ASSESSING THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT SYSTEM IN THE MALAWIAN CIVIL SERVICE: AN APPLICATION OF THE BURKE AND LITWIN MODEL

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By

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DECLARATION:

In accordance with Rule G4.6.3, I hereby declare that the work in this treatise is my own original work and that it has not previously been submitted for assessment to another University or for another qualification.

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ABSTRACT

The research assessed the implementation of the Performance Management System (PMS) in the Malawian civil service using a change diagnostic model called ‘causal model of organisational performance change’ by Burke and Litwin (1992). The motivation for the research topic comes from a background of the Malawi Government’s goal of improving service delivery to the public. The government launched the performance management system as one of the change interventions that would assist in achieving its service provision goal. For the achievement of the service provision goals, the PMS had to be implemented effectively.

Using an integrative approach, the research employed both qualitative and quantitative methods to obtain data that was structured around the organisational elements of the Burke-Litwin model. Using purposive sampling, 195 departments in the Malawian Civil Service formed the population from which the sample was drawn. Of the 195 departments, 69 departments, represented by an officer from each department, participated in the study. Three departments namely; The Office of the President and Cabinet (OPC), The Department of Human Resource Management and Development (DHRMD) and The Civil Service Commission (CSC) were included in the sample in addition to the 69 departments. These three departments were chosen due to their involvement in the formulation and implementation of the Performance Management System (PMS). Information from the three departments was obtained through interviews while questionnaires were administered to the remaining sample subjects.

The research found that both the transformational and transactional factors were lacking in supporting the implementation of the PMS in Malawian civil service. Fundamental prerequisites like systems’ compatibility, assessment of enabling culture and amendments of relevant laws were not considered before the implementation of the system. Upon commencement of the implementation process the support from political leaders and donors declined and the evaluation process lacked inclusion of key stakeholders.

The current research expands the application of the Burke-Litwin model in assessing the ‘post change intervention’ implementation processes. The findings could possibly provide valuable input in the form of the following recommendations: The government should consider working on the culture of the civil servants, the capacity of the implementing structure of PMS, the evaluation of the PMS and the prerequisites for the programme. The government should consider being inclusive when evaluating PMS and in assessing the performance of employees,
and lastly, there is need to fully utilise technology and the functional position of stakeholders like the Civil Service Commission.
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<td>Common Approach to Budget Support</td>
</tr>
<tr>
<td>CIDA</td>
<td>Canadian International Development Agency</td>
</tr>
<tr>
<td>DHRMD</td>
<td>Department of Human Resource Management and Development</td>
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<tr>
<td>MGDS</td>
<td>Malawi Growth and Development Strategy</td>
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<tr>
<td>MPSCR</td>
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<td>MPSR</td>
<td>Malawi Public Service Regulation</td>
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<tr>
<td>NPM</td>
<td>New Public Management</td>
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<td>OPC</td>
<td>Office of the President and Cabinet</td>
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<td>PMS</td>
<td>Performance Management System</td>
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CHAPTER 1: THE SETTING

1.1 Introduction

One of the goals of the public sector is to provide services to its citizens. To ensure that governments provide such services, the performance of civil servants needs to be improved (Sekwat, 2002). Governments have implemented performance management systems as interventions to ensure that the performance of civil servants is improved. The implementation of a performance management system is a change process and therefore, the successful implementation of the performance management system means managing the change process effectively. According to Mills, Dye and Mills (2009), the management of change initiatives is critical to the success of change and consequently the success of an organisation as a whole.

Implementation of change interventions in the public service, however, provides experiences that are different from those experienced in the private sector institutions (Fryer, Antony & Ogden, 2009; Ohemeng, 2009; Wisniewski & Stewart, 2004; Wescott, 1999). The difference is clear in the terms of the antecedents of the change, the objectives of the change, structures supporting the change, the organisational culture, the systems, scope and stakeholders constituencies of the public sector and their interrelations. One of the change interventions in the public service is the implementation of performance management systems (PMS) that are aimed at improving service delivery among public institutions (Manyaka & Sebola, 2012; Sebashe & Mtapuri, 2011; Ohemeng, 2009). A performance management system (PMS) is one of the interventions implemented by the government of Malawi to improve the performance of civil servants and the performance of the government as a whole. It is a change intervention that should be implemented effectively.

