on PMS. Verspoor (2004:5-8) therefore stresses that the reality of these conditions is important to help individual employees in the organisation understand the procedures and processes of the PMS.

2.6 Challenges of implementing a performance management system

Human resource practitioners have found that despite its perceived usefulness, the performance management system has raised some controversy in many organisations. First, in public organisations, the origin of the concept of PMS resonates with ideas inherited from private business. Heystek *et al.* (2005:68), for example, argued that the performance management system was inherited from the private sector where performance is linked to monetary compensation.

As Gerber, Nel and Van Dyk (1998:193) briefly put it: in the private sector, the performance management system may be easy to implement because it is concerned with matters of input and output and the interrelated remuneration, which cannot be said for public government institutions. Other authors on human resource management

contend that time and the lack of universally agreed measuring criteria are some of the main challenges to the effective implementation of the performance management system (Heystek *et al.*, 2005:54; Riches & Morgan, 1998:99).

Sergiovani and Starrat (1993:71) observed that the most sensitive subject pertaining to evaluation is the criteria, which should be used to make the variables more tangible and measurable. These authors believe that evaluation instruments are susceptible to the halo effect of being too generous or too strict when evaluating. They further argue therefore that the practice of appraising, measuring or evaluating human performance is value-laden and brings the issue of objectivity and validity to the fore.

These concerns led Robbins (2007:36) to advise that, in evaluating or measuring performance, appraisers should always realise that they are attempting to measure the invisible and the subjective side of measurement, and therefore the process that requires extreme caution particularly in the public sector institutions.

Armstrong (1996:15) on the other hand, regards performance management as a means of getting improved results from the organisation, teams and individuals by understanding and managing performance within an agreed framework of planned goals, standards and competence requirements. The same author notes that performance management is concerned with the interrelated processes of work, management development and reward. It covers activities that start with goal setting at the organisational level and finish with appraisal of performance of employees, followed by rewards and consequence management (Sallis, 2002:25).

This section contributed to the knowledge that there are numerous possible challenges that implementers of the PMS might encounter in their line of duty. Also the section helped to understand that most challenges might be value-laden; for instance, there are some of those responsible for performance evaluation who might decide to use subjective rather than objective measures.

The next section discusses the relationship between performance management and performance appraisal.

2.7 Performance appraisal

From the definitions in section 2.6 above, it is clear that performance is a means of attaining organisational or individual goals. Therefore, achievement is about predetermined goals that can be measured and not the result of an accidental event.

Boxall, Purcell and Wright (2007:366) concur, stating that performance is behaviour or action relevant to the attainment of organisational goals that can be scaled and measured. This is underscored by Johnson, Penny & Gordon (2009:23) who argue that performance is a sequence of responses aimed at modifying the environment in a specific way. They argue that performance can be evaluated both in oral assessment and demonstrations or what is commonly known as performance appraisal.

Coens and Jenkins (2000:12) agree and defined Performance Appraisal (PA) as "the process or evaluating or judging the way in which someone is functioning" and "the purpose of evaluating an employee must be useful and must have purpose". However, available literature has stressed the fact that Performance Management "is not Performance Appraisal" (Chaudhuri (2002: XXIII) cited in Rao, 2004:33).

Proponents of Performance Appraisal (PA) regard it as a formal system of review and evaluation of individual or team task performance. A critical point in the definition is the word *formal,* because in actuality, managers should be reviewing an individual's performance on a continuing basis (Credit Union Magazine, 2009:12).

Boxall, Purcell and Wright (2007:365), on the other hand, pointed out that the distinguishing factor between performance management and performance appraisal is that while performance management is an unending process, performance

appraisal is done at distinct time intervals. Performance management cannot therefore be a substitute to performance appraisal, or vice versa.

Within this context therefore performance appraisal should be understood as a part of the performance management process. Performance management as a holistic approach to performance is more concerned with the achievement of institutional goals and improving institutional service delivery. Performance Appraisal, on the other hand, is more concerned with the valuation of the individuals' past and current performance for the purpose of assessing their performance and developing developmental plans.

Foot and Hook (2011:237) indicate that PA is especially critical to the success of performance management. Although performance appraisal is but one component of performance management, it is vital in that it directly reflects the organisation's strategic plan. Moreover, the two authors state that although evaluation of team performance is critical when teams exist in an organisation, the focus of PA in most organisations remains on the individual employee. Regardless of the emphasis, an actual appraisal system evaluates accomplishments and initiates plans for development, goals, and objectives (Foot & Hook, 2011:237).

Research shows that performance appraisal, despite its good intentions, is often a negative, disliked activity and one that seems to elude mastery (Russell & Russell, 2010:42-48). Managers, for instance, may not like giving performance appraisals and employees may not like to receive the results of their appraisals (Houghton, 2010:11). In fact, in one survey, almost 80 percent of workers stated that they were dissatisfied with their PA process (HR Focus, 2009:86).

Despite the dislike of performance appraisals among some managers and employees, there is no evidence that signify that appraisals are less important in organisations. In fact, performance appraisals serve many purposes that include providing feedback, encouraging performance improvement, and helping to make valid decisions. In addition, performance appraisals help to justify terminations, identify training and

development needs, and defend personnel decisions (Fox, 2009:52–56). The views provided in the section above demonstrates that despite the definitional differences between performance management and performance appraisal, the two processes intertwined and need each other in order for any performance management system to be effectively implemented. The researcher concurs with the conclusion that in spite of technical and conceptual differences between performance management and performance appraisal, appraisals in their various forms and instruments are critical, if correctly used to enhance the effective implementation of the PMS at organisational level.

The next section presents and discusses the benefits of performance appraisals to improve organisational performance.

2.8 Benefits of performance appraisals

In many institutions performance appraisals are used to improve individual and organisational performance. In their book *Introduction to Human* Resources, Foot and Hook (2011:237-238) suggest seven benefits of performance appraisals in organisations, which are discussed below.

2.8.1 Human resource planning

Foot and Hook (2011:237) believe that a well-designed appraisal system can provide a profile of the organisation's human resource strengths and weaknesses. For example, data obtained from performance appraisals of an organisation's human resources may help to identify individual employees who qualify for promotion. Also performance appraisals can assist management to determine current and future succession plans and developments of the organisation.

2.8.2 Recruitment and selection

Apart from being pivotal in human resources planning, organisational performance evaluation ratings may help to predict the performance of job applicants and provide benchmarks for evaluating applicant responses obtained through behavioural interviews. Thus, accurate appraisal results can help an organisation to select and recruit suitable employees who exhibit certain behaviours critical to the future success of an organisation (Foot & Hook, 2011:237).

2.8.3 Training and development

In addition, organisations use performance appraisal to identify employees' skills deficiencies. By identifying deficiencies that adversely affect performance, training and development programmes can be developed that permit individuals to build on their strengths and minimize their deficiencies. Although an appraisal system may not guarantee properly trained and developed employees, determining training and development needs is more precise when appraisal data are available (Foot & Hook, 2011:237).

2.8.4 Career planning and development

Moreover, performance appraisals are important for organisations to design and implement career plans and development programmes for their employees. Whereas career planning is an ongoing process whereby an individual sets career goals and identifies the means to achieve them, career development is a formal approach used by the organisation to ensure that people with the proper qualifications and experiences are available when needed. In both cases performance appraisal data are essential in revealing an employee's strengths, weaknesses and potentials. Managers may use

such information to counsel employees and assist them in developing and implementing their career plans (Foot & Hook, 2011:238).

2.8.5 Compensation programmes

Moreover, the adage among most managers that "the behaviours you reward are the behaviours you get," suggests that performance appraisal results provide a basis for rational decisions regarding pay adjustments. In other words, reliable performance appraisal system can help managers to reward their most productive workers through pay increases to reinforce outstanding job performance necessary for accomplishing organisational strategic objectives (Foot & Hook, 2011:238).

2.8.6 Internal employee relations

Furthermore, Foot and Hook (2011:238) write that performance appraisal data assist managers to make decisions regarding employee promotion, demotion, termination and transfer.

2.8.7 Assessment of employee potential

Lastly, organisations use performance appraisals to assess employees' potential. Some organisations believe that although past behaviours may be a good predictor of future behaviours in some jobs, an employee's past performance may not accurately indicate future performance in other jobs. In recognition of this challenge, most managers separate performance appraisals focused on past behaviour, from the assessment of potential, which is future-oriented. Thus, the attempt to assess employees' potential as they appraise their job performance may assist organisations to promote suitable employees into management jobs (Foot & Hook, 2011:238).

2.9 Factors influencing performance appraisals

Foot and Hook (2011:238-239) state that in most organisations external and internal environmental factors are the two main factors that influence performance appraisals. In the case of external factors, legislation and labour unions might have a strong effect on any organisation's appraisal system. For instance, as labour laws require that appraisal systems be non-discriminatory, any use of appraisal methods that discriminate against individual employees may result in lawsuits, in turn affecting the organisation's reputation (Foot & Hook, 2011:238).

The labour union is another external factor that might affect an organisation's appraisal process. For instance, in situations where trade unions stress seniority as the basis for promotions and pay increases, diversions from this principle may lead unions to vigorously oppose any other performance appraisal system (Foot & Hook, 2011:238).

However, internal environment factors include the culture of an organisation and its effects on the performance appraisal process. For instance, an organisation's corporate culture can assist or hinder the process (Foot & Hook, 2011:238). In this context, culture is defined as a system of shared values and beliefs that produces norms of behaviour and an established organisational way of life shared by members of a social unit (O'Reilly, Chatman, & Caldwell, 1991:491; Koberg & Chusmir, 1987:397).

Thus, in today's dynamic organisations, which increasingly use teams to perform jobs, distinguish overall team results as well as individual contributions, a non-trusting culture may not provide the environment needed to inspire high performance by either individuals or teams. In such an atmosphere, the credibility of an appraisal system may suffer regardless of its merits (O'Reilly, Chatman, & Caldwell, 1991:491; Koberg & Chusmir, 1987:397). The factors discussed above demonstrate the key benefits of using performance appraisals in improving organisational performance. The literature reviewed and presented has in particular assisted the researcher to understand the fact that internal environment factors - mainly the culture of an organisation - may have

pivotal effects on the performance appraisal process. The next section, however, extends the above discussion by illustrating the process that should be followed when conducting performance appraisals.

2.10 Performance Appraisal Process

Human resource practitioners indicate that there is a connection between the organisation's mission and objectives and the performance appraisal process (Lussier & Hendon, 2012:285; Foot & Hook, 2011:240). Based on this assumption, a performance appraisal process may therefore involve five key steps (Figure 2.3).

As shown in Figure 2.3 below, the first step in performance appraisal process begins by identifying specific performance goals. The second step deals with managers establishing performance criteria according to which employees will be appraised. Also during this phase managers communicate the identified performance criteria to employees.
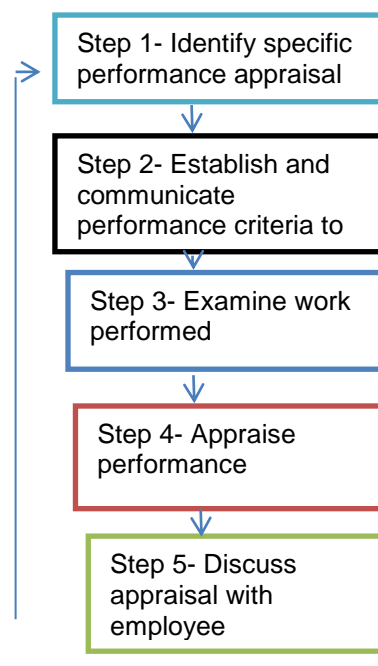
Figure 2.3: Performance appraisal process
Source: Adapted from Foot & Hook (2011:240)

The third step in establishing performance criteria is to ensure that employees have an opportunity to carry out the job and upon which, at step four, the supervisor will subsequently appraise the performance. At step five of the appraisal period, the appraiser and the employee together review work performance, which is evaluated against established performance criteria.

The review of employee performance will serve three purposes. First, it will help determine how well employees met the performance standards set at step two; secondly, it will determine reasons for deficiencies, and, thirdly, it will be used to develop a plan to correct the problems. During the review meeting the supervisor sets new goals for the next evaluation period, and the performance appraisal cycle repeats (Foot & Hook, 2011:239-240). To accomplish the three purposes of the review of employee performance, five appraisal criteria discussed below should be considered.

2.10.1 Establish performance criteria

The most common appraisal criteria are traits, behaviours, competencies, goal achievement, and improvement potential (Lussier & Hendon, 2012:291; Foot & Hook, 2011:240).

2.10.1.1 Traits

Despite the subjective nature of most physical and psychological characteristics of a person such as attitude, appearance, leadership, personal conduct, ethical habits, resourcefulness, and loyalty to an organisation, Lussier and Hendon (2012:291) believe that such traits can be appraised. The same authors, however, caution that when evaluating traits, organisations must ensure that they focus on traits that have a direct relationship to the essential functions of the job being done, and they must use accurate measures (Lussier & Hendon, 2012:291; Blanchard, Huston & Wills, 2008:45). For

instance, traits such as adaptability, judgment, appearance, and attitude may be appraised when they show that they are job-related (Foot & Hook, 2011:240)

2.10.1.2 Behaviours

Behaviours are the actions taken by individuals and include things that employees do and say. Behavioural appraisals measure what individuals do at work, and may thus be a better option to use in an appraisal than traits (Lussier & Hendon, 2012:293).

Foot and Hook (2011:241) agree and state that desired behaviours may be appropriate as evaluation criteria because if they are recognised and rewarded, employees tend to repeat them. Evidence shows that most individuals are very comfortable with the evaluation of their performance being based on their behaviours (Blanchard, Huston & Wills, 2008:45; Goodale, 1977:247).

However, Blanchard, Huston and Wills (2008:45) indicate that, in general, the most useful and acceptable feedback to employees should be in the form of specific job-related behaviours. At the same time Blanchard, Huston and Wills (2008:45) caution managers, that as in the case of traits, behavioural evaluation can be a poor measure of work performance unless the behaviours chosen are directly applicable to being successful in the job. Therefore, managers should when appraising behaviours ensure that employees understand why they are assessed at a specific level and what it takes to get a higher rating (Blanchard, Huston & Wills, 2008:45).

2.10.1.3 Competencies

Most organisations evaluate a broad range of competencies including knowledge, skills, traits, and behaviours that may be technical, interpersonal and service delivery-oriented skills (Foot & Hook, 2011:241).

2.10.1.4 Goal achievement

Most organisations consider goal achievement outcomes in the form of increased profit or cash flow and expanded market share as the most appropriate factor to evaluate (Foot & Hook, 2011:241). However, in the not-for-profit public service organisations goal achievement outcomes might be evaluated considering the extent to which employees achieved the set criteria of effective service delivery as defined in the strategic and implementation plans.

Lussier and Hendon (2012:294) refer to goal achievement as results or outcomes as they demonstrate the results of the work process. Because results are simply a measure of the goals achieved through a work process, Lussier and Hendon (2012:294) claim that using results as an evaluation measure can provide management of the organisation with an assessment of the goals that were achieved in a particular job over time.

Foot and Hook (2011:241) point out that whereas cultural competencies such as ethics and integrity can be evaluated for all jobs, job-specific competencies such as analytical thinking and achievement orientation might be essential in professional jobs. Moreover, leadership jobs might be appraised in terms of competencies such as developing talent, delegating authority, and people management skills (Foot & Hook, 2011:241).

Nonetheless, there is a general agreement among most human resource practitioners that competencies selected for evaluation purposes should be those that are closely associated with job success. Also, there is evidence to suggest that employees may readily accept results-based appraisals because they represent more concrete and the fairest methods of analysing their performance (Lussier & Hendon, 2012:294; Foot & Hook, 2011:241; Blanchard, Huston & Wills, 2008:45).