The context in which the performance management system was implemented in the Malawian civil service comprises a period of public sector reform programmes in Africa which commenced in the 1980s (Ohemeng, 2009). The public sector reforms in Africa followed global public sector reforms that applied private sector management practices to the public sector (Ohemeng, 2009; Parry & Proctor-Thomson, 2003). According to Manyaka and Sebola (2012, p. 300) these reforms were driven by “a combination of political, social and technological factors.” The reforms, however, took different forms and were meant to serve different purposes. For example, Kiragu (2002) stated that the reforms were in the form of structural adjustment programmes, capacity building reforms and service delivery reforms. PMS falls under the service delivery reform programmes. According to Manyaka and Sebola (2012, p. 301) service delivery reforms, provided impetus for the emergence of
performance management in the public sector in Africa. The implementation of PMS is gaining ground in the public sector albeit with mixed success (Hughes, 2012).

The Malawian government, like other Africa governments, started implementing a performance management system (PMS) as part of their service delivery reform programmes. The PMS was launched in the Malawi public service on the 8 March 2008. According to the PMS policy handbook for the Malawian civil service (Malawi Government, 2008a, p. 2, 3 & 6), the goals for the implementation of a PMS in the Malawian civil service were the following:

The first objective of PMS in Malawi was that the programme would be an instrument for improving the work performance and productivity of civil servants. Secondly, the PMS was aimed at identifying and monitoring the efficiency and effectiveness of the departments. Lastly, the PMS would address the shortcomings of the previous performance management systems.

The implementation of PMS in Malawi’s civil service is still on-going but has not been as successful as planned (Malawi Government, 2011). It is for this reason that this research will be assessing the implementation of the PMS in the Malawian civil service.

The assessment of the implementation of the PMS in the Malawian civil service was conducted using a framework of the ‘causal model of organisational performance change’ by Burke and Litwin, (1992) (hereinafter referred to as the Burke-Litwin model). The following reasons explain the choice of the model:

- It is diagnostic and advances a comprehensive assessment of the change process (Burke & Litwin, 1992; Armenakis, Harris & Feild, 1999).
- The model provides an objective basis for assessing the implementation of change processes thereby avoiding diagnosis bias (Armenakis et al., 1999). This is applicable in the current research because the researcher is an insider, a civil servant in the Malawian civil service.
- It specifies what data should be collected and analysed (Levinson, 1994; Burke, 1994).
- It provides a basis for an understanding of and the implementation of change (Falletta, 2005).
- It is complex (Falletta, 2005) therefore it reflects the complex nature of change management in the public sector (Lutrin & Shani, 1998).
The assessment was conducted in terms of both transformational and transactional elements of the Burke-Litwin model and a summary of the challenges in the implementation of the PMS. The findings of the assessment will possibly provide input to an on-going evaluation of the implementation of the performance management system by the government of Malawi.

1.2 Problem statement

The efficient and effective provision of services by the public sector is the primary duty of every government (Hughes, 2012). Therefore, it follows that such services are dependent on the performance of public servants to a large extent. The introduction of a PMS is a step towards ensuring good service delivery by the public service. In order for the PMS to help the public service to perform effectively, it must be implemented effectively. This treatise therefore attempts to assess the implementation of the performance management system in the Malawian civil service using a change management framework as outlined in the Burke and Litwin model.

1.3 Research objectives

This research aims to assess the implementation of the performance management system in the Malawian civil service using the Burke-Litwin model. In order to do this the following objectives have been set:

Objective 1:

To assess the implementation of the PMS in the Malawian civil service in terms of the extent to which the transformational components of the Burke-Litwin model were supportive of the implementation.

Objective 2:

To assess the implementation of the PMS in the Malawian civil service in terms of the extent to which transactional components of the Burke-Litwin model were supportive of the implementation.

Objective 3:

To outline challenges in the implementation of the performance management system in the Malawian civil service.
1.4 Demarcation of the research

Brynard and Hanekom (1997, p. 11) stated that research should be manageable in terms of the available time, finance, sample size and the ability of the researcher. These factors were considered when planning this research. In order to achieve the set objectives, the present study research was narrowed down to the Malawian civil service. Data collection was planned for the government ministry headquarters and two of each ministry’s departments. There are twenty three ministries in total and they are located at Capital Hill and City Centre in Lilongwe, the Capital City of Malawi. The justification for this demarcation was that the Ministry/Departments headquarters would provide a broader picture of the whole programme’s implementation. A secondary but equally important reason for the selection of the sample from Capital Hill and City Centre was the ease of access for data collection.

1.5 Definition of key terms

The following are the definitions of key terms considered in this research:

**Change** - A process resulting in a difference of varying magnitude and/or nature in the state and/or condition of a given entity overtime – whether a phenomenon, situation, person and/or object (van Tonder, 2004, p. 230)

**Planned change** - A premeditated, agenda-facilitated intervention intended to modify organisational functioning for a more favourable outcome (Lippit, Watson & Westley, 1958, in Ford & Greer, 2005, p. 59)

**Change management** - A process of continually renewing an organisation’s direction, structure, and capabilities to serve the ever changing needs of external and internal customers (Moran & Brightman, 2001, p. 111).

**Public sector** - Two definitions that complement each other are given. Firstly it means engaged in providing services (and in some cases goods) whose scope and variety are determined not by direct wishes of the consumers but by the decision of government bodies (Hicks, 1968, p. 1). Secondly, a definition provided by the Australian Government (2013) refers to entities that exist and where people are employed for public purposes. It supports three arms of the government; the executive, legislature and judiciary arms.

**Performance management** - A means of getting better results from organisations, teams and individuals by understanding and managing performance within an agreed framework of planned goals, standards and attributes/competence requirements (Viedge, 2011, p. 205).
Transformational variables - Organisational variables in which alteration is usually caused by interactions with the environmental forces (both within and without) and therefore require entirely new behaviour sets on the part of organisational members (Burke, 1994, p. 75).

Transactional variables - Organisational variables whose alteration occurs primarily via relatively short term reciprocity among people and groups in an organisation (Burke, 1994, p. 76)

1.6 Methodology and design

The research applies an integrative approach through employing the use of qualitative and quantitative methods. The data collected was analysed using the Burke-Litwin model and basic descriptive statistical tools such as central tendency, variability and association. The sample for the research consisted of the implementing institutions of the PMS namely, The Office of the President and Cabinet (OPC), The Department of Human Resource Management and Development (DHRMD), The Civil Service Commission (CSC) and HR units in each of the government ministry headquarters and departments.

Self-administered questionnaires and semi-structured interviews were used to gather data structured around the twelve variables of the Burke-Litwin model. The twelve organisational variables in the model are; external environment, mission and strategy, leadership, culture, systems, structure, management practice, organisational climate, task requirement, motivation, individual needs and performance.

The Interviews were conducted amongst top government officials in the departments overseeing the implementation of the performance management system. The questionnaires were administered to officers in HR units in ministries/departments. The third source of data was official documents, such as policy documents, public service regulations and government circulars. Data from all three sources, namely questionnaires, interviews and official documents were analysed using the Burke-Litwin model complimented by descriptive statistics. The choice of the model was motivated by the model’s diagnostic nature, its complexity, causal effect links and its applicability to the research topic.

1.7 Organisation of work

The following is a synopsis of how chapters have been organised and summaries of their contents.
Chapter 1: The setting

This chapter outlines the context for the study. It specifically supplies the problem statement and motivation for the study, the objectives of the research, a general approach, the methods used to collect and analyse data, and the usefulness of the findings.

Chapter 2: Literature review.

The literature consulted revolved around three topics, namely, change management, performance management in the public sector (and the Malawian civil service in particular) and the Burke-Litwin model. The details of the PMS in Malawi include the history of the PMS in Malawi’s civil service and its structure. The literature review serves to provide a picture of the change intervention in the performance management system in the Malawian civil service in order to understand of the findings of the research.

Chapter 3: Research design.

This chapter provides details of the methods used and the motivation for their choice. It outlines the research sample, the administrative procedures followed to get authority, data collection methods and measurements.

Chapter 4: Presentation of results.

Data from interviews, questionnaires and official documents are analysed based on the framework of the Burke-Litwin model. The research questions provide broader structure in which the analysis and presentation of the results are done.

Chapter 5: Conclusion and recommendation

This chapter sums up the research and reports its significant findings. It also recommends action found lacking in the implementation of the performance management system in Malawian civil service.