2.10.1.5 Improvement potential

Foot and Hook (2011:42) observe that when organisations evaluate their employees' performance, many of the criteria focused on past performance. According to the two authors, because historical evaluation data cannot change the past, organisations should be future-oriented when evaluating behaviours and outcomes needed to develop the employee, which in the process can assist organisations to achieve their goals. The assessment of employees' potential, Foot and Hook (2011:42) contend, will ensure more effective career planning and development. From the forgoing discussion, the researcher understands that setting performance criteria are important in ensuring that performance appraisals are well implemented so as to help in developing effective organisational performance. The next section outlines the framework of individuals who should take charge of performance appraisal at organisational levels.

2.11 Responsibility for performance appraisal

In addition to the human resource department and line managers, five other possibilities discussed below exist regarding persons who may conduct performance appraisals in organisations (Foot & Hook, 2011:242).

2.11.1 Immediate supervisor

In most organisations around the world, an employee's immediate supervisor is traditionally the most logical person to evaluate employee performance because of the belief that supervisors are always supposed to know every job for which they are responsible in a particular unit (Lussier & Hendon, 2012:301; Foot & Hook, 2011:242).

However, Lussier and Hendon (2012:301) indicate that in today's work environment, with the amount of information necessary to do complex tasks to accomplish

organisational objectives, the immediate supervisor cannot know every job. Therefore, peers in the organisation may be used to conduct evaluations.

2.11.2 Peers and team members

Foot and Hook (2011:242) believe that a major strength of using peers to appraise performance is that they work closely with the evaluated employee and may have an undistorted perspective on typical performance. Sudarsan (2010:75), however, indicates that research evidence regarding the validity of peer evaluations is still unclear.

Sudarsan (2010:75) therefore cautions that personality conflicts and personal biases may cause friction within the work group and can affect how individual employees rate their peers. Thus, organisations should be clear at the onset of the performance evaluation if teamwork is essential and then develop criteria for evaluating employees based on team assignments; and then reward collaboration to encourage teamwork (Foot & Hook, 2011:243).

2.11.3 Subordinates

There are three perspectives associated with the role of subordinates in performance evaluations (Foot & Hook, 2011:242-243). First, historically, subordinates in most organisations have not been allowed to participate in performance evaluations.

Second, today some organisations are changing their culture and regard subordinates as reliable entities in evaluating their managers' performance. Advocates reason that subordinates are in an excellent position to view their superiors' managerial effectiveness. Citing the higher education environment, where students evaluate their instructors, advocates further believe this approach may lead supervisors to become conscious of the work group's needs and thus manage better.

Third, and contrary to the above view, critics indicate that allowing subordinates to evaluate their managers may cause reprisals especially in small departments and if demographic data on the appraisal form identifies evaluators. Critics thus suggest that the subordinate approach to performance evaluation can only succeed if evaluators are guaranteed anonymity.

2.11.4 Self-appraisal

Falcone (2007:14) notes that because employees are usually tougher on themselves during performance appraisals they should thus be provided an opportunity to evaluate themselves. Lloyd (2009:8-10), on the other hand, indicates that employees should be allowed to appraise themselves because that is how they can inform their supervisors on their performance during the appraisal period.

Although Foot and Hook (2011:243) support the use of self-appraisals they contend, however, that for employees to be able to criticise their own performance objectively and take action to improve it, they should understand the objectives and the criteria used for evaluation. Also, the two authors contend that self-appraisal might primarily be concerned with employee participation and development and to a lesser degree with compensation.

2.11.5 Customer appraisal

Customer behaviour determines an organisation's degree of success. Therefore, some organisations believe it is important to obtain performance input from customers on broad and strategic goals as well as on specific targets for lower-level employees. Involving customers in evaluations may reduce the number of dissatisfied customers and improve the delivery of products and services (Foot & Hook, 2011:243).

This section outlined five possible persons who may conduct performance appraisals in organisations. However, the researcher is of the view that who and how many people

are involved in the appraisal process may depend on the structure, culture and size of the organisation.

The next section presents the various methods that may be used in employee performance appraisal processes.

2.12 Performance appraisal methods

Organisations can choose from among a number of appraisal methods depending on the purpose of the appraisal. If the major emphasis is on choosing people for promotion, training, and merit pay increases, a traditional method, such as rating scales, may be suitable. Collaborative methods, including input from the employees themselves, may prove to be more suitable for developing employees.

In summary, Lussier and Hendon (2012:301) and Foot and Hook, (2011:242) highlight nine performance appraisal methods discussed below.

2.12.1 360-Degree feedback evaluation method

The 360-degree feedback evaluation method is a popular performance appraisal method that comprises evaluation input from multiple levels within the organisation including exterior sources.

The 360-degree method is unlike traditional performance reviews, which provide employees with feedback only from supervisors (Gallagher, 2008:61). But in this method, people all around the rated employee may be responsible for ratings, including senior managers, employees themselves, supervisors, subordinates, team members, peers, internal and external customers (Maylette & Riboldi, 2007:48–52).

2.12.2 Rating scales method

The rating scales method is a performance appraisal method that rates employees according to defined factors. The scale typically includes job-related and personal characteristics defined by adjectives such as outstanding, meets expectations, or needs improvement (Foot & Hook, 2011:245)

Advocates of this method indicate that it is popularly used in many organisations because the approach is simple and easy to administer and quantify results even with many employees.

The procedure of administering the rating scale method involves the evaluator who completes the form by demonstrating the degree to which each factor most defines the employee and his or her performance. Evaluators total and then average the points in each part and then multiply this average by a factor representing the weight given to each section. The final score for the employee is the total of each section's points. However, some organisations provide space for the rater to comment on the evaluation given for each factor. For example, evaluators may provide comments when the rater gives a high or low score for the purpose of justifying for the rating.

2.12.3 Critical incident method

The critical incident method is a performance appraisal method in which a manager keeps a written record of positive and negative performance of employees throughout the performance period (Lussier & Hendon, 2012:296).

This method involves a situation whereby every time employees perform well, or display unacceptable behaviours, a note goes in the employees' file. The note is usually written by the supervisor and is in the form of documentation, such as a warning that is given, performance reports, or a letter from a happy customer thanking the employee for doing a great job (Lussier & Hendon, 2012:296).

Lussier and Hendon (2012:296) acknowledge that one of the key advantages of the critical incidents method is its emphasis on coaching, which is part of this ongoing process. As part of the critical incidents method, coaching includes helping employees succeed by monitoring performance through giving feedback to praise progress and to correct inappropriate behaviour as often as needed (Blanchard & Hutson, 2008:88).

2.12.4 Essay method

The essay method is a performance appraisal method in which the rater writes a brief description to define the employee's performance. This method focuses on extreme behaviour in respect of the employee's work rather than on routine day-to-day performance. The two main shortcomings of this method are that the ratings depend heavily on the evaluator's writing ability and no common criteria exist (Foot & Hook, 2011:247).

2.12.5 Work standards method

The work standards method is a performance appraisal method that compares each employee's performance to a predetermined standard. Although using standards as appraisal criteria is objectivity, employees can only support this method if they understand clearly how the standards were set. In addition, management must also explain the rationale for any changes to the standards in order to guarantee employee buy-in to the method (Foot & Hook, 2011:247).

2.12.6 Ranking method

The ranking method is a performance appraisal method in which the rater ranks all employees in order of overall performance. For instance, the best employee in the group may be ranked highest, whereas the poorest may be ranked lowest. Based on a comparative approach many organisations use this method for employee promotion and pay increases (Foot & Hook, 2011:247).

2.12.7 Forced distribution method

The forced distribution method of performance appraisal requires the rater to assign individuals in a work group to a limited number of categories. Proponents of this method claim that it keeps managers from being excessively soft and having too many employees in the "superior" category (Conference Board Review, 2008:42).

Despite being a favourite method among some organisations, the forced distribution system appears to be disliked by many managers. For instance, in a survey of human resource professionals in the United States of America, 44 percent of respondents indicated their firm's forced ranking system damaged confidence and generated distrust of leadership (HR Focus, 2004:244).

2.12.8 Behaviourally anchored rating scale method

A behaviourally anchored rating scale method (BARS) differs from rating scales because instead of using terms such as high, medium, and low at each scale point, it uses behavioral attributes related to the criterion being measured. For example, the BARS may use behavioural anchors such as clearly outstanding performance, excellent performance, good performance, average performance, slightly below average performance, poor performance and very poor performance (Foot & Hook, 2011:247).

To facilitate the use of each of the behavioural anchors, descriptions should be developed to provide a common understanding to evaluators. Regardless of the apparent advantages of the BARS method, reports on its effectiveness are mixed. A specific deficiency is that the behaviours used are activity oriented rather than results oriented (Foot & Hook, 2011:247).

2.12.9 Results-based system

The results-based system is a performance appraisal method in which the manager and employee jointly agree on objectives for the next appraisal period (Foot & Hook, 2012:249).

In the past, the results-based system was known as the Management by Objectives (MBO) method, a process whereby managers and employees jointly set objectives for the employees, periodically evaluate performance, and reward according to the results. A major shortcoming of this method is that although it is a three-step process, the MBO does not use any standard form (Lussier & Hendon, 2011:297). Literature reviewed in section 2.4 revealed that some employees may have negative perceptions about how the Performance Management System is implemented in their organisations due to the subjectivity that might accompany performance appraisals.

The section above, however, outlined examples of methods that may be used to minimise the inaccurate measurements of employee performance.

The next section discusses the challenges of performance appraisals.

2.13 Challenges of performance appraisal

Performance appraisal constantly faces a barrage of criticism. The rating scales method seems to be the most vulnerable target. Yet, in all fairness, many of the problems commonly mentioned are not inherent in this method but, rather, reflect improper implementation.

Some of the most common problem areas include appraiser discomfort, lack of objectivity, halo/horn, leniency/strictness, central tendency, recent behaviour bias, personal bias (stereotyping), manipulating the evaluation, and employee anxiety (Foot & Hook, 2011:249-252).

2.13.1 Appraiser discomfort

Evidence shows that conducting performance appraisals is not only frustrating to human resource practitioners, but also neither motivates individuals nor effectively guides their development. In some instances, faulty appraisals often create conflict between supervisors and employees, which might lead to dysfunctional behaviours among employees. Research, therefore, has found that the performance appraisal process has the potential to cause discomfort among appraisers especially when the employee in question has not performed well (Lawler, 1994:16).

2.13.2 Lack of objectivity

Traditional performance appraisal methods such as rating scales have been found to lack objectivity in two ways. First, the commonly used factors such as attitude, appearance, and personality appraisal in most rating scales are difficult to measure. Secondly, the commonly measured factors may have little to do with an employee's job performance. As a result a reliance on these factors to appraise an employee may create subjective judgements about the actual performance of an employee, resulting in disagreements between the organisation and employees, leading to lawsuits (Foot & Hook, 2011:250).

2.13.3 Halo/horn

Halo and horn errors have been discovered as challenges in employee performance appraisals in many organisations worldwide. A halo error occurs when a manager generalises one positive performance incident to all aspects of employee performance, resulting in a higher rating on all other factors of the employee's appraisal. For example, during an appraisal process the evaluator may give a high ranking on neatness of an employee, a score which may be carried over to other factors, giving the appraised employee an undeserved high rating on all factors (HR Specialist, 2010:6).

In terms of the horn error, a manager may generalise one negative performance feature to all aspects of employee performance, resulting in a lower rating (HR Specialist, 2010:6).

2.13.4 Leniency/strictness

One of the challenges with performance appraisals is that some managers are too generous with praise or too hard on an employee. Sammer (2008:73–75) indicates that a manager may be lenient during the appraisal process by giving undeserved high ratings to an employee; a practice which is often motivated by a desire to avoid controversy over the appraisal.

Managers may be lenient when they find performance criteria highly subjective, which they cannot defend when they discuss evaluation results with employees. Also Sammer (2008:73–75) reports that managers become lenient when they know that they are evaluating employees for pay increases, rather than evaluating performance to achieve employee development.

This form of leniency in organisations may result in failure to recognise correctable deficiencies; deplete the merit budget and reduce the rewards available for superior employees. In addition, the organisation may find it difficult to terminate poor-performing employees who continuously receive positive evaluations (Foot & Hook, 2011:250).

On the other hand, some managers may be stricter during an evaluation than the organisation's standards require, which may be caused by a lack of understanding of various evaluation factors. When the organisation has both lenient and strict managers who do nothing to level the inequities, the system lowers the morale and motivation of top-performing employees (Foot & Hook, 2011:250).

2.13.5 Central tendency

Central tendency error occurs when employees are incorrectly rated near the average or middle of a scale. Evaluators may use this system to avoid possible controversy or criticism by giving only average ratings. However, Krattenmaker (2009:4-5) contends that when a manager gives an underachiever or overachiever, an average rating, it undermines the compensation system of an organisation.

2.13.6 Recent behaviour bias

There exists a challenge for evaluators as to whether they should consider recent or past behaviours and actions of employees during the appraisal process. It has been discovered that because employees know precisely when a performance review is scheduled, their actions and behaviours often improves and productivity tends to rise several days or weeks before the scheduled evaluation. To minimise bias, it is important that evaluators remember recent behaviour rather than actions from the more distant past. In other words, performance appraisals should cover a specified time and based on records of performance throughout the appraisal period (Foot & Hook, 2011:251).

2.13.7 Personal bias

This challenge occurs in organisation when managers allow individual differences such as gender, ethnicity or age to influence their ratings. Discrimination or stereotyping in appraisal is detrimental to employee morale, is illegal and can result in costly litigations (Pfeffer, 2009:68).

2.13.8 Manipulating the evaluation

A challenge with performance appraisals arises when in some instances; managers control virtually every aspect of the appraisal process, which allows them to manipulate the system. For example, evidence shows that if a supervisor wants to give a pay raise

to a certain employee, the supervisor may give the employee an undeserved high performance evaluation favouring the preferred less productive employee. Similarly, a supervisor who may want to get rid of an employee may give the individual an undeserved low rating (Fox, 2009:52-56; HR Specialist, 2010:6).

2.13.9 Employee anxiety

Employees' opportunities for promotion, better work assignments, and increased compensation may hinge on the results of the performance appraisal process. In that case, the evaluation process may create anxiety in the form of discontent, apathy, and turnover for the appraised employee. Also, the evaluation process has the potential to cause not only apprehension, but also outright resistance among employees (Clausen, Jones & Rich, 2008:64–67; Randall, 1995:60).

Section 2.13 above discussed the challenges an organisation may face when appraising the performance of their employees. The researcher is of the view that the Directorate of Customs and Excise might be experiencing most of the challenges discussed in this section. The next section therefore discusses common strategies gathered from literature that organisations can use to avoid the challenges inherent in most performance appraisal processes.

2.14 Common s*t*rategies to avoid performance appraisal challenges

There are a number of strategies that an organisation can take to minimise the negative issues such as those discussed in the preceding section that may occur in the performance appraisal process. Lussier and Hendon (2011:308-310) suggest that organisations should develop accurate performance measures, train evaluators and use multiple raters in order to minimise the challenges associated with implementing a performance appraisal process.

2.14.1 Develop accurate performance measures

To ensure that the organisation has accurate criteria to evaluate an individual's performance over time the Human Resource specialist or a hired consultant must develop multiple measures for each major function within an individual job. In addition, organisations should avoid trait-based evaluations because they tend to be more subjective than behaviour- or results-based evaluations. However, only when there is a specific reason for trait-based evaluations should those traits be measured and evaluated in the appraisal process.

2.14.2 The need to train evaluators

It is logical that after developing accurate measures for performance appraisal, the organisation should takes steps to train evaluators concerning the common errors and problems that occur and how to use the methods and systems.

2.14.3 Use multiple raters

Lastly, to minimise some errors in the evaluation process Lussier and Hendon (2011:310) advise that organisations should use multiple raters to evaluate employees. Using multiple evaluators has two benefits to the organisation. First, the strategy limits the ability of one individual appraiser to provide a biased opinion concerning an employee's performance. Second, the method also limits the ability for stereotyping in the appraisal process.

In the researcher's opinion, the information highlighted in the preceding section provides evidence that there are numerous strategies, at least in theory, that organisations experiencing challenges when implementing performance appraisals may either adopt or adapt to improve the credibility of their practices and results.

2.15 Summary

This chapter provides various definitions regarding performance management reviewed from literature. Based on Kaplan and Norton's (1996:10) work, this section shows that the organisations may use the Balanced Scoreboard as a strategic management tool to accomplish critical management processes such as the implementation of the Performance Management System in the public sector over a long period of time as long as the executive management team, clarifies and translates the vision and strategies in the real work environment, communicates and links strategic objectives and measures, plans, sets targets and aligns strategic initiatives and enhance strategic feedback and learning within an organisation. The chapter provides an overview, merits and demerits of three other models that policy makers may adopt or adapt to implement the Performance Management System in the public sector, namely the Cornell University PMS Model, the Public Service Performance Management System and Spangenberg's Integrated Model of Performance.

Further, the chapter presents Locke and Latham's (2002:49-52) goal-setting theory as the basis on which this study is based. The goal-setting theory postulates that five factors play a key role in the evaluation and management of performance in organisations, namely setting clear and challenging goals, commitment, feedback and task complexity (Locke & Latham, 2002:49-52).

The chapter also defines performance appraisal and discusses the critical role of the performance appraisal process in the success of a Performance Management System. Moreover, the chapter discusses the benefits of performance appraisals, which include its contribution to human resource planning, recruitment and selection in the public sector, training and development, career planning and development, compensation programmes, internal employee relations, and assessment of employee potential.

The chapter further provides factors that influence performance appraisals, and also discusses the performance appraisal process with reference to the procedures of establishing performance criteria.

Furthermore, the chapter offers suggestions on the issue of who should be responsible for performance appraisals in organisations. Five possibilities, such as immediate supervisor, peers and team members, subordinates, self-appraisal and customer appraisal are discussed.

Nine performance appraisal methods are also discussed. These include 360-degree feedback evaluation, rating scales, critical incident, essay, work standards, ranking, forced distribution, behaviourally anchored rating scale, and results-based system methods.

The chapter also highlights possible challenges associated with performance appraisals. These challenges include appraiser discomfort, lack of objectivity, the effects of the halo/horn errors, appraiser leniency/strictness, central tendency error, recent behaviour bias, personal bias, manipulation of evaluations, and employee anxiety.

Lastly, the chapter provides common strategies to avoid performance appraisal challenges, which includes the development of accurate performance measures, training evaluators, and the use of multiple raters.

CHAPTER 3: LEGAL FRAMEWORK OF THE PERFORMANCE MANAGEMENT SYSTEM IN NAMIBIA

3.1 Introduction

This study was set to explore how employees at the Directorate of Customs and Excise in the Ministry of Finance in Namibia perceive the implementation of the Performance Management System in their workplaces. The previous chapter presented the literature which guided this study. The preceding chapter defines performance management, describes models of performance management, and the theoretical framework for evaluating performance that was adopted for this study.

Furthermore, the previous chapter described the challenges of implementing a Performance Management System and the benefits of performance appraisals, including factors influencing performance appraisals. Also the foregoing chapter outlined the performance appraisal process, responsibilities that performance appraisal entail, performance appraisal methods, and the challenges experienced when undertaking performance appraisals.

Lastly, the previous chapter suggested common strategies that could be used to avoid performance appraisal challenges.

This chapter presents the legal framework which guides the implementation of the Performance Management System within the Namibian government. In addition, this chapter also provides an overview of performance management process as it is being implemented in various offices, ministries and agencies of the Namibian government.

The chapter also gives an overview of the Directorate of Customs and Excise regarding, its mission, vision, aims, and objectives as well as its organisational structure. Furthermore, this chapter discusses the implementation process and

procedures of the Performance Management System within the Directorate of Customs and Excise.

3.2 Legal framework for the implementation of the Performance Management System (PMS) in Namibia

Various legal instruments guide the implementation of the Performance Management System (PMS), which includes (1) the Constitution of the Republic of Namibia (Act No. 1 of 1990) (Republic of Namibia, 1900); the Regulations and Public Service Staff Rules promulgated under the (2) Public Service Act, (Act No. 13 of 1995) (Republic of Namibia, 1995); (3) the Public Service Commission Act, (Act No. 2 of 1990) (Republic of Namibia, 1990); (4) the Affirmative Action Act, (Act No. 29 of 1998) (Republic of Namibia, 1998);(5) the Labour Act, (Act No. 11 of 2007) (Republic of Namibia, 2007);(6) the State Finance Act, (Act No. 31 of 1991) (Republic of Namibia, 1991) and (7) the guidelines contained in the Treasury Instructions Manual (Office of the Prime Minister, 2005:19; 2011:6). Each of these laws and policies is discussed below.

3.2.1 The Constitution of the Republic of Namibia, (Act No. 1 of 1990)

In terms of the Constitution of the Republic of Namibia, (Act No. 1 of 1990) (Republic of Namibia, 1990:50) for example, Article 95 provides for the promotion of the welfare of the people. The public service of Namibia and other regulatory instruments have thus translated this constitutional provision, promoting an efficient, effective and accountable public service (Office of the Prime Minister, 2011:4).

3.2.2 The Public Service Act, (Act No. 13 of 1995)

From the foregoing legal framework, it is evident that the PMS in Namibia is thus applicable to all public servants appointed under the Public Service Act, (Act No. 13 of

1995) (Republic of Namibia, 1995). The Act, for instance, provides for the appointment of civil servants who, in essence, once appointed, must provide quality service delivery to the citizenry which strategically underpins the purpose and objectives of the Performance Management Policy (Office of the Prime Minister, 2011:4).

3.2.3 The Public Service Commission Act (Act No. 2 of 1990)

The Public Service Commission Act, (Act No. 2 of 1990) (Republic of Namibia, 1990) saw the establishment of the Public Service Commission, which in Article 3 and in pursuance of Chapter 12 of the Constitution of Namibia, (Act No. 1 of 1990) (Republic of Namibia, 1990) provides advice on employment, remuneration and other conditions of service in the public service. Specifically, Article 3 states that the Commission should provide advice on:

a) the appointment of suitable persons to specified categories of employment in the public service, with special regard to the balanced structuring thereof;

b) the exercise of adequate disciplinary control over such persons in order to assure the fair administration of personnel policy; and

c) the remuneration of any such persons.

This Act is relevant to the study because it is at the centre of the appointment and promotion of public servants including the entire financial reward system of public sector employees. It is the researcher's contention that based on its stipulations the Public Service Commission Act, (Act No. 2 of 1990) (Republic of Namibia, 1990) is a critical legislation, providing among others, a legal interpretation of how public servants in Namibia should be appointed, promoted and incentivised before and after the performance appraisal process.

3.2.4 The Affirmative Action Act, (Act No. 29 of 1998)

At independence, the Government of the Republic of Namibia realised the need for legislation to guide organisations to promote justice in the workplace, and the Constitution of Namibian, (Act No.1 of 1990) (Republic of Namibia, 1990) was therefore used as a primary source for any legislation pertaining to people's fundamental rights to equality. Thus Article 23 of the Namibian Constitution empowered Parliament to enact legislation aimed at redressing the imbalance in the Namibian society resulting from past discriminatory laws and practices.

Therefore to redress discriminatory laws and restructure the civil service, Affirmative Action legislation was passed. In the Namibian context, Affirmative action is defined under Article 17 of the Affirmative Act, (Act No. 29 of 1998) (Republic of Namibia, 1998) as: "a set of measures designed to ensure that persons in designated groups enjoy equal employment opportunities at all levels of employment and are equitably represented in the workforce of a relevant employer" the Affirmative Action Act, (Act No. 29 of 1998) (Republic of Namibia, 1998:18).

The government passed the Affirmative Action Act, (Act No. 29 of 1998) (Republic of Namibia, 1998), with a view to redress imbalances in the workplace arising from discriminatory dispensation that had previously existed in this country. The legislation is intended to foster fair employment practices with regard to matters such as recruitment, selection, appointment, training, promotion and equitable remuneration of the designated groups.

The main goal of the Affirmative Action Act, (Act No. 29 of 1998) (Republic of Namibia, 1998), is to aspire to achieving, and to honour the provisions of fair and just employment practices as echoed in the following statement:

To achieve equal opportunity in employment in accordance with Article 10 and Article 14 of the Constitution of Namibia, (Act No.1 of 1990) (Republic of Namibia, 1990); to

provide for the establishment of the Employment Equity Commission; to redress through appropriate affirmative action plans the conditions of disadvantage in employment experienced by persons in designated groups arising from past discriminatory laws and practices; to institute procedures to contribute the elimination of discrimination in employment; and to provide for matters incidental thereto, the Affirmative Action Act, (Act No. 29 of 1998) (Republic of Namibia, 1998:2).

It is the researcher's contention that this law is an important catalyst in the process of implementing the PMS in the public sector in Namibia. The rationale of the Affirmative Action Act, (Act No. 29 of 1998) (Republic of Namibia, 1998) was to redress conditions of disadvantage in employment experienced by persons in designated groups arising from past discriminatory laws and practices. The researcher's experience is that designated groups may include women and unskilled and semi-skilled employees and all those employees who do not possess the desired formal qualifications due in part to past discriminatory laws. The researcher supports the use of the Affirmative Action Act, (Act No. 29 of 1998) (Republic of Namibia, 1998) to redress previous disparities among different groups of employees, and to reward employees on the basis of exceptional performance in the course of any appraisal process. The researcher is of a view that this law may be relevant to deal with issues that promote equality among employees in any organisation, let alone in the public sector.

3.2.5 The Labour Act, (Act No. 11 of 2007)

To demonstrate commitment towards redressing the imbalances in the civil service the Parliament of Namibia passed the Labour Act, (Act No.11 of 2007) (Republic of Namibia, 2007) which provides an enabling environment for Affirmative Action. The Labour Act, (Act No.11 of 2007) (Republic of Namibia, 2007) also reinforces the constitutional provisions on discrimination. The act has two specific provisions aimed at providing an enabling environment for Affirmative Action and prohibiting unfair discrimination or harassment at the workplace.

Section 5 of the Labour Act, (Act No.11 of 2007) (Republic of Namibia, 2007) prohibits employers from implementing policies and practices that are discriminatory on the basis of colour, sex, race, and marital status. The Act also provides for affirmative action measures to ensure that racially disadvantaged persons, women and people with disabilities enjoy equal employment opportunities at all levels of employment. Further, the Act provides justifications why within the PMS context, employers should not use discriminatory policies and practices in appointing and promoting employees.

3.2.6 The State Finance Act, (Act No. 31 of 1991)

The overall objective of State Finance Act, (Act No. 31 of 1991) (Republic of Namibia, 1991) was to oversee the effective and efficient management of Namibian funds and other fixed and movable assets. Additionally, the Act was passed to effectively and efficiently plan and manage the government budget, accounting systems and procedures; thereby enhancing transparency and accountability in line with Treasury Instructions.

The implementation of the PMS has financial implications in terms of promotions and salary increases for employees whose performance might have successfully completed their appraisals. Foot and Hook (2011:238), for instance, argue that in situations where trade unions stress seniority as the basis for promotions and pay increases, diversions from this principle may lead unions to vigorously oppose any other performance appraisal system. The researcher agrees with the literature and therefore believes that a successful implementation of the PMS, as in the case of the public sector in Namibia, will have to be undertaken in a transparent and accountable manner as stipulated in the State Finance Act, (Act No. 31 of 1991) (Republic of Namibia, 1991).

3.2.7 Treasury Instructions manual guidelines

Article 24 of the State Finance Act, (Act No. 31 of 1991) (Republic of Namibia, 1991) provides for instructions in respect of financial management principles, practices and utilisation of moneys by accounting officers on persons employed in a ministry or public office. There is little doubt that Treasury Instructions manual guidelines stipulated in the State Finance Act, (Act No. 31 of 1991) (Republic of Namibia, 1991) aim not only to facilitate the implementation of the Performance Management System, but also are meant to improve service delivery to the Namibian citizens as envisioned in Vision 2030 (Office of the Prime Minister, 2005:25).

It is also apparent from the previous discussion that Namibia, has through the enactment of numerous laws and the implementation of the Performance Management System taken steps to improve service delivery in the public sector. However, the implementation of the Performance Management Systems to improve service delivery in the public sector remains questionable. For instance, the quest for effective service delivery in Namibia has been much debated since independence in 1990. To date the ability of the revamped Performance Management System for the Public Service of Namibia to deliver effective services continues to be an issue of serious debate, particularly among most government critics.

3.2.8 Public Service Charter, 1997

Research from the Southern African Development Community (SADC) shows that the ineffectiveness of PMS to enable the delivery of services to the citizenry is not unique to Namibia. For example, in his study of the effectiveness of the Performance Management System in respect of service delivery of Zimbabwean civil service, Zvavahera (2014:1) noted that most African governments continue to offer poor services to ordinary citizens of their countries. Based on this knowledge, in 1997 the Government of Namibia developed a Public Service Charter, a written commitment made by government on the delivery of services to the country's citizens. The Public

Service Charter was meant to translate all the legal frameworks into meaningful strategies for implementation. At the time of its launch in 1997, government officials argued that to ensure that the PMS is used as an instrument for effective service delivery, public servants in Namibia should strictly uphold the ten Principles of the Public Service Charter of maintaining standards, providing information to the citizens about public services, providing a courteous and helpful service to citizens, ensuring that there is regular consultation and communication with service users, ensuring accountability to consumers of public services, maintain openness on how services are managed, ensuring non-discriminatory practices in the provision of public services, providing quality services and providing efficient and economic public services within affordable resources (Republic of Namibia, 2003:20-27).

3.3 Performance Management System Process

The Performance Management System in Namibia, founded under the Public Service Commission Act (No. 2 of 1990) (Republic of Namibia, 1990a) encompasses three broad interrelated processes and levels of governance outlined in Figure 3.1 below.

Macro Level

VISION 2030

National Development Plan(s)

Meso Level

Medium Term Plan(s) (MTP)

PMS starts here and will be cascaded to individual level through all the processes

Organisational Structures(s) and Establishment(s)

Strategic Plan(s)

Micro Level

Left arm

Human Resources Plan(s)

Unit Plan(s)

Human Resources Development Plans

Job Description(s)

Personal Development Plan(s)

Performance Agreement(s)

Performance Assessment(s)

Figure 3.1: Performance Management Process

Source: Office of the Prime Minister (2005:28)

First, the national (macro) level consists of strategic plans (National Development Plans (NDPs) and Medium Term Plans (MTPs), key White papers, which are aligned to Vision 2030, a blueprint for Namibia's socio-economic development to the year 2030. The second (meso) level consists of ministerial strategic plans, which are linked to the national high-level programmes. Ministerial strategic plans serve three purposes. One, they provide direction on how high-level initiatives should be organised and implemented; two, they provide an overview on the priority areas that directorates within each ministry should plan and implement; and three, ministerial strategic plans provide recommendations on the type of organisational and human resource processes that are available to implement the performance plans of the Performance Management System (Office of the Prime Minister, 2005:27).

Also, Figure 3.1 shows that the third (micro) level of the performance management system is divided into two parallel arms, namely the supporting organisational and human resource processes (human resources plan(s), human resources development plans and personal development plan(s) and performance planning (unit plan(s), job description(s), performance agreement(s) and performance assessment(s)). The two parallel arms which are linked to the ministerial strategic plans at the meso level serve, in a cascaded and cyclical fashion, the operational functions of the performance management system of Namibia (Office of the Prime Minister, 2005:27).