1.8 Ethical considerations

Anonymity and confidentiality were the two main ethical considerations in this research. The identity of the sample subjects in terms of names and their association with particular pieces of information has been protected.
CHAPTER 2: LITERATURE REVIEW

2.1 Introduction

The literature review focuses on three areas, namely, the management of change, the performance management system as a change intervention in the public sector and the Burke-Litwin’s model. Reference, in all these, will be made to the performance management system in the Malawian civil service (hereinafter referred to as the PMS). The aim of the literature is to develop a foundation on which the assessment of the implementation of the performance management system will be done, using the Burke-Litwin model.

2.2 Change

In order to understand the management of change, it is important to understand the concepts of change and planned change. Change has been defined in various ways by different authors (Kanter, Stein & Jick, 1992; Lewin, 1951; Van de Ven & Poole, 1995) with different orientations such as the process, the sequence of activities, the end result and the form, respectively. A more encompassing definition of change was given by van Tonder (2004, p. 6) who stated that it is “a process resulting in a difference of varying magnitude and/or nature in the state and/or condition of a given entity over time – whether it is in a phenomenon, a situation, a person and/or an object.” This is the definition being adopted in this research. The fundamental nature of change has three stages, namely, a current stage, a transition stage and a future stage (Fig 1).

![Fundamental nature of change](image)

**Figure 1** Fundamental nature of change.

Source: Change Management Learning Centre (2013)

These three fundamental states of change can be marked in the PMS in the Malawian civil service as follows:
The current state (then) includes the absence of a PMS. It also includes the absence of the institutions, systems, structure, leadership, culture and climate that can support improved performance of public service employees. Secondly, the transition phase consists of all the processes and interventions leading to the future desired state, for example, the implementation of a PMS. Finally, the future desired state is deduced from the goals of the PMS in Malawi (Malawi, 2008a) would be:

a. A public sector that supports the implementation of a long term strategic plan of the government through its performance;

b. The improved work performance and productivity of the public sector;

c. A system which enables management to identify and monitor the efficiency and effectiveness of the Ministry/Departments; and

d. Improvements from the old performance appraisal system in the appraisal of employees.

2.3 The Management of change

Change without effective management cannot bring about the desired results (Senior, 2002). The management of change is recognised as being crucial to the success of the process of change (Senior, 2002) and to the successful implementation of reforms (changes) in the public service (Kiragu & Mukandala, 2005). According to Moran and Brightman (2001, p. 111) the management of change is, "a process of continually renewing an organisation's direction, structure, and capabilities to serve the ever-changing needs of external and internal customers." Armstrong (2001, p. 31) states that the management of change provides facilitating factors for organisations in their activities of change. Carnall (1986) stated that the management of change involves managing transitions, dealing with organisational culture, engaging in organisational politics and dealing with resistance to change. From these definitions it is clear that the effective management of change provides a process, tools and principles to support individual and institutional transitions to the desired state.

One of the most highlighted considerations when implementing change is resistance to change (Carnall, 1986; Kotter & Schlesinger, 2008; Mills et al., 2009). According to these researchers, most change interventions fail because of resistance to change. In their research, Siegal et al. (1996) found that both the failure to management change effectively and the resistance to change are the reasons for the high failure rate of change initiatives. Kotter and Schlesinger (2008) identified four main reasons why employees resist change. They are; parochial self-interest, which is the fear of losing something of value, misunderstanding, different assessment of a situation and low tolerance for change.
A fifth contributing factor to employees’ resistance to change is the fact that employees are not equipped for change according to Mills et al. (2009, p. 131). The capacitating of employees for change includes skills, abilities and resources.

2.4 How to successfully implement change in the public sector

In order to implement change in the public sector there are a number of processes that organisations need to consider. Literature on best practices on change management is plentiful (Kanter et al., 1992; Kotter, 1995; Lueeke, 2003). For instance, Kotter (1995) mentions eight recommendations for the successful implementation of change, namely; to create a sense of urgency, form a guiding coalition, develop a vision and strategy, communicate the vision, enable action and remove obstacles, generate short term wins, hold the gains and build on change and to anchor the changes in the culture of the organisation. Building on Kotter’s (1995) recommendations, Fernandez and Rainey (2006), provide eight recommendations for the successful implementation of change in the public sector which are explained below:

2.4.1 Create a need for change

Managers must develop justification and a rationale for the change initiative. It is this justification and rationale which managers should verify and persuasively communicate to all stakeholders involved in the process of change (Fernandez & Rainey, 2006). The process of creating a need for change starts with crafting a vision for the change process and communicating the vision to all concerned. This recommendation encompasses Kotter’s (2008) creation of a sense of urgency, developing a vision and communicating the vision. Bingham and Wise (1996) posit that the successful implementation of new programmes depends on top management’s ability to disseminate information about the change and to convince the employees of the need and the urgency for change.