3.4 Case study (Directorate of Customs and Excise)

This study was conducted at the Ministry of Finance with a specific focus on the Directorate of Customs and Excise situated in Windhoek, the political and commercial capital city of Namibia. The Directorate of Customs and Excise was selected for three reasons. First, as an employee of the Ministry of Finance assigned to the Directorate of Customs and Excise the researcher found it useful to conduct this study in her workplace so as to understand her colleagues' experiences and perceptions of the PMS, with the hope of eventually using the findings of the study to improve the implementation of the current Performance Management System. Secondly, the

researcher chose to study the perceptions of the Directorate of Customs and Excise employees since she has first-hand experience of how the PMS is being implemented in the directorate and thus through this study she hopes to contribute to the knowledge concerning gaps about not only the challenges but also strategies on how to improve the implementation of the current PMS at directorate level.

Thirdly, the researcher's decision to choose the Directorate of Customs and Excise as a case study was also for practical reasons that every researcher should consider when conducting graduate studies. For instance, by conducting this study in the Directorate of Customs and Excise the researcher minimised on several logistical difficulties and financial constraints that she might have encountered had she conducted the same study in another public sector environment. It is the researcher's belief that she has a better understanding of the operations of the Directorate of Customs and Excise than before she conducted this study and certainly she intends to use her knowledge to influence the effective implementation of the PMS in the Directorate Customs and Excise.

The next section presents the background of the Directorate of Customs and Excise, Ministry of Finance.

3.4.1 Background of the Directorate of Customs and Excise, Ministry of Finance.

The Directorate of Customs and Excise operates in terms of the provisions of the Customs and Excise Act, (Act No. 20 of 1998) (Republic of Namibia, 1998) with the broad mandate to: "*To provide for the levying, imposition, payment and collection of customs and excise duties, of a surcharge and of a fuel levy; to prohibit and control the import, export or manufacture of certain goods; and to provide for matters incidental thereto.*"

The Directorate of Customs and Excise mission is "*to facilitate, control and secure trade across Namibian borders thereby enhancing compliance and revenue collection.*" The

Directorate of Customs and Excise defined its vision as: "*the dynamic and reputable Customs and Excise Administration delivering distinctive service through professional, competent and skillful workforce embracing technology*" (Ministry of Finance, 2016: 1-5).

The Customs and Excise Act, (Act No. 20 of 1998) (Republic of Namibia, 1998b) mandates the Directorate of Customs and Excise in the Department of Revenue Management of the Ministry of Finance to control international movements of goods, people and carriages; to protect the country and its people from prohibited and restricted goods, and thus to facilitate legitimate trade. The Act further empowers the Directorate of Customs and Excise to collect revenue for the government as well as to control the import and export of goods. One of the key strategic objective of the Directorate is thus to promote global, continental and regional economic integration and trade facilitation based on the core values of innovation, teamwork, caring, accountability, respect, ethics and continuous improvement (Ministry of Finance, 2016: 1-5).

3.4.4 Organisational structure of the Directorate of Customs and Excise

Zooming into the structure of the Directorate of Customs and Excise, one should look at the institution as a whole, considering how human resources and activities of the Directorate are coordinated and managed towards the achievement of the organisational goal of the Ministry of Finance.

The overview of the structure of the Directorate of Customs and Excise can be defined as follows: The institution is led by the Director, under the care the Permanent Secretary of the Ministry of Finance. The Director is aided by nine Deputy Directors of whom five are allocated to the regions while the other four are at the head office. The institution comprises five regions allocated in consideration of various border posts all over the country given the functions and responsibilities of the organisation which is to control

imports and exports. The regional offices are managed by Deputy Directors, assisted by Control Customs and Excise Officers and Chiefs Customs and Excise Officers who serve as middle managers. In every office there are also support services personnel. The Senior Customs and Excise Officers serve as first line supervisors, and Customs and Excise Officer, which is an entry level position. The Directorate of Customs and Excise employs 640 employees of whom 5% occupy senior managerial positions, 15% hold middle managerial position, 20% hold supervisory positions while 60% cover operations and support services functions (Ministry of Finance, 2009: 1-9)

Mullins (1999:520) defined organisational structure as the way through which tasks, duties, work roles and relationship, and communication channels are set up. Organisational structure is also defined as the system of how job tasks are formally divided, grouped and coordinated (Robbins & Judge, 2008:230).

3.5 Performance management system practices within the Directorate of Customs and Excise

The Performance Management System process in the Directorate of Customs and Excise starts between the Permanent Secretary and the Director, followed by Deputy Director, (at management level) where the strategic planning is framed to provide strategic direction for the achievement of the institutional goal, mission, vision, strategic objectives and core values.

Therefore, from the Directorate's point of view a Performance Management System is a systematic approach through which organisational objectives are translated into teams and individual objectives and results. Additionally, the Directorate regards a Performance Management System as a shared process between top management and subordinates (supervisors, teams and individuals) in which together they agree on activities that should be undertaken to achieve organisational objectives and this

process is implemented through the signing of Performance Agreements (Ministry of Finance, 2016: 1-5).

3.5.1 Signing of Performance Agreement within the Directorate of Customs and Excise

In Namibia performance agreements are central to the performance assessment of an individual staff member. For example, at the beginning of the country's financial year, which starts from 1st April and ends on 31st of March each year, public servants in all government institutions sign performance agreements under the guidance of their supervisors based on identified key performance indicators (KPIs) outlined in the Directorate's strategic plan. The signing of performance agreements is mandatory and binding under the Public Service Commission Act, (Act No. 2 of 1990) (Republic of Namibia, 1990a) and the Public Service Act, (Act No. 13 of 1995) (Republic of Namibia, 1995) underpinned in the purposes and objectives of the Performance Management Policy (Office of the Prime Minister, 2005:29).

The signing of performance agreements within the Directorate of Customs and Excise take place annually and can be explained as follows: The Director of Customs and Excise who is the head of the organisation signs the performance agreement with the Permanent Secretary of the Ministry of Finance who is his or her supervisor. The Director signs performance agreements with Deputy Directors who are under his or her supervision. The Deputy Directors sign performance agreements with Control Customs and Excise Officers under their supervision. The Control Customs and Excise Officers sign performance agreement with Chief Customs and Excise Officers under their supervision. Chief Customs and Excise Officers sign performance agreements with Senior Customs and Excise Officers under their supervision and the Senior Customs and Excise Officers sign performance agreements with Customs and Excise Officers who are at the entry level of the organisation (Office of the Prime Minister, 2005:54).

3.5.2 Assessment of performance within the Directorate of Customs and Excise

Throughout the performance cycle, from 1st April and 31st March the following year, two formal performance assessment summaries are completed. The first formal performance assessment takes place at the end of September, and is used to review an employee's progress from 1st April to 30th September (Office of the Prime Minister, 2005:75). The assessment is also used to identify an employee's performance constraints, provides feedback and helps the employee and the supervisor to plan tactics on how to address identified performance challenges.

The second formal performance assessment takes place at the end of March, and involves a formal summative performance assessment for the complete performance cycle. The purpose of the formative summative performance assessment is to discuss performance recognition, give input to performance planning, the performance agreement and performance management for the succeeding performance cycle (Office of the Prime Minister, 2005:75).

During performance assessment, the supervisor who signed the performance agreement with the staff member should have a key role in assessing and summarising the performance of a staff member. At the same time the staff member is also given a chance to study the assessment summary, discuss with the supervisor issues of agreement or disagreement based on the assessment summary, which is in line with the key performance indicators (KPIs) that were identified at the beginning of the performance cycle.

An employee may lodge an appeal when one or both of the following two situations arise: a) if the staff member is assessed on performance areas, for example, key results, values, supervisory/ management results, performance indicators, and sources of evidence are not identified and agreed; and b) if the process of performance management has not been dealt with transparently, fairly and consistently by the

supervisor/manager. In the event of any of the two situations arising, the aggrieved staff member should lodge an appeal in writing providing sources of evidence on which the appeal is based through the supervisor/manager to the second line supervisor/manager within three (3) workdays of the signing of the performance assessment summary form. A staff member can lodge an appeal only against his/her own performance assessment (Office of the Prime Minister, 2005:105).

If the second line supervisor/manager cannot resolve the complaint the appeal will be processed to the Performance Management Committee (PMC) within ten working days. If the complaint is resolved both the staff member and supervisor/manager should indicate, in writing, their satisfaction with the outcome. If the complaint is unresolved by PMC, it must be processed through the Personnel Office in time for the scheduled PMC meeting to be held at the beginning May or beginning November, and the staff member informed accordingly (Office of the Prime Minister, 2005:105).

3.6 Summary

This chapter presented the legal framework of the Performance Management System in Namibia. It also presented the case study of the Directorate of Customs and Excise regarding its background, mission and vision, aims and objectives and the organisational structure of the Directorate and Excise. The chapter also expressed   the process and procedures followed when implementing the system at directorate levels.

The next chapter presents the research methodology of the study and analysis of data from empirical work of the study.

CHAPTER 4: RESEARCH DESIGN AND METHODOLOGY AND DATA ANALYSIS

4.1 Introduction

This chapter presents the research design of this study on PMS in Namibia including the sample and sampling procedures, research instrument and data collection as well as analysis procedures. In addition, the chapter presents strategies how qualitative data were verified (trustworthiness and dependability). Ethical considerations and access issues that were followed in this study are also briefly discussed. In addition, the chapter also presents the analysis of data from empirical work of the study.

4.2 Research design

Mouton (2001:55) defines research design as a plan or blue print which indicates how one intends to conduct the research. This study used an exploratory, qualitative research design, which was primarily concerned with the meaning subjects give to their life experiences. This type of research design was appropriate for exploring main research questions in order to understand the relevant range of concepts and concerns, determining the relative frequencies of the phenomenon under study within the population (De Vos, Strydom, Fouche & Deport, 2013:320).

4.3 The sample and sampling procedures

A sample is a distinctive part of a population observed in order to make analyses about the nature of the total population itself (Babbie, Mouton, Vorster & Prozesky, 2015:202). Welman, Kruger & Mitchell (2005:56) differentiate between two forms of sampling, namely, probability sampling and non-probability sampling. Examples of probability samples are such as: simple random samples, stratified random samples, systematic samples and cluster samples, while non-probability samples are: accidental or

incidental samples, quota samples, purposive samples, snowball samples, self-selection samples and convenience samples. Based on the research design, this study used non-probability sampling methods involving twenty participants who were selected by means of a convenience sampling technique. The twenty participants were selected on the basis of their willingness and availability to take part in this study (McMillan & Schumacher, 2010:137).

The research was conducted with twenty participants from the Ministry of Finance, the Directorate of Customs and Excise which consisted of one Deputy Director, three Control Customs and Excise Officers, six Chief Customs and Excise Officers, eight Senior Customs Officers and two Customs and Excise Officers. Samples in this study were not used to make formal claims regarding the degree to which the results are or are not representative of the population from which they are drawn.

4.4 Research instruments

Qualitative field studies can be used successfully in the description of groups, communities and organisations by studying cases that do not fit into particular theories (Welman *et al.*, 2005:207).There are many research approaches such as case study, participant observation, unstructured in-depth interview, focus groups and participatory research that are used in qualitative studies. One benefit of qualitative methods in exploratory research is that the use of open-ended questions and probing gives participants the chance to respond in their own words, rather than compelling them to choose from fixed responses, like in quantitative methods. In this study, semi-structured questions administered through face-to-face interviews were used to collect data. Semi-structured interviews of 45 minutes in length were conducted based on a pre-determined interview guide (McMillan & Schumacher, 2010:355). In the context of this study, semi-structured interviews were used to obtain a detailed picture of the perceptions of Customs and Excise officials about the implementation of Performance Management System in the public service in Namibia.

4.5 Data collection procedures

The data collection process for the current study followed several procedures. First, the interview guide was piloted on five participants to test for language accuracy and clarity. Based on feedback of the pilot process, the interview guide was revised to accommodate participants' suggestions.

At each interview session the researcher explained to participants the purpose of the study, assured the sample of their voluntary participation in the study and guaranteed them privacy and confidentiality of collected data. During the interviewing process, probing was carried out to seek clarifications and elaborations on participants' responses. In addition, extensive field notes were taken during interviews and the researcher will prepare transcripts of each interview for data analysis. Welman *et al*., (2005:199) describe field notes as detailed notes and observations that are made by the interviewer or researcher concerning everything that is said during the interview.

4.6 Data analysis procedures

For the purpose of this research study, all interviews were conducted in English. All transcribed interviews and field notes were analysed systematically through repeated re-reading. The analysis of data was dealt with by describing the case under study based on the secondary sources, semi-structured interview and field notes.

Secondly, a comparative analysis was done of different and similar data collected from different informants. Data was then coded into prescribed categories (De Vos, *et al.,* 2011:410). This form of data analysis allowed patterning of responses and establishing relationships between categories of data (Cohen, Manion & Morrison, 2000:82). This process was done for the researcher to gain insights into specific contexts of the data collected. Lastly, the researcher looked for patterns in all data so as to develop a strong body of evidence from the different interviews.

4.7 Verification of qualitative data

Two techniques were used to verify data collected for this study.

4.7.1 Credibility

The validity of the interviews was addressed in this study. First, interpretative credibility was obtained by asking research participants to comment on the interpretations of the researcher after each interview had been completed. Triangulation as used in this qualitative study was used to collect different responses and sometimes conflicting voices from multiple sources of research participants occupying different positions in the Directorate of Customs and Excise, which helped to better understand participants' perceptions of the implementation of the PMS from several different angles (Struwig & Stead, 2001:45).

4.7.2 Dependability

The principle of dependability refers to the process where the researcher ensures that the research process is logical, well documented and audited. To meet the principle of dependability, the research process of this study was well documented throughout the duration of the research study (De Vos, *et al.*, 2011:420).

4.8 Ethical considerations

Ethics are generally considered to deal with beliefs about what is right or wrong, proper or improper, good or bad (McMillan & Schumacher, 2010:197). Mouton (2001:239) indicates that ethical issues arise from contact with other people, other beings and the environment, especially at the point where there is potential conflict of interest. Mouton (2001:239) further explains that the scientist has the right to the search for the truth, but not at the expense of the rights of other individuals in society.

According to De Vos, *et al.* (2011:113-121), ethical aspects are imperative if successful practice and research are the goal. In the context of this study the following ethical issues were observed:

- The researcher obtained consent of participants.
- The participants' confidentiality and anonymity were protected by the use of pseudonyms in place of their real names.
- Participants in this study were informed that they could withdraw from the study at any time during interview process.
- Participants were not subjected to any deception, and therefore the researcher explained the purposes of the study and the role of participants in the research study.
- In addition, participants decided about the venue and the time of the day suitable to them for interviews.

4.9 Access issues

The approval to conduct the research was obtained from the Research Ethics Committee of the Stellenbosch University after submission of an application form for ethics approval together with the research proposal. The Permanent Secretary of the Ministry of Finance granted approval to conduct the research within the Directorate of Customs and Excise.

4.10 Data analysis

The main purpose of the study was to explore the perceptions of Customs and Excise Officers regarding the implementation of the Performance Management System of the public service in Namibia.

The study attempted to answer four broad questions, namely:

1. What is PMS in general?
2. What are the models for PMS?

3. How do employees of the Directorate of Customs and Excise in the Namibia perceive the implementation of the performance management system in their workplaces?

4. How can the implementation of the Performance Management System be improved in the public service in Namibia?

To answer the four broad questions, the study adopted a qualitative research design, and collected data from twenty (20) Customs and Excise employees using in-depth interviews (see 4.4). Collected qualitative data were transcribed verbatim and analysed through repeated re-reading of participants' narratives for purposes of coding and establishing themes and patterns.

The following section presents the findings of the study presented according to the main questions that guided the research.

4.11 Section - A Background Information

The following section presents participants' background information such as gender, age, current position, level of education, and years of experience working for the Directorate of Customs and Excise. Information about participants' characteristics was collected to mainly focus on the present study. All interviews were conducted from 9th of December 2015 to 24th April 2016. Interviews took place in participants' offices and each interview lasted approximately 45 minutes. No distractions were experienced or recorded during interview sessions.