2.4.2 Have a clear plan of action

There must be a clear plan of action for the change initiative (Fernandez & Rainey, 2006). Plans should, among other matters, indicate the strategy about what will be done, and how and when it will be done. According to Fernandez and Rainey (2006) the degree of clarity of the action plan is linked to goal specificity. Goal specificity ensures that there is correspondence between formal policy and the measures implemented. It provides standards for accountability; it prevents ambiguity (Meyers & Nara, 1999), it allows managers to follow a clear path for implementation and prevents inconsistencies (Rossotti, 2005).
2.4.3 Build internal support and overcome resistance

Thirdly, in order to successfully implement change in the public sector, change agents need to build internal support for change and overcome resistance to change (Fernandez and Rainey, 2006). Building internal support is similar to Kotter’s (1995) building a powerful guiding coalition. According to De Vries, Manfred and Balazs (1999), a guiding coalition is a group of individuals who lend legitimacy to the effort, marshal the resources and provide support to induce organisational members to change. The internal support works hand in hand with change agents to provide the necessary support and champion change. The internal support helps to overcome resistance to change.

Resistance to change is a phenomenon that affects the change process, delaying or slowing down its beginning, obstructing or hindering its implementation and increasing its cost (Del Val & Fuentes, 2003, p. 148). Several authors have attributed resistance to change to various factors and suggested measures to overcome resistance to change. For example, Lawrence (1969) wrote that one step towards overcoming resistance to change is to clearly understand the nature of resistance and he stated that employees mostly do not resist technical changes but social changes. Kotter and Schlesinger (2008) stated the following as some of the reasons why employees resist change: parochial self-interest, which is fear of losing something of value; misunderstanding; a different assessment of a situation and low tolerance to change. Lastly Mill et al. (2009) found that when employees are not equipped in terms of skills, abilities and resources that are necessary for change, they resist change.

2.4.4 Top management’s support and commitment

Top management’s support and commitment to change is important to the success of a change initiative (Yukl, 2002). Similar findings were found in research in the public sector (Thompson & Fulla, 2001; Lambright, 2001; Abramson & Lawrence, 2001; Berman & XiaoHu, 2000). Committed managers coordinate the behaviour of those directly involved and overcome obstacles by leveraging personal ties and influence (Bardach, 1977). Fernandez and Rainey (2006) explained that in the public sector top management’s support involves cooperation of top career civil servants and politically appointed executives.

2.4.5 Gain external support

For change to be implemented successfully, organisations must build external support (Fernandez & Rainey, 2006, p. 171). A clear definition of the external stakeholder is the key to the implementation of change in the public service. The external stakeholders include politicians, the general public, bilateral and multilateral partners and civil society groups. Fernandez and Rainey (2006, p. 171) stated that, “organisational change in the public sector
also depends on the degree of support from political overseers.” For example, political stakeholders influence planned change outcomes by creating and conveying a vision that explains the need for change. Chackerian and Mavima (2000) found that politicians’ commitment to change influenced the degree of the implementation of change. Another way of political influence is in the appointment of executives who are sympathetic to change and have the knowledge and skills for change management (Fernandez & Rainey, 2006, p. 171). In the case of development the external influence partners takes the form of expertise and financial assistance.

2.4.6 Resource provision

Resource provision is another aspect necessary for successful change implementation. Reforms or changes are expensive in terms of developing plans, communication, training, consulting, developing new processes and practices, restructuring, reorganizing and experimenting (Burke, 2002; Nadler & Nadler, 1998). Resource allocation provides capacity for the implementation of change. With management’s commitment to change (discussed in section 2.4.4), resource allocation becomes easy. Failure to allocate adequate resources to change initiatives and programmes results in feeble implementation efforts, high levels of personal stress on the part of those implementing the change and neglect of core organisational activities (Fernandez & Rainey, 2006). In short, it can hinder organisational change (Bingham & Wise, 1996; Berry, Chackerian & Wechsler, 1999) and the implementation of the performance management system in particular (Martinez & Martineau, 2001).

2.4.7 Institutionalisation of gained change

Institutionalisation of change is another practice that ensures successful implementation of change programmes (Kotter, 1995; Fernandez & Rainey, 2006). This is entrenching the change into the culture of the organisation. Fernandez and Rainey (2006) stated that to make change enduring organisational members must incorporate the new policies, practices and activities into their daily routines. In order to institutionalize change, leadership is vital. Fernandez and Rainey (2006) stated that leaders modify formal structures, human resource practices and ceremonies. The challenge in the public sector is that leaders are not able to execute these functions because they are frequently moved and because of the short tenure of political appointees. Institutionalisation is also facilitated through gradual and piloted implementation of change.
2.4.8 Comprehensive change

Successful implementation of change also requires that change is pursued comprehensively (Fernandez & Rainey, 2006). Change that targets only a section of an organisation without regard to the other subsystems of the organisation rarely succeeds. Golembiewski (1985) explains this by using an example where change targeted at attitudes and behaviour fails to be implemented successfully, because the organisational structures remain strictly hierarchical. This holistic and comprehensive approach to change is somehow difficult to implement in the public sector because as Robertson and Seneviratne's (1995) study found, managers in the public sector have less discretionary powers than private sector managers.

2.5 Performance management

The concept of performance management has its roots in the private sector (Hughes, 2012) specifically in the ‘Management by Objectives’ approach to management (Cameron & Sewell, 2003). Variations of definition for performance management exist in the literature. Table 1 provides a selection of performance management definitions:

<table>
<thead>
<tr>
<th>Author(s)</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Armstrong, 1994, p. 23</td>
<td>A method of establishing a shared understanding about what is to be achieved and an approach to managing and developing people in a way that increases the probability that defined outputs will be achieved in both the short and longer terms.</td>
</tr>
<tr>
<td>Spangenberg, 1994, p. 29</td>
<td>It is an on-going process that involves planning, managing, reviewing, rewarding and the development of performance in an organisation.</td>
</tr>
<tr>
<td>Joubert &amp; Noah, 2000, p. 17</td>
<td>A formal management process for harnessing and directing, measuring, evaluating and rewarding human effort, competence and talent in realising an organisation’s mission and vision within a framework of core values.</td>
</tr>
<tr>
<td>Verbeeten, 2008, p. 430</td>
<td>The process of defining goals, selecting strategies to achieve those goals, allocating decision rights, and measuring and rewarding performance.</td>
</tr>
<tr>
<td>The Malawi Government (2008a)</td>
<td>A structured but flexible approach to improving the performance of employees, sections, divisions or departments and the organisation as a whole.</td>
</tr>
</tbody>
</table>
Whether the understanding of performance management is that of a means, a process, a method or an approach as defined by the different authors above, what is abundantly clear is that it is a change intervention that is a means to an end not an end in itself. Besides, the definitions of performance management another way to understand the concept of performance management is to look at the perspective from which performance management is practiced in organisations. According to Williams (2002) there are three perspectives from which to view performance management.

The first perspective is that of performance management as a system for managing organisational performance. According to this perspective there are three processes. They are planning, improving and reviewing. The second perspective is that of performance management as a system for managing employees’ performance. This perspective involves a unity of expectation between employees as individuals and their managers. The third perspective is that performance management is a system for integrating the management of organisational and employee performance. The management of the interface between individual and organisational performance becomes crucial under this perspective. These perspectives reveal individual and organisational levels at which performance is managed. The PMS referred to in this study was designed to be viewed from the employees’ perspective.

It is also important that in understanding performance management it must be differentiated from performance measurement and performance appraisal. Both performance measurement and performance appraisal are means through which performance management is achieved (Swanepoel, Erasmus, Van Wyk and Schenk, 2011; Lebas, 1995).