Table 4.1: Characteristics of participants

Participant	Background information
Participant 1	This male participant, aged 43, is employed as a Chief Customs & Excise Officer. He is qualified with National Diploma in Commerce, and has 16 years' experience as an employee of the Directorate of Customs and Excise in Namibia.
Participant 2	This female participant is 46 years old and is employed in Department of Customs and Excise as a Senior Customs and Excise Officer. She qualified with a Bachelor's Degree in Public Management, and has 12 years' experience as an employee of the Directorate of Customs and Excise in Namibia.
Participant 3	This 45 years old male participant is employed as a Chief Customs Excise Officer. He has a Bachelor's Degree in Human Resource Management. He has 17 years' experience working for the Directorate of Customs and Excise in Namibia.
Participant 4	This 47 years old female participant is employed as a Senior Customs and Excise Officer. She has a Bachelor of Arts Degree and has been working for the Directorate of Customs and Excise for 16 years.
Participant 5	This 43 years old male participant is employed as a Chief Customs and Excise Officer. He has a Bachelor of Arts Honours Degree in Human Resource Management. He has 14 years' experience working for the Directorate of Customs and Excise.
Participant 6	This 40 years old male participant is employed as a Senior Customs and Excise Officer. He obtained a National Diploma in Finance and has had 8 years' experience working for the Directorate of Customs and Excise.

Participant 7	This 43 years old female participant is employed as a Senior Customs and Excise Officer with a Diploma in Public Administration and 15 years' experience working for the Directorate of Customs and Excise.
Participant 8	This 43 years old female participant is employed as a Senior Customs and Excise Officer. She has a Diploma in Marketing with 15 years' experience working for the Directorate of Customs and Excise.
Participant 9	This 42 years old female is employed as a Customs and Excise Officer. She has a Diploma in Public Administration and 7 years' experience working for the Directorate of Customs and Excise.
Participant 10	This 45 years old female participant is employed as a Customs and Excise Officer. She has a Bachelor-Technical Degree in Accounting and Finance. She has 20 years' experience working for the Directorate of Customs and Excise.
Participant 11	This participant is a 42 year old female and is employed as a Chief Customs and Excise Officer. She qualified with a Master's Degree in Customs Administration. She has 16 years' experience working for the Directorate of Customs and Excise.
Participant 12	This 46 years old female participant is employed as a Control Customs and Excise Officer. She has a Bachelor's Degree in Business Administration with 25 years' experience working for the Directorate of Customs and Excise.
Participant 13	This 38 years old male participant is employed as a Chief Customs and Excise Officer. He has a Bachelor's Degree in Business Administration. He has 8 years' experience working for the Directorate of Customs and Excise.
Participant 14	This 48 years old female participant is employed as a Deputy Director. She has a National Diploma in Human Resources. She has 24 years' experience working for the Directorate of Customs and Excise.

Participant 15	This 36 years old male participant is employed as a Control Customs and Excise Officer. He has a Bachelor's Degree in Administration. He has 8 years' experience working for the Directorate of Customs and Excise.
Participant 16	This 43 years old male participant is employed as a Control Customs and Excise Officer. He has a Diploma in Public Administration. He has 17 years' experience working for the Directorate of Customs and Excise.
Participant 17	This 48 years old female participant is employed as a Senior Customs and Excise Officer. She has a Bachelor's Degree in Business Administration with 17 years' experience working for the Directorate of Customs and Excise.
Participant 18	This 45 years old female participant is employed as a Senior Customs and Excise Officer. She has a Bachelor's degree in Public Management. She has 16 years' experience working for the Directorate of Customs and Excise.
Participant 19	This 37 years old male participant is employed as a Chief Customs and Excise Officer. He has a Bachelor's Honours Degree (BBA) in Human Resource Management. He has 12 years' experience working for the Directorate of Customs and Excise.
Participant 20	The 39 years old female participant is employed as a Senior Customs and Excise Officer. She has a Bachelor's of Technology Degree in Business Administration with 16 years' experience working for the Directorate of Customs and Excise.

Table 4.1 above provides evidence that more females (12) participated in this study than their male (8) counterparts. Table 4.1 also shows that the majority (8) of participants in this study are employed as Senior Customs and Excise Officers followed by Chief Customs and Excise Officers (6), Control Customs and Excise Officers (3), and Customs and Excise Officers (2), and (1) Deputy Director participated in this study.

Table 4.1 above also shows that most participants in this study are 40-49 years old (16), followed by participants between 30-39 years old (4). It is also evident from Table 4.1 above that a slight majority of participants in this study have Bachelor Degrees (12), the others have Diplomas (7) and only a single participant has a Master's Degree.

Moreover, Table 4.1 above shows that while a minority of participants in this study have between 0-9 (4) and 20+ (3) years' work experience, the majority (13) have 10-19 years' experience working for the Directorate of Customs and Excise.

4.12   Semi-structured questionnaire responses

Question 1: What is PMS in general and in the Namibian context?
The researcher asked this question to assess participants' understanding of the concept performance management system, one of the key terms in the study. Table 4.2 below presents various responses recorded from research participants that took part in this study.

Table 4.2: Understanding of Performance Management System (PMS)

No.	Themes	Definitions
1.	Stock taking	Stock taking of what is expected of any employee with regard to their performance towards strategic objectives within annual plan of an organisation (Participant 1).
2.	Alignment of organisational activities to annual action plans	The process whereby employees and employer align activities of organisation together with annual action plan with the purpose of achieving targeted organisational goals (Participant 3). Is a process whereby the manager and staff members come together to plan activities of their section to align them with organisational strategic plan in order to monitor and improve performance (Participant 13).
3.	Employer-employee	PMS is an agreement between employer and employee to ensure performance

	agreement	towards organisational goals (Participant 7).
4.	Organisational service delivery assessment and evaluation tool	It is a system where employees are evaluated according to set organisational and personal goals (Participant 16). Performance Management System is a monitoring whereby an employee is being monitored on how she/he performs his/her daily work (Participant 18). A system for assessment of public service, the aim is to improve service delivery (Participant 2). PMS is a system to assess and evaluate the performance of the staff member within the government (Participant 8). PMS is a system, which measures how employees are doing their day to day activities (Participant 9).
		Performance Management is a crucial system, which is based on NDP 2030, strategic planning and on objectives set for various departments toward achievement of Vision 2030. It allows us to corroborate with our stakeholders to minimise barriers while facilitating trade, to ensure effective and efficient service delivery (Participant 12).
5.	Measures employees' performance towards targets achievement	PMS is an instrument to measure performance of workers (Participant 6). PMS is a system which finds out an employee`s work background and how the employee is currently performing (Participant 10). PMS is the system to analyse employee's work (Participant 11). A system/ tool used to measure performance against the target (Participant 14). PMS- Is a targeted intervention that is intended to achieve specific objective within

		the organisation (Participant 15). PMS is a system that is design to measure the performance of employees (Participant 19). PMS is a process of establishing and understanding the work to be done for an organisation to achieve its goals (Participant 20).
6.	Management and employee control tool	The system, which is used by the management to control how employees perform their work (Participant 4). PMS is a systematically approach of management of any institution to ensure that performance standards of employees is matching with desired performance outcome. It is the approach by which the organisation is striving/ driving towards effectiveness and efficient service delivery (Participant 5).
7.	Motivates employees	Performance Management System is there to motivate to do better at work or to do work efficiently stick to the due dates (Participant 17).

Table 4.2 shows seven themes that were generated on how research participants in this study define Performance Management System. Generally, research participants' definitions of PMS resonate with literature reviewed in Section 2.2 of this study. Lussier and Hendon (2012:285), for instance states that performance management is a systematic analysis and measurement of workers' performance, which includes communication of assessment processes to individual employees. The researcher is of the opinion that, if the responses in Table 4.2 are to be believed, the participants in this study appear to have basic knowledge of PMS. One may assume that if employees have the correct knowledge of PMS, they might as well have positive perceptions of the system and employees might consequently be motivated to implement the initiative.

Question 2: In which year was the PMS introduced in the public service in Namibia?

The researcher asked this follow-on question to determine whether research participants knew the year in which the PMS was introduced in Namibia. Table 4.3 provides a summary of research or participants' responses to this question.

Table 4.3: Year of first implementation of PMS in Namibia

Year	No. of responses
2010	1
2013	2
2014	14
2014/2015	4

Table 4.3 shows that while the majority (14) of research participants in this study revealed that the PMS was introduced in Namibia's public service in 2014, a minority recalled that the system was introduced in 2014/2015, or 2013. A single participant suggested that the PMS might have been introduced in 2010. It is clear from the findings in Table 4.3 that 14 research participants in this study were aware that the PMS was introduced in 2014.

Question 3: What are the models for PMS?

Participants were asked this question to ascertain their knowledge of the different models of PMS that they might be aware of.

Several responses were recorded from research participants. However, the most common response is represented by Participant 14 who stated that:

"It is difficult to give you the exact names of the models I know, unless if I go back to the book."

In the context of this answer, respondents expressed the following views regarding what they perceived as the type of PMS model they could recall:

"I know a PMS model that aligns activities of an organisation to annual action plans so that the organisation attempts to achieve the goals of the organisation" (Participant 3).

"I know a model that uses tools that measure the performance of employees against set targets" (Participant 14).

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The responses above demonstrate that research participants in this study know some form of PMS models though they could not recall the exact names of any of the recognised PMS models (see. 2.4.1-2.4.4).

Overall, one can cautiously conclude that participants in this study understand the framework within which the PMS is being implemented in Namibia and specifically in the Directorate of Customs and Excise. According to them PMS is a "tool that is used to measure employees' performance against deliberately planned goals and set targets." This finding corroborates with Lussier and Hendon (2012:285), who concurs in section 2.2 of this study that performance management is about measuring performance of employees, which should be conducted within a defined model (see 2.4).

Question 4: How do you feel about the manner in which the PMS is being implemented?

The researcher asked this question to understand how research participants felt about the manner in which the PMS was introduced and implemented in the Directorate of Customs and Excise. A content analysis of responses revealed two divergent views to this question. First, the majority of participants in this study felt that the PMS *"was not well introduced and thus the system has not been well implemented"* in the public service in Namibia, as evident in the following quotation:
"As far as I am concerned, the system was not properly introduced and has thus not been properly implemented" (Participant 15).

Contrary to this, the second and the minority of the two groups of participants felt that the PMS *"was very well introduced and that the system is being well implemented."* The feelings of the second group's responses are summarised in the following quotations:
"In my opinion, the PMS was very well introduced," (Participant 16 and *"it is being very well implemented in the public service"* (Participant 13).

At this point the researcher asked the participants: "Why the PMS is still not well implemented in the public institutions of Namibia? In response, both groups of participants for and against the introduction and implementation of the Performance Management System mentioned the lack of awareness, information, knowledge and clarity of the goals of the PMS as the main factors that have had a negative effect on the implementation of the system. Table 4.4 below provides a summary of the numerous responses that were recorded from research participants that took part in this study.

Table 4.4: Challenges associated with the PMS implementation

No.	Code	Response
1.	Employees lack knowledge of the system	*"The PMS is not well implemented since the employees do not have enough knowledge about the system"* (Participant 1). *"It seems to be a good system but the problem is that employees do not have enough information regarding the system. Also employees do not know the advantages and disadvantage of the system"* (Participant 8). *"Public employees were not well informed before the introduction/ implementation"* (Participant 17).
2.	Some supervisors misuse PMS	*"I believe it is a good system which improve service delivery,"* but on the other hand, I believe it can be misused

		by some supervisors to disadvantage those whom they do not like" (Participant 2).
3.	Supervisors and most employees lack understanding of the PMS	*"The implementation is not going well because employees together with their supervisors lack understanding and knowledge regarding the PMS"* (Participant 3).
		"PMS implementation is a good tool to measure employees' performance but supervisors lack knowledge on how to best use it" (Participant 6).
		"It is good to implement but it is not a straight-forward process. Not everybody understands exactly what is expected" (Participant 12).
		"It is well implemented but not clearly explained and understood by all staff members" (Participant 13).
		"Most staff members do not understand the PMS" (Participant 15).
		"The PMS was not well implemented because employees were not given enough time to understand its purposes" (Participant 19).

4.	Lack of clarity of the goals of PMS Was not well explained	*"The implementation is not well, because of lack of explanation regarding Performance Management System"* (Participant 4). *"The explanation given before implementation was not clear at all"* (Participant 9). *"It is well implemented but not clearly explained and understood by all staff members"* (Participant 13).
5.	Top-down implementation	*"The system started with executives members and moved down to subordinates"* (Participant 5).
6.	Employees were not sensitised and oriented on PMS and are thus unaware of the system.	*"It is not being correctly implemented because of lack of awareness"* (Participant 7). *"Supervisors were not orientated on how they should go about sensitizing their subordinates regarding the PMS"* (Participant 16).
7.	Demotivates and stifles employees' chances of promotion	*"Some employees are not interested in doing their work. Some may be interested in doing their work but may not be considered for promotion"* (Participant 10).

| 8. | System not aligned to employees' roles and responsibilities | *"The performance agreement form is very broad. All public servants are using the same form, while they are not doing the same work"* (Participant 11). |
| 9. | No research prior to implementation | *"It seems like there was no proper research done before implementation"* (Participant 14). |

From the qualitative data presented above research participants identified nine challenges that appear to be associated with the implementation of the PMS, namely that employees lack information and knowledge about the system, some supervisors misuse PMS, supervisors and most employees lack understanding and knowledge of the PMS, employees lack clarity of the goals of PMS, the PMS was being implemented in a top-down fashion, employees were not sensitised and oriented on PMS and are thus unaware of the system, the PMS demotivates and stifles employees' chances of promotion, the system is not aligned to employees' roles and responsibilities and lastly no research was conducted prior to implementation of the PMS.

This finding appear to corroborate with some of the key factors that were found to influence the implementation of the PMS in any organisation postulated by Locke and Latham's (2002:705-717) goal-setting theory, which guided this study (see 2.6.1-2.6.5). For example, Locke and Latham's (2002:49-52) indicated that unclear goals may demotivate employees to implement an innovation.

This finding also supports Verspoor's (2004:5-8) conclusion that the success of the PMS is based on a number of factors, including the way the system is communicated to employees; level of staff training on PMS, the quality of guidance employees receive from their supervisors, and the nature of staff development programmes implemented in workshops on PMS. Verspoor (2004:5-8) stressed that the reality of these conditions is

important to help individual employees in the organisation to understand the procedures and processes of the PMS (see 2.7).

Similarly, Armstrong (1996:15) reiterated that with regards to use the PMS to get improved results in an organisation required that teams and individuals understand planned goals and standards of competence (see 2.8).

Question 5: Were you involved in the development of the Performance Management System?

This question was asked to find out research participants' personal experiences with the PMS. In response 18 out of 20 participants indicated that they were involved in the development of the Performance Management System before its implementation in 2014, as expressed in the following comments:

"Yes, many of us, myself included were consulted throughout the development of the Performance Management System (Participant 7)*.*

"I assume that everyone, every employee in the civil service was consulted when the Performance Management System was being developed (Participant 18).

"Some of us were not involved when the Performance Management System was developed. I myself was not consulted" (Participant 5).

Question 6. What is the importance of PMS in an organisation and particularly with regard to employees?

The researcher asked this question to assist participants to assess and reflect on the importance of the PMS in their work environment. Research participants in this study responded that *"The PMS is important because it promotes accountability, efficiency and effectiveness in an organisation".* Table 4.5 below highlights these three dimensions in detail.