2.6 Performance management system (PMS)

The performance management system is an umbrella concept for conducting performance appraisal, setting goals, communicating expectations, observing, documenting, giving feedback and helping employees to develop their own skills (Manyaka & Sebola, 2012, p. 302). The performance management system enhances organisational efficiency, effectiveness and accountability (Sebashe & Mtapuri, 2011, p. 1324). In order to implement PMS there are various measures to be undertaken. Renton (2000, p. 44) generated a list of twenty key requirements for an effective PMS (See Table 2 below).
Table 2 Key requirements for an effective performance management system

<table>
<thead>
<tr>
<th></th>
<th>Requirements for an effective performance management system</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>The performance management system is owned by line managers and driven from the top of the organisation.</td>
</tr>
<tr>
<td>2</td>
<td>Managers understand and accept the need to measure performance at all levels in a consistent way.</td>
</tr>
<tr>
<td>3</td>
<td>Managers accept that the PMS processes that have been defined are needed in their business.</td>
</tr>
<tr>
<td>4</td>
<td>Managers have the knowledge and skills needed and are committed to manage their subordinates (and be managed) in this way.</td>
</tr>
<tr>
<td>5</td>
<td>The way consequences and rewards are managed in the organisation reinforces this process in a consistent and positive way.</td>
</tr>
<tr>
<td>6</td>
<td>There are no other management processes that conflict with the performance management system.</td>
</tr>
<tr>
<td>7</td>
<td>The whole process is transparent and can be openly challenged and defended.</td>
</tr>
<tr>
<td>8</td>
<td>The position guide clearly defines the jobs of the team leader and all team members in terms of output without any gaps or overpays.</td>
</tr>
<tr>
<td>9</td>
<td>Each team develops measurable unit targets for the current planning period that reflect their contribution to implementing the short and long term strategy of the business.</td>
</tr>
<tr>
<td>10</td>
<td>All the performance targets that are set add significant value to the business and are stretching, yet achievable.</td>
</tr>
<tr>
<td>11</td>
<td>Managers allocate all their unit targets between members themselves and their team members, appropriate to the jobs they are doing.</td>
</tr>
<tr>
<td>12</td>
<td>Managers negotiate specific, measurable and stretching performance targets to which they are both committed with each of their team numbers.</td>
</tr>
<tr>
<td>13</td>
<td>Every team member sees the target they personally accepted as contributing to their unit’s performance targets equally with other team members.</td>
</tr>
<tr>
<td>14</td>
<td>Managers and their team members accept that their rewards should reflect their achievement of the target they accepted.</td>
</tr>
<tr>
<td>15</td>
<td>Managers regularly review both unit and individual performances with those concerned and take appropriate action to ensure that targets are reached or exceeded.</td>
</tr>
<tr>
<td>16</td>
<td>Managers jointly with each of their team members, assess each other’s performance for the full period under review.</td>
</tr>
<tr>
<td>17</td>
<td>Both managers and subordinates accept and sign off the subordinate’s performance assessment as valid, balanced and fair.</td>
</tr>
<tr>
<td>18</td>
<td>Recorded performance assessment for each unit clearly distinguishes between the more effective and less effective performers.</td>
</tr>
<tr>
<td>19</td>
<td>Consequences and rewards for each individual are accepted as fair reflecting their unit’s results and their own individual performance.</td>
</tr>
</tbody>
</table>
The effectiveness of the performance management system is formally evaluated at least once a year and appropriate improvements are made for the next cycle.

2.7 Change and the PMS in the public sector

The connection between the performance management system and change (reform) in the public sector comes about because performance management is one of the key practices for service delivery and it is one of the most important reform initiatives to transform the public service (Hughes, 2012; Davies, 1999). A majority of change initiatives in the African public sector are developed from broader reform programmes of structural adjustments, capacity building initiatives and service delivery (United Nation Public Administration Network, 2012; Namibian Government, 2009; Setefane, 2009; Khoeli, 2003; Mothusi, 1996; Musingafi, 2007). Kiragu (2002, p. 2) states that reform programmes have evolved from structural adjustment programmes through capacity building programmes to service delivery types of reforms (Fig 2). PMS is developed from the service delivery reform programme category.

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**Figure 2**  Wave of Public sector reforms in Sub-Saharan Africa

(Source: Kiragu, 2002, p. 2)

2.7.1 The rise of performance management systems in the public sector

In his explanation of the ascendancy of performance management in the public service, Davies, (1999, p. 153) explained that PMS rose to prominence due to the “disuse of evaluation programmes of government efficiency and effectiveness”. According to Davies (1999) the evaluation of government performance has the following weaknesses: Firstly government evaluation reports are long, complex and only very few people read or use them. Secondly, the evaluations are more often formative rather than summative. Lastly, the information provided by evaluation reports suffers from a lack of timeliness.