Table 4. 5: Importance of the PMS in organisations

No.	Code	Response
1.	Serves as a roadmap for the achievement of the organisation's mission and vision statements	*"PMS is very important because it gives employees the direction in which the organisation is heading"* (Participant 1)*.*
2.	A tool for financial reporting	*"The PMS also provides the progress in terms of production, financial and operational activities, it will also indicate the accountability of the employees"* (Participant 1). *"It is very important because it clearly outlines what one is supposed to achieve the organisation's strategic objectives"* (Participant 15).
3.	Management tool used to measure organisational achievements and failures	*"The PMS is a management tool that helps organisations to increase their profits for the well-being of employees"* (Participant 1).
4.	Planning and improvement tool	*"PMS is important in a sense that those who are not performing will be encouraged to improve"* (Participant 2). *"It also help organisation to plan in advance. It helps managers to identify problems, which may affect working environment and rectify the mistakes or make some improvements"* (Participant 3).

		"The PMS is an important tool that can be used to improve the standard that employees are expected to perform" (Participant 4). *"It is very important because through the performance management process management is able to identify where improvement is needed"* (Participant 13). *"PMS assist organisations to determine what type of corrective measures to take in case of any shortcomings related to non-implemented activities"* (Participant 16).
5.	Time management tool	*"PMS is very important; it helps to improve time spent on daily activities"* (Participant 3).
6.	A measurement instrument used to determine actual and desired performance	*"PMS is very important because it serves as measurement instrument to ensure actual performance match with desired performance"* (Participant 5). *"PMS is very important because it helps to find out if employees are doing what is expected from them"* (Participant 6). *"PMS is very important because it is the way through which supervisors measure the performance of employees"* (Participant 9).

		"It is a system which assists us to measure our performance" (Participant 14).
7.	A tool used to motivate employees	*"The PMS motivates employees"* (Participant 6). *"PMS is important to the employees because it motivates them to work hard"* (Participant 7). *"PMS motivates employees to do more in terms of their work"* (Participant 8).
8.	Information management instrument	*"PMS is important instrument which allows organisations to store data on how employees perform their duties. Also the PMS is used to store information on employees' challenges that hinder them to perform their duties (Participant 8).*
9.	Tool for promoting employees	*"The PMS gives Human Resource Managers an indication of suitable employees for promotion"* (Participant 11).
10.	Used to achieve Key Performance Indicators (KPIs)	*"PMS assist organisations and employees to evaluate whether they are achieving their set key performance indicators and how to take corrective measures, in case of any shortcomings"* (Participant 16).
11.	Promotes self-discipline in employees	*"PMS Helps employees to have self-discipline and to set own targets"* (Participant 16).

Despite the above positive comments about the importance of the PMS in the Directorate of Customs and Excise, one participant stated that the PMS is not aligned to the Directorate's Annual Plan and may thus not be effectively implemented in the public service in Namibia. Participants 12 commented as follows:

"Although employees are willing to contribute to the Performance Management System, the Annual Plan of the directorate is not always linked to the PMS, making it difficult for employees to meaningfully contribute towards the success of the system" (Participant 12).

The findings depicted in Table 4.5 above are consistent with literature reviewed in Chapter 2 of this study. Giannetto (2009:12) for instance indicated that performance management is a goal-oriented process directed toward ensuring that organisational processes are in place to maximise the productivity of employees, teams, and ultimately, the organisation.

Grobler, Warnich, Carrell, Elbert and Hartfield (2011:293) insisted that performance management as an expressive practice of organisational success, requires that managers and employees work together to set targets, review results and reward performance (see 2.2).

Question 7. What is your involvement in the current Performance Management System? (Is it at the development/ implementation of PMS?)

Seven research participants in this study indicated that their involvement in the PMS implementation included signing of performance agreements and performance assessments and appraisals, as illustrated in the following comments:

"I am involved in the implementation of the PMS by signing performance agreement with my supervisor and with my subordinates. I am also involved during performance assessment/ appraisal" (Participant 1).

"At the implementation phase I am involved by signing performance agreement with my supervisor" (Participant 2).

"I have signed my performance agreement with my supervisor" (Participant 6).

"Involved at implementation by signing performance agreement with my supervisor" (Participant 7).

"Involved at development stage by developing NCE Annual Plan & also in implementation by ensuring that set targets are achieved within the sections" (Participant 15).

"At implementation by signing performance agreement with my supervisor" (Participant 18).

"At implementation, exercising what was developed by supervisors ensuring that subordinates are performing according to their job descriptions and section's annual plan" (Participant 19).

Participants also reported that their involvement in the implementation of the PMS includes mainly coordinating performance agreements, developing performance management-inspired operational plans, as well as raising awareness and sensitisation campaigns of the PMS among colleagues. For instance, participants provided the following responses:

"My involvement in the implementation of the Performance Management System includes explaining the systems to subordinates and coordinating the signing of performance agreements with staff members within the section. I also signed my own performance agreement with my supervisor" (Participant 8).

"I feel I am involved in the implementation of the PMS because I take part in the strategic plan of the directorate, which is itself driven from ministerial plan from which we develop the operational plan for the sub-section" (Participant 12).

"I am involved by making sure that the PMS is well understood by all employees through explaining on its objectives and purposes" (Participant 16).

"My main responsibility is to create awareness and sensitise employees about the importance of the Performance Management System" (Participant 18).

"As a supervisor I have to ensure that subordinates understand the Performance Management System before they sign their performance agreements. So I need to raise awareness among and sensitise employees in the directorate about the system and what is expected of the employees" (Participant 20).

Few participants revealed that their involvement in the implementation of the PMS includes the quarterly review of targets, monitoring the effectiveness of the signed performance agreements and the enforcement of the system. Research participants confirmed their roles as follows:

"I conduct quarterly reviews to see whether we are reaching our targets" (Participant 13).

"Being a manager, I am involved in the monitoring of the implementation of the PMS in the directorate" (Participant 14).

"I ensure that I enforce the Performance Management System through setting targets and participating in performance reviews" (Participant 17).

However, one research participant in this study reported that he has never been involved in the implementation of the Performance Management System as claimed by

other colleagues in the Directorate of Customs and Excise in Namibia, as highlighted in the following in the statement:

"I have never signed performance agreement resulting from the introduction of the Performance Management System" (Participant 5).

When the researcher probed further why the research participant has never signed a performance agreement since the introduction of the Performance Management System, Participant 5 replied as follows:

"I really don't know, no one has been able to give me any reason even after I have asked several time times in staff meeting" (Participant 5).

Question 8: Based on your experience, what would you say are the strengths or weaknesses of the PMS?

The researcher asked this question to be answered from participants' point of view regarding the strengths and weaknesses of the Performance Management System.

In response, research participants provided numerous answers to this question as depicted in Table 4.6 below.

Table 4.6: Strengths and weaknesses of the PMS in Namibia

Strengths		Weaknesses	
Code	Response	Code	Response
Motivates employees to work hard	*"As far as I am concerned, the system can be used to motivate employees" (Participant 10).* *"It motivates employees to work hard"* (Participant 12). *"The system encourages employees to deliver at highest level"* (Participant 19). *"The PMS encourages staff members to do more about their work"* (Participant 13). *"The system encourages employees to work hard since promotion is done according to the performance of an individual employee"* (Participant 7).	Performance agreements are not reviewed	*"After signing performance agreements, no feedback was given"* (Participant 11). *"No follow-ups are undertaken on submitted performance agreements"* (Participant 19). "In cases where performance agreements are reviewed no feedback is provided to employees" (Participant 15).
Instills a sense of accountability among employees	*"Employees become accountable to the idea of service delivery* (Participant 5). *"It is a source of accountability for both subordinates and supervisors as they are expected to meet time-bound targets* (Participant 16).	Unclear measurement criteria	*"The measurement criteria for promotion are not clearly explained. As a result supervisors cannot tell when someone is performing well"* (Participant 9). *"It is still early to tell, but the weakness*

			observed so far is that the evaluation process is bad because there are no clear measurement standards" (Participant 11).
Encourages employees to monitor and evaluate their performance against their set target	*"It provides both employees and institutions an opportunity to monitor and evaluate and take corrective measures of their actions"* (Participant 16).	Has the potential to promote favouritism	*"When it comes to appraisal some supervisors may sabotage the performance management system to favour their friends"* (Participant 5).
			"It might involve favouritism by supervisors towards some employees through cultural diversity" (Participant 12).
Promotes honesty among employees	*"It makes employees to be honest with their work to achieve the set targets and objectives"* (Participant 18).	Weak monitoring system	*"In practice the system is lacking on monitoring, coaching and guidance"* (Participant 7). "The practical monitoring part of the system is very weak" (Participant 14).
Contributes to good service delivery	*"The Performance Management System improves the ability of public servants deliver good service"* (Participant 20).	Sets too ambitious and unrealistic targets	*"Sometimes sets too ambitious targets, which may not be met due to lack of enough resources, lack of employee*

			support and buy-in" (Participant 16).
		The PMS condones underperformance	*"There are no guidelines on what might happen to non-performing employees. Therefore, nothing might happen to non-performers"* (Participant 12).
		Can be used as a tool to victimise subordinates	*"Supervisors are using the PMS as a tool to threaten subordinates" (Participant 10).*
		Instills unwanted fear in employees	*"The PMS promotes fear among employees"* (Participant 19).
		Labour intensive	*"The PMS is labour intensive because employees spend a lot of time developing performance management criteria instead of doing actual work"* (Participant 15).

Table 4.6 shows numerous strengths and weaknesses participants in this study experienced during the implementation of the Performance Management System in the Directorate of Customs and Excise in Namibia. For instance, eight participants indicated that the Performance Management System (PMS) motivates employees to work hard; instills a sense of accountability among employees; encourages employees to monitor and evaluate their performance against set targets; promotes honesty among employees and contributes to good service delivery; some interviewees highlighted serious weaknesses of the system. Research participants in this study outlined nine weaknesses of the PMS in Namibia including (a) performance agreements are not reviewed, (b) unclear measurement criteria, (c) has the potential to promote favouritism, (d) weak monitoring system, (e) sets too ambitious and unrealistic targets, (f) the system condones underperformance, (g) can be used as a tool to victimise subordinates, (h) instills unwanted fear in employees, and (i) is the system labour intensive.

Regarding the strengths of the Performance Management System in organisations, the results of this study appear to corroborate with the findings of the literature reviewed in Chapter 2. Berry (1998:256), Bezuidenhout (2000:56) and Zvavahera (2014:14) observed that the PMS can strengthen the administrative and operational activities of organisations through its principle of management by agreement or participative management as opposed to the traditional system of management by command (see 2.4.5).

Regarding the identified weaknesses, Sergiovani and Starrat (1993:71) observed that the main shortcoming of PMS in public organisations is the sensitive issue surrounding evaluation criteria, which should be used to make the variables more concrete and measurable. From their experiences Sergiovani and Starrat (1993:71) found that evaluation instruments used in performance appraisals were too generous or too strict when evaluating and in most cases the process of appraising, measuring or evaluating human performance was value-laden and subjective (see 2.5).

Another key factor that weakens the effective implementation of the Performance Management System especially in the public sector is the use of unclear measurement criteria. This finding supports Heystek *et al.* (2005:54) that lack of universally agreed measuring criteria is the main weakness of implementing an effective Performance Management System in the public sector (see 2.5).

Despite the acclaimed strengths of PMS being highly promoted by policymakers, responses seem to indicate that the weaknesses of the system might out-weigh the strengths. The reasons for this state of affairs are clearly stated in part of Table 4.4. In addition to the challenges that hinder the implementation of the PMS in the public sector (see Table 4.4), Zvavahera (2014:14) reported that in Zimbabwe lack of clarity and understanding of the goals and objectives of the Performance Management System at the inception phase undermined employees' ability to implement the system. Zvavahera (2014:14) concluded that teachers, for example, developed negative perceptions towards the PMS mainly because they did not have a clear understanding of the goals of the government's Performance Management System (see 2.4.1).

One of the most important characteristics of the goal setting theory is that employees may appreciate a system if they know what is expected of them. In this context, therefore, employees may have positive perceptions of the Performance Management System if they are aware of the financial and non-financial measures and objectives towards which they should direct their efforts (Locke & Latham, 2002:49-52).

Question 9: What are your personal opinions about the current PMS as implemented in the public service of Namibia?

This question was asked to collect research participants' opinions regarding the effectiveness of the PMS in the Directorate of Customs and Excise. The researcher recorded mixed responses from research participants. First, three of the research participants in this study responded that the PMS has *"not been effectively*

implemented" in the Directorate of Customs and Excise, as expressed in the following comments:

"To date the Performance Management System has not been effectively implemented in our directorate" (Participant 1).

"I do not see any difference then and now because employees right now are just performing their work as usual" (Participant 6).

"There is no improving and the system is not achieving the desired results. Take for example; last year we signed performance appraisals (PA), and last quarter we did assessments but until now we have not received any feedback from our supervisors" (Participant 9).

On the same question four research participants expressed hope that *"though the PMS has not been effective, the system might in future be implemented according to goals and objectives"*. Participants replied thus:

"At this stage one cannot really tell if it is effective but the hope is that it will yield results (Participant 2).

"Hopefully the directorate will achieve the desired results when employees understand and appreciate the purpose of system" (Participant 4).

"No, currently the system is not effective since it is still at early stage; maybe there will be improvements later on when people get to understand the system better" (Participant 7).

"The system is still at the beginning phase and the employees are still learning the system. Hopefully it will achieve the desired results at later stage" (Participant 18).

Only two research participants indicated that the PMS has effectively been implemented in the Directorate of Customs and Excise in Namibia, as demonstrated in the statement below:

"As far as I am concerned the PMS is effectively used in the Directorate because now many employees are very interested in doing their work than before the system was introduced" (Participant 5).

"The implementation of PMS is effective as it is improving the understanding of the objectives and goals of the Directorate of Customs and Excise" (Participant 20).

It is evident from the narratives above that participants in this study had divergent opinions regarding the effectiveness of the Performance Management System in the Directorate of Customs and Excise. These findings support Locke & Latham (2002:49-52) and Zvavahera's (2014:14) argument that how employees receive a policy initiative influences their perceptions and opinions about the likely effectiveness of such an innovation (see 2.4.2, 2.4.5). However, in the context of the findings above, it is worrying to note that custom officers of the same rank (Participants 4, 6, 7, 18 and 20) could express conflicting opinions about a system that was introduced in their directorate at the same time through the same medium of workshops and awareness and sensitisation campaigns.

Question 10: What is your attitude towards the Performance Management System?

This question was asked to measure participants' attitudes towards the PMS. The researcher obtained two contrasting responses from participants. For example, four research participants in this study indicated that they had positive attitudes towards the PMS, while three participants stated that they disliked the PMS in its current form of implementation. In each case participants provided reasons why they liked or disliked the PMS. Examples of research participants who liked the PMS included the following comments:

"I like the system because at the end of the day, it will determine who will be promoted and it will encourage employees to work hard towards personal development" (Participant 1).

"I like the system because it helps employees to improve their knowledge and skills" (Participant 10).

"I like the PMS because it gives supervisors and employees a sense of where the institution wants to be, who is responsible and who should account for what and when to whom" (Participant 16).

"I like the system because it helps all employees to put more efforts in their work towards the achievement of organisation goal" (Participant 18).

Participants who had negative attitudes towards the PMS expressed their dislike of the system as follows:

"I unfortunately do not like the system because if you work with a supervisor who does not like or favour you, you will never be recommended for promotion or for training/workshop" (Participant 4).

"I do not like the system because some employees are doing their work properly but because they are not in good terms with their immediate supervisors they will end up being rated unsatisfactory which will block their chances of being promoted" (Participant 11).

"I dislike the system because it puts too much pressure on individual employees as tasks should be completed with urgency" (Participant 19).

Although Chapter Two does not address the issue of attitudes, it is evident from the findings of this study that while some participants supported the PMS, others disliked the system. The opponents of the PMS seem to suggest that their immediate supervisors cause the system to be ineffective.

Literature on how the behaviour of supervisors may influence the appraisal results corroborates with research participants' narratives. For instance, Lawler (1994:16) states that faulty appraisals often create conflict between supervisors and subordinates,

which might lead to dysfunctional behaviours among employees which in turn lead to discomfort among appraisers especially when the employee in question has not performed well (see 2.14.1).

Verspoor (2004:5-8), on the other hand, observed that the success of the PMS may depend on the quality of coaching and guidance employees received from their supervisors (see 2.6.5).

A more chilling aspect that literature reflects on is that managers control virtually every aspect of the appraisal process, which may allow them to manipulate the Performance Management System. For example, Fox (2009:52-56) and HR Specialist (2010:6) both provided evidence that if a supervisor wants to give a pay raise to a certain employee, the supervisor may give the employee an undeserved high performance evaluation favouring the preferred less productive employee. Similarly, a supervisor who may want to get rid of an employee may give the individual an undeserved low rating (see 2.14.3).

Question 11: If you had the power to change things or some areas in the PMS, what would you change? Could you please describe your suggestions on the Performance Management System?

This question was asked to find out participants' suggestions/recommendations to ensure better implementation or management of the system. In response to this question, research participants provided numerous suggestions that Customs authorities could consider in order to improve the effectiveness of the Performance Management System (see Table 4.7)

Table 4.7: Participants' suggestions

No.	Code	Response
1.	Civil servants and	*"PMS supposed to be implemented from higher level, meaning*

	political office bearers should sign performance agreements	*from ministers going downwards to the last employees such as cleaners / drivers within the institution"* (Participant 6). *"Senior managers who develop strategic plans of the PMS should be the first to sign performance agreements"* (Participant 11).
2.	Education of employees	*"Employees need to be educated about PMS"* (Participant 6).
3.	Carry out feasibility study of the system	*"Study needed to be done before implementation of the PMS whereby employees and managers should be involved"* (Participant 8).
4.	Review the system	*"There is a need to have a close supervision of PMS implementation in terms of its review process"* (Participant 10).
5.	Change the reporting period of activities	*"The PMS is well structured however the reporting period are too frequent"* (Participant 16).
6.	Train staff across the board	*"There is also a need to provide training for those who are not performing to the expected standard"* (Participant 11). *"The best way will be to train employees/customs officials on specific fields to be able to evaluate their performance because currently officers are performing varieties of functions which is making assessment & evaluation difficult"* (Participant 13). *"More training should be conducted throughout the public sector from top management to lower level employees in directorates and divisions. This is the only way staff members will understand how the system works"* (Participant 15).

		"Before the implementation of the PMS, all customs and excise employees should be well informed and trained on how the system works" (Participant 18). *"Training is highly recommended to broaden employees' understanding of the PMS"* (Participant 20).
7.	Reward best performers	*"There is a need to introduce reward system for the best performers" (*Participant 11). *"Good performance should be rewarded"* (Participant 15).
8.	Provide regular feedback on performance assessments	*"Employees should receive continuous feedback on performance assessment and evaluation so that they know where they need to improve and put more efforts towards service delivery"* (Participant 14). "Feedback must be provided to employees on the assessments of their performances" (Participant 15).
9.	Support subordinates	*"Supervisors should be more concerned about their subordinates and support them by encouraging them to do their work"* (Participant 15).
10.	Avoid personal vendettas	*"Managers should consider employee performance and not personal differences in the assessment and appraisal process of employees"* (Participant 14).
11.	Develop a management cadre knowledgeable in PMS	*"For the system to be effective train supervisors in various fields of managing employees so that they are able to properly evaluate their employees. At the moment supervisors have adequate knowledge to be able to evaluate their subordinates"* (Participant 13).

12.	Customise performance agreement forms	*"The performance agreement forms should be formulated according to departmental or divisional needs instead of using generalised forms"* (Participant 11).
13.	Create awareness of the PMS	*"Currently the Office of Prime Minister is only working with top management but there is a need to also explain the system to the lowest level within organisation so that everybody understand how the system works and what is expected of them"* (Participant 12). *"There is a need for all staff members to understand the system, so that they know exactly what is expected of them"* (Participant 13).
14.	Improve the monitoring and reporting procedures of the system	*"Monitoring and assessment should be done continuously according to the PMS framework and not only in the last quarter of the year"* (Participant 14).

Table 4.7 shows that participants in this study believe that the effectiveness of the PMS in the public sector and specifically in the Directorate of Customs and Excise will depend mainly on three interlinked categories of factors, namely introduction and use of various forms of information, education and communication (IEC) interventions, improving internal management system, improving monitoring and reporting systems.

Also qualitative data in Table 4.7 above indicate that research participants in this study regard improving internal management and training practices (signing of performance agreements, reviewing of the PMs, rewarding of top performers and avoiding personal

vendettas) as a way of enhancing the image of PMS among employees of the Directorate of Customs and Excise.

This finding seems to support the literature reviewed in this study. Lussier and Hendon (2012:308-310) suggest that to facilitate understanding, awareness and knowledge of the PMS organisations should develop accurate performance measures, train evaluators and use multiple raters in order to minimise the challenges associated with implementing a performance appraisal process (see 2.15).

Further responses in Table 4.7 illustrate that improving monitoring and reporting systems may improve senior and junior customs and excise officers' accountability to the PMS. For instance, research participants in this study suggested that the PMS should continuously be monitored through feasibility studies and routine reviews. Additionally, participants suggested that customising agreement forms used in performance assessments and appraisals and changing the reporting procedures and periods of PMS implemented activities may contribute to the success of the Performance Management System.

The findings of literature reviewed in this study on the need to improve monitoring and reporting procedures of the PMS are unanimous. For instance, Fox (2009:52-56) and HR Specialist (2010:6) confirmed that the challenge with performance appraisals arises when managers control virtually every aspect of the appraisal process, which allows them to manipulate the system. For example, evidence shows that if a supervisor wants to give a pay raise to a certain employee, the supervisor may give the employee an undeserved high performance evaluation, favouring the less productive employee. Similarly, a supervisor who may want to get rid of an employee may give the individual an undeserved low rating (see 2.15).

4.13   Summary

This chapter presented the research design and methodology of the study. It focused on sampling procedures, research instruments, data collection procedures and data analysis procedures. Furthermore, the chapter discussed how qualitative data was verified and indicated ethical issues that were considered during the study. Additionally, the chapter also presented data analysis from empirical work of the study. Ten semi-structured questions were analysed, presented and interpreted. Question 1 asked research participants' understanding of the concept of Performance Management System. From the preceding definitions, one can conclude that the word Performance Management System refers to too many things. Such definition includes a PMS as a tool for controlling, and improving the activities of organisations and motivates employees to undertake their duties and responsibilities. The above definitions can be accepted in this study because of their broad-based approach to what organisations ought to use Performance Management Systems. Also participants' definitions are consistent with literature explored and presented in Sections 2.2 and 3.2-3.3 in this study.

Question 2 asked research participants what year the Namibian government introduced the Performance Management System. Upon analysis of responses, fourteen participants correctly indicated that the PMS was introduced in the Namibia's public sector in 2014.

Question 3 was intended to find out if research participants knew of any forms of Performance Management Models. The findings show that though participants failed to name any specific PM models, they had a clear understanding that a PMS is a "tool used to measure employees' performance against deliberately planned goals and set targets." This research participants' understanding was found consistent with the aims of the PMS model implemented in Namibia's public sector.

Question 4 focused on research participants' feelings about how the PMS is being implemented in the Directorate of Customs and Excise. Analysed responses revealed nine dominant challenges, and among others, participants claimed that supervisors and subordinates lack of understanding and knowledge of PMS, supervisors misuse the PMS and that the PMS is not aligned to employees' roles and responsibilities.

Question 5 asked research participants to indicate whether they were involved in the development of the PMS. While some participants were involved, others stated that they were not involved in the development of the PMS before it was introduced in 2014.

Question 6 asked about what research participants thought were the benefits of the PMS to employees in the public service. Participants responded that PMS is important because it promotes accountability, efficiency and effectiveness in an organisation.

Question 7 asked participants to explain their involvement in the implementation of the current Performance Management System in their work place. Participants responded that they are involved by mainly coordinating performance agreements, developing performance management–inspired operational plans, and raising awareness and sensitization campaigns of the PMS among colleagues. However, some participants in this study stated that their involvement was limited to the quarterly review of targets, and the monitoring of the effectiveness of the signed performance agreements and the enforcement of the system thereof. For unknown reasons, one participant in this study claimed that he has never been involved in the implementation of the PMS.

Question 8 asked research participants to describe the strengths and weaknesses of the PMS implemented in Namibia's public. Participants five strengths of PMS, namely the system motivates employees to work hard; instils a sense of accountability among employees; encourages employees to monitor and evaluate their performance against set targets; promotes honesty among employees and contributes to good service delivery. Participants outlined nine weaknesses of the PMS including non-review of performance agreements, unclear measurement criteria, promotes favouritism, has

weak monitoring system, sets too ambitious and unrealistic targets, the system condones underperformance, can be used as a tool to victimise subordinates, instills unwanted fear in employees, and is labour intensive.

Question 9 asked research participants to state their personal opinions about how the current PMS is being implemented in the public service of Namibia. The analysis of this questions yielded mixed responses. While some participants stated that the PMS has not been effectively implemented, others responded that the system has effectively been implemented in the Directorate of Customs and Excise.

Question 10 asked research participants for their attitudes towards the Performance Management system. Two divergent responses were recorded. While some participants indicated that they had positive attitudes towards the PMS, others stated that they disliked the PMS because it has the potential to promote favouritism, mediocre and stress among employees.

Question 11 asked research participants to suggest measures that could be used to improve the implementation of the Performance Management System in Namibia and specifically in Directorate of Customs and Excise. Participants provided 14 recommendations, namely that authorities should allow civil servants and political office bearers to sign performance agreements, educate for employees about the PMS, carry out feasibility study of the system, review the system, change the reporting period of activities, train staff across the board, reward best performers, and provide regular feedback on performance assessments. Also participants suggested that authorities should support subordinates, avoid personal vendettas, develop a management cadre knowledgeable in PMS, customise performance agreement forms, create awareness of the PMS, and improve the monitoring and reporting procedures of the system. The next chapter presents the conclusions and recommendations of the study.

CHAPTER 5: CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This study was set to explore Customs and Excise employees' perceptions of the implementation of the Performance Management System in Namibia's public service. The study used an exploratory, qualitative research design to explore the main research questions with the aim of understanding a range of concepts and concerns on implementation in relation to the phenomenon under study.

Using non-probability sampling methods, 20 participants were selected by a convenience sampling technique and participated in this study based on their willingness and availability. The study attempted to answer four broad questions, namely:

1. What is PMS in general?
2. What are the models for PMS?
3. How do employees of the Directorate of Customs and Excise in Namibia perceive the implementation of the Performance Management System in their workplaces?
4. How can the implementation of the Performance Management System be improved in the public service in Namibia?

With regard to the first question, participants in this study demonstrated sufficient knowledge and understanding of what PMS constitutes in general and in the Namibian context.

In so far as question two is concerned, participants in this study did not explicitly identify the models for PMS per se. However, participants acknowledged the difficulty they encountered to recall the actual names of the models for PMS. In spite of this challenge, research participants were able to describe in sufficient detail to demonstrate that they

understood some key elements of most models for PMS. For example, the fact that participants in this study claimed that models for PMS are tools used to measure employees' performance aligned to planned goals and targets, is evidence that the PMS does not operate in a vacuum.

This study recorded divergent responses to question three. First, some of participants in this study had negative perceptions in respect of the manner in which the PMS was introduced and how it is being implemented in the public service in Namibia. Participants reported that the PMS was not well introduced and that is the main reason the system has not successfully been implemented.

The second group of participants had positive perceptions of the PMS. The findings of the study indicate that some participants were satisfied with the manner in which the PMS was introduced and how it is being implemented in the public sector in Namibia.

Given the conflicting perceptions of research participants to the first question, some participants in this study showed that lack of awareness, misinformation, inadequate knowledge and lack of clarity regarding the goals of the system negatively affect the implementation of the PMS.

The answer to question four was consensual. Participants in this study provided 14 recommendations to the question of how to improve the implementation of the Performance Management System in the public service in Namibia.

Based on qualitative data of this study, one may conclude that employees of the Directorate of Customs and Excise in the Ministry of Finance do not have adequate knowledge and understanding of the goals and objectives of the performance management system. Consequently its lack of clarity has generated negative perceptions of the system among employees. Thus any discussion concerning the ineffectiveness of PMS must first and foremost address and change the perceptions of employees to enable them to understand and appreciate the importance of the system

before they can jointly garner their efforts to work towards the implementation of the policy initiative.

5.2 Summary of findings

The purpose of the present study was to contribute to an understanding of the perceptions of employees in the Directorate of Customs and Excise, Ministry of Finance regarding how the PMS in Namibia is being implemented.

In line with the questions discussed above, this study was set to address the following research objectives, namely to:

1. Determine the general meaning of PMS. This objective was set to provide insight into how research participants understand the term PMS as used generally as well as in the Namibian context. Based on the evidence of numerous definitions presented in chapter four of this study, the first research objective of the present study was successfully achieved, resulting in the accomplishment of the main research purpose of the study.

2. Explore the different models for PMS. Considering the fact research participants narrated the most common elements of models of PMS, one can also argue that the second research objective was partially achieved. The researcher is of the view that the question was too academic, which in turn made it practically challenging to obtain the desired responses from research participants.

3. Explore how employees of the Directorate of Customs and Excise in Namibia perceive the implementation of the Performance Management System in their workplaces. On the evidence of amounts of responses that were obtained from participants in this study, the researcher can attest that this study achieved this research objective.

4. Determine how the implementation of the Performance Management System in the public service in Namibia can be improved. This critical research objective was developed to collect suggestions from participants on how improve the implementation of the PMS in the Directorate of Customs and Excise. This study collected, analysed and presented an amount of responses detailing how the implementation of the PMS at the Directorate of Customs and Excise could be improved. In my view, therefore, the researcher achieved the research objective.

On account of the above synopsis, the next section provides recommendations, which were synthesised from the literature reviewed in chapter four and the empirical findings based on research garnered from participants who took part in this study.

5.3 Recommendations

Recommendations in this study are set within the context of the goal setting theory, the theoretical framework adopted to guide the study. In line with Kaplan and Norton's (1996:18-24) Balanced Scoreboard (see 2.4.1) this study adopted the goal-setting theory developed by Locke and Latham (2002:705-717) to explore the key success factors applicable to the implementation of PMS in an organisation (see 2.6). Consistent with the Balanced Scoreboard perspectives, which are translated into strategic action demonstrated in Figure 2.1, Locke and Latham (2002:49-52) suggested that setting clear and challenging goals, commitment, feedback and task complexity, are five factors that may play a key role in the evaluation and management of performance in organisations (Locke & Latham, 2002:49-52).

The following recommendations are designed to broaden the discussion on how employees' perceptions can hinder the implementation of a public policy initiative and what measures might be used to minimise the impact of such negative perceptions.

5.3.1 Set achievable and realistic targets

One of the nine objectives of the Performance Management Policy in Namibia is to manage service delivery against agreed targets and intended outputs (Office of the Prime Minister, 2011:9) (see 1.3). Participants in this study indicated that one of the weaknesses of the PMS is that authorities sometimes set too ambitious targets, which may be difficult to achieve due to lack of resources, lack of employee support and buy-in (see Table 4.6). The concern of the participants in this study supports Zvavahera's (2014:14) earlier finding that setting weak or over-ambitious goals which misrepresent performance remains a challenge in PMS implementation process.

5.3.2 Authorities should develop and use objective measures to determine employees' performance

One of the main objectives of the PM Policy and PMS in Namibia is to enable the early identification of unsatisfactory performance and the taking of corrective action. Participants in this study complained that the PMS through its various appraisal tools condones underperformance since "there are no guidelines on what might happen to non-performing employees." Evidence in this study argued that traditional performance appraisal methods such as rating scales have been found to lack objectivity (see 2.14.2).

Therefore, it is the researcher's contention that supervisors in the Directorate of Customs and Excise should during the appraisal process not manipulate evaluation results on personal reasons; rather managers should develop and use accurate performance measures related to the performance area being measured (see 2.15.1). Participant 6, 11,13, 14 and 20 in this study suggested that to minimise unfairness in the appraisal process, supervisors should be educated and trained on the entire Performance Management System and specifically on how to conduct performance appraisals in their workplaces.

5.3.3 Use the performance management process to motivate top-performing employees

Participants in this study reported that the PMS implementation process demotivates employees and stifles employees' chances for promotion opportunities (Table 4.4). This challenge contradicts the objectives of the PMS policy in Namibia (see 1.3) and the importance of PMS in organisations as described in Table 4.5 by participants in this study. Literature cited in this study concurs with research participants' assertions. For instance, Foot and Hook (2011:250) stated that when the organisation has both lenient and strict managers who do nothing to level the inequities, the system lowers the morale and motivation of top-performing employees (see 2.14.4). Participant 10 in this study indicated that one the main challenges of the PMS implementation is demotivated employees; who are sometimes reluctant to complete their work, because they are never promoted to senior positions for their efforts.

5.3.4 Supervisors should not use the performance appraisal process as a tool to victimise subordinates

One benefit of a performance appraisal process is to assist managers to make decisions regarding employee promotion, demotion, termination and transfer (Foot & Hook, 2011:238). Participants in this study stated that managers can use performance appraisals to victimise subordinates. Evidence in this study demonstrated that in some instances; managers control virtually every aspect of the appraisal process, which may allow them to manipulate the system. Based on this evidence sentiments were expressed that a supervisor who may want to get rid of an employee may give the individual a low rating as a way of demoting, terminating or transferring the employee (see 2.9.6; 2.14.8). The researcher is of the opinion that victimised employees should have the right to appeal any unsatisfactory decision taken after an appraisal process. Also internal grievance processes should be established and encouraged among employees so that aggrieved individuals can approach their supervisors for recourse.

5.3.5 Managers in the Directorate of Customs and Excise should not use the PMS and the performance appraisal process to create unwanted fear among employees

Literature cited in this study argued that employees' opportunities for promotion, better work assignments, and increased compensation may hinge on the results of the performance appraisal process leading to anxiety in the form of discontent, apathy, and turnover for the appraised employee (see 2.14.9). Participants in this study acknowledged and confirmed this conclusion in the literature. The researcher is of the opinion that supervisors in the Directorate of Customs and Excise should clarify the objectives and procedures of the PMSS so as to minimise employee anxiety which in turn may result in high employee turnover (Table 4.6).

5.3.6 The Directorate of Customs and Excise should shorten the performance appraisal process

Participants in this study indicated that "The PMS is labour intensive because employees spend a lot of time developing performance management criteria instead of doing actual work" (see Table 4.6). Lussier and Hendon (2012:285) and Foot and Hook (2011:240) indicate that the performance appraisal process involves five key steps that should be accomplished in order for the performance appraisal process to be effective (see 2.11.1-2.11.5). This literature finding appears to be consistent with the Performance Management System practices in the Directorate of Customs and Excise in Namibia (see 3.5). Comparing the literature reviewed and the empirical finding in this study, the researcher is of the view that, to some extent, the performance appraisal process seems to be lengthy, and may need streamlining from five phases to three steps (Figure 2.3).

5.3.7 The Directorate of Customs and Excise should improve on the review and feedback of the performance appraisal process

Participants in this study indicated that no reviews have been conducted to determine the extent of the effectiveness of the performance agreements that were previously implemented. Research shows that under the PMS, supervisors and employees jointly work out performance goals, review performance, provide feedback and work out remedial actions. The Performance Management System therefore emphasises the development and the initiation of self-managed learning plans and the integration of the individual and corporate objectives (Berry, 1998:256).

Kaplan and Norton (1996:15) suggest that reviews are important as they can help to adjust, update, replace and introduce fundamental changes into the current implementation process. One can therefore conclude that review and feedback serve as learning processes, which can assist with strategic information that can lead to the improvement of the vision and the objectives of an organisation (see 24.1.4.4). The researcher is thus convinced that regular review and feedback processes are key elements of any successfully Performance Management System. The Directorate of Excise and Customs could use review and feedback meetings to reflect on the progress, successes and challenges of implementing the PMS, which in turn could assist senior officials to develop clear strategies to improve the future implementation of the system.

5.3.8 The Directorate of Customs and Excise should conduct capacity building programmes to ensure that employees understand the objectives and processes of the Performance Management System

The main purpose of this study was to explore how employees of the Directorate of Customs and Excise perceive the implementation of the Performance Management System in their workplaces. Results revealed that some employees have negative

attitudes towards the PMS. From the researcher's point of view, it can be concluded that the PMS may not be successfully implemented due to the negative attitudes held by some employees in the Directorate of Customs and Excise.

This finding corroborates with numerous studies cited in this study. In his study, Mandishona (2003:75) concluded that the success of the Performance Management System depends on how employees perceive the system. Similarly, Buchner (2007:59-73) agreed and indicated that in most instances, public sector employees always have a negative feeling about Performance Management Systems. Verspoor (2004:5-8), concurred and concluded that the success of the PMS may be based on a number of factors, including the manner in which the system is communicated to employees; whether staff are trained on PMS; quality of coaching and guidance employees receive from their supervisors and the Human Resource Department; accessibility of resources in the department and the nature of staff development programmes implemented in workshops on PMS. Verspoor (2004:5-8) therefore stresses that the reality of these conditions is important to help individual employees in the organisation understand the procedures and processes of the PMS (see 2.6.5).

Participants in this study argued that for the PMS to be effectively implemented "more training on the objectives of the PMS should be conducted throughout the public sector from top management to lower level employees in directorates and divisions. This is the only way staff members will understand how the system works" (see Table 4.7). The researcher thus contends that to change and improve employees' attitudes towards the PMS, the Human Resource Department should undertake various forms of information, education and communication (IEC) interventions such posters, flyers, leaflets, brochures, booklets, messages for PMS education sessions, and radio broadcast or Television (TV) spots.

The researcher is also of the opinion that training workshops should be conducted in the directorate involving supervisors and their subordinates so that all staff members have a clear understanding of the PMS process. Additionally, the researcher suggests that the

Directorate of Customs and Excise undertake training in monitoring, evaluation and reporting procedures in order to strengthen internal management practices.

5.4. Summary

The purpose of the study was to explore Customs and Excise employees' perceptions of the implementation of the Performance Management System in the public service of Namibia.

The Performance Management System was introduced in Namibia's public sector in 2014. However, the researcher concludes that approximately 3 years after its introduction the PMS has not effectively been implemented, particularly in Directorate of Customs and Excise. However, the study revealed that some Customs and Excise Officers lack knowledge of the goals and objectives of the Performance Management System implemented in the Directorate of Customs and Excise in Namibia.

One can thus conclude that the lack knowledge of the goals and objectives of the PMS might have led some members of staff in this study to express negative perceptions and attitudes towards the PMS. Also the lack of knowledge and understanding of the PMS legal framework and performance appraisal processes and procedures have largely contributed to cynicism regarding the system. Within the context of the theoretical framework adopted in this study, it is important that senior personnel in the Directorate of Customs and Excise creates a common understanding among staff members through various consultative meetings and training workshops on issues pertaining to goals and objectives, the processes and procedures of the PMS and the performance appraisal system as outlined in the legal frameworks and the PMS policy for Namibia's public service.

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APPENDIX 1

Research interview questions

(a) Background/ Demographic Questions

Gender: Male ⬭

                         Female ⬭

Age: How old were you on your last birthday?

Level of Education: What is your highest level of qualification?

Years of Experience: How many years have you been working for Customs and Excise?

Current Position: What is your current position?

1. What do you understand by the term/ phrase performance management system?
    (**Your definition of performance management**)

2. What do you know about the PMS being implemented in the public service of Namibia?
    – **the background (when was it itroduced?) (The year)**

3. What are your feelings about the current PMS as implemented in the public service of
    Namibia? What are some of the things that you like about PMS? What about dislikes? (
    How do you feel about the manner in which the PMS is being implemented)

4. What according to you is the importance of PMS in an organisation/ to employees?
    (Why is it important to implement performance management system?)

5. Are you personally involved in the PMS as a public servant employed by the Directorate
    of Customs and Excise? (**Yes or No**)

6. How was your involvement in the current performance management system? **(How is your involvement? Is it at the development/ implementation of PMS?**)

7. Based on your exprience, what would you say are the strength of the PMS? What about weakness?

8. What are your opinions about the current PMS as implemented in the public service of Namibia? **(How do you perceive the PMS? Is it effective? Is it achieving desired results?)**

9. How can you describe your attitude towards the current performance management system? **(Do you like PMS? What are you reasons for liking or disliking the system?)**

10. If you had the power to change things or some areas in the PMS, what would you make different? Could you please describe your suggestions on the performance management system? **(Give your suggestions/ recommendations to ensure better implementation/ management of PMS)**

APPENDIX 2

REPUBLIC OF NAMIBIA

MINISTRY OF FINANCE

Tel. :(061) 254 233
Fax: (061) 254 224
Cell: 0812579542
E- mail: jacobina.anghuwo@gov.mof.na

Customs and Excise
Eros Airport
Private Bag 13185
Windhoek

Enquiries: Jacobina

13 April 2015

TO: **THE PERMANENT SECRETARY**
                 MINISTRY OF FINANCE

THROUGH: **THE COMMISSIONER**
                 DIRECTORATE OF CUSTOMS AND EXCISE

FROM: **JACOBINA T. ANGHUWO**
                 CHIEF CUSTOMS AND EXCISE OFFICER: EROS AIRPORT

RE: **REQUEST FOR PERMISSION TO CONDUCT A RESEARCH WITHIN THE**
                 DIRECTORATE OF CUSTOMS AND EXCISE

PURPOSE

To obtain permission for Ms. J.T. Anghuwo, Chief Customs and Excise Officer, Section: Eros Airport to conduct research within the Directorate of Customs and Excise by approaching a sample of individuals for their views through questionnaire and interview.

DISCUSSION

As a final year student for the Masters of Public Administration (MPA) with the School of Public Leadership of the University of Stellenbosch, RSA, Ms. Anghuwo is required to complete a supervised Thesis to be submitted in partial fulfilment of the requirement for the said degree.

For this purpose, she chose to do a study on: **THE PERCEPTIONS OF THE EMPLOYEES OF THE DIRECTORATE OF CUSTOMS AND EXCISE ON THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM IN THE PUBLIC SERVICE OF NAMIBIA.**

The findings of this Thesis will be used for study purpose by the researcher for submission to Stellenbosch University and will be shared with the Directorate of Customs and Excise through submission of final document to the office of the Commissioner.

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The information to be obtained during the study will be kept confidential and no name of an individual will be disclosed on the Thesis.

RECOMMENDATION

It is therefore recommended that permission be granted for the official to approach a sample of individuals for their views on the topic of study.

Recommended / not recommended

RECOMMENDED SINCE THE OUTCOME MIGHT INFLUENCE OUR ACTIONS IN THIS REGARD

_____   14 | 4 | 2015
Thandi Tilya Hambira
Deputy Director, Central Region: Customs and Excise   Date

Recommended / not recommended

THE CUSTOMS ADMINISTRATION SUPPORTS THE RESEARCH & IS EXPECTED TO ENRICH RESEARCHERS TOPICS TOWARDS INSTITUTIONALISATION OF NATIONAL & INTERNATIONAL BEST PRACTICES.

_____   15/04/2015
Bevan Simataa
Commissioner: Customs and Excise   Date

Approved / not approved

_____
_____

_____   17/04/15
Ericah Shafudah
Permanent Secretary: Finance   Date

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APPENDIX 3

UNIVERSITEIT·STELLENBOSCH·UNIVERSITY
jou kennisvennoot • your knowledge partner

STELLENBOSCH UNIVERSITY
CONSENT TO PARTICIPATE IN RESEARCH

An exploratory study of the Directorate of Customs and Excise's perceptions about the performance management system of the public service in Namibia

You are asked to participate in a research study conducted by Ms. Jacobina T. Anghuwo, Master's in Public Administration student, from the School of Public Leadership at Stellenbosch University. The results of the study will contribute to the completion of a thesis. You were selected as a possible participant in this study because of your knowledge and experience of the research topic.

1. PURPOSE OF THE STUDY

To explore customs and excise employees' perceptions about the performance management system of the public service in Namibia.

2. PROCEDURES

If you volunteer to participate in this study, we would ask you to do the following things:

To answer all questions to the best of your knowledge, and to ask for clarity on questions and concepts raised by the researcher.

Each interview will last for approximately 45 minutes inclusive of data verifications with each participant.

3. POTENTIAL RISKS AND DISCOMFORTS

The researcher has not established any potential risk/ discomfort that could lead to the withdrawal of the participant.

4. POTENTIAL BENEFITS TO SUBJECTS AND/OR TO SOCIETY

The study will contribute to knowledge about issues related to performance management system implementation.

5. PAYMENT FOR PARTICIPATION

No payment will be given to subjects for participating in the study.

6. CONFIDENTIALITY

Any information that is obtained in connection with this study and that can be identified with you will remain confidential and will be disclosed only with your permission or as required by law.

Confidentiality will be maintained by means of withholding participants' personal details. Collected data will be kept safe in the researcher's office, in a lockable cabinet, where researcher is the only person with access. All transcribed materials and field notes will be saved in a folder with the researcher's password.

No collected raw data will be released to any third part for any reason. Data will be processed and analysed for the research report only.

The obtained information will be made available to the School of Public Leadership of the Stellenbosch University as a proof that the study has been conducted.

The researcher will provide the final copy of thesis to the Directorate of Customs and Excise as indicated in the application for permission to do the study.

7. PARTICIPATION AND WITHDRAWAL

You can choose whether to be in this study or not. If you volunteer to be in this study, you may withdraw at any time without consequences of any kind. You may also refuse to answer any questions you don't want to answer and still remain in the study. The investigator may withdraw you from this research if circumstances arise which warrant doing so.
Subjects may withdraw if and when they feel they are being pressurised to reveal information of a confidential nature. Or subjects may withdraw from the study if and when they feel that they are being subjected to harassment and unfriendly behavior. The researcher may terminate the interview if the subject is not cooperative and displays an arrogant behaviour.

8. IDENTIFICATION OF INVESTIGATORS

If you have any questions or concerns about the research, please feel free to contact:
My supervisor, Mr. Zwelinzima Ndevu, office number: 0027 21 808 2150; Email: Zwelinzima.Ndevu@spl.sun.ac.za

9. RIGHTS OF RESEARCH SUBJECTS

You may withdraw your consent at any time and discontinue participation without penalty. You are not waiving any legal claims, rights or remedies because of your participation in this research study. If you have questions regarding your rights as a research subject, contact Ms Maléne Fouché [mfouche@sun.ac.za; 021 808 4622] at the Division for Research Development.

The information above was described to me by Ms. Jacobina T. Anghuwo in English and I am in command of this language or it was satisfactorily translated to me. I was given the opportunity to ask questions and these questions were answered to my satisfaction.

I hereby consent voluntarily to participate in this study. I have been given a copy of this form.

Frans Aikuti

Name of Subject/Participant

N/A

Name of Legal Representative (if applicable)

F. AIKuTi   11/12/2015

Signature of Subject/Participant or Legal Representative   **Date**

SIGNATURE OF INVESTIGATOR

I declare that I explained the information given in this document to FRANS and He/she was encouraged and given ample time to ask me any questions. This conversation was conducted in English and no translator was used.

11/12/2015

Signature of Investigator   **Date**

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