Another reason for the rise of the performance management system in the public sector is the fact that public sector management is adopting private sector management practices
(Ohemeng, 2009). This has been named “New Public Management” (Hood, 1991). New public management (NPM) entails the use of techniques such as strategic and operational planning, a focus on ‘deliverables’ and results, results-based incentives and accountability, the citizen as customer and maintaining service standards (Clarke & Wood, 2001). Hughes (2012) stated that NPM is characterized by cutting red tape, shifting from systems in which people are accountable for following rules to systems in which they are accountable for achieving results; putting customers first; empowering employees to get results, and producing better government for less financial outlay. PMS is one of the private sector practices adopted into the public sector for efficiency and effectiveness.

2.7.2 Why do governments implement performance management systems

There are many reasons why governments implement performance management systems. According to De Bruijn (2002) the objectives of performance management programmes which are at the heart of government reform agendas include firstly to effect rationalization in terms of size, cost and functions. Secondly, PMS introduces more effective systems of financial accountability. Thirdly PMS ensures transparency in the operation of public institutions and lastly PMS is aimed at upgrading the skill base of the public sector; modernizing its functional principles, procedures and systems and developing a realistic remuneration policy based on performance.

The reasons for the implementation of performance management systems in African public sectors are not different. For example Dzimbiri (2008, p. 48) stated that in Botswana, the government introduced PMS, “to ensure efficient and effective service delivery and the improvement and sustainability of high productivity at all levels.” Mothusi (2008, p. 21) found that in Botswana, PMS sought to change the mind-set of government senior officers together with their subordinates to perform their responsibilities diligently in a competitive global environment. An analysis of the specific objectives in Botswana shows that they were aimed at linking development and budgeting goals, and enhancing the capacity of the Botswana public sector to deliver services effectively.

In the Lesotho public service the following were found to be the objectives for implementing the programme (Setefane, 2009). Firstly, the programme aimed at encouraging employees to participate in the planning of work. Secondly, the programme aimed at promoting harmonious supervisor-supervisee relationships through regular discussion and feedback. The third objective was to encourage a climate of continuous improvement and an on-going focus on improving skills and processes. Finally the PMS aimed at helping the organisation to design more structured and focused training programmes based on the actual needs of
the organisation and the needs of individuals in the organisation. Broadly seen these objectives suggest employee involvement, development of relationships, they address working culture issues and were used for developmental purposes.

2.8 Challenges of the implementation of reforms in the public sector

The implementation of a performance management system in the public service has been a subset of the broader reforms programme implemented in many countries. Performance management has not been a stand-alone change initiative, but it has been part and parcel of all the reforms. To this effect, the challenges experienced in the implementation of a performance management system overlap with those experienced in the broader reform context. A literature review of the challenges of implementing change show that some challenges are inherent to the public sector, others appear consistently in the public sector and others are specific to particular governments. It is also clear from the literature that the existence of challenges when implementing change cuts across governments regardless of whether a country is developed or developing.

The following paragraphs summarise some challenges in the implementation of a PMS in the public sector:

2.8.1 Lack of capacity to manage change

Wescott (1999) highlighted a lack of capacity to manage change as a problem common in Africa in terms of implementing reforms in the public sector. Several studies vindicate these findings (Manyaka & Sebola, 2012; Sebashe & Mtapuri, 2011; Morgan, Basery & Morin, 2010; Hope, 1995). Boles and Sunoo (1998) specified the capacity required to manage change as understanding the change initiative itself, planning for the change, managing the people side of change and managing the organisational side of change.

2.8.2 Lack of commitment from the top

Mills et al. (2009, p. 161) stated that there is need for top management’s commitment to change. They stated that, “not only does management generally possess the power to allocate resources to such initiatives; management often determines the level of importance or seriousness granted to the efforts.” However this is not the case in most change initiatives in the public sector.

Fryer et al. (2009) found that there was insufficient support from higher levels of management or decision makers. Similar results were found in other studies outside Africa (de Waal, 2007; Pollanen, 2005; Lawton, McKevitt & Millar, 2000). In various studies conducted in South Africa (Manyaka & Sebola, 2012; Sebashe & Mtapuri, 2011; Letsoalo,
management commitment was highlighted as one of the missing links to a successful implementation of change initiatives like performance management. Antwi, Analoui and Nana-Agyekum (2008, p. 261) called the support for reforms at the highest political and bureaucratic level ‘cosmetic’.

2.8.3 Lack of clarity of goals, objectives and roles

Van der Waldt (2006) stated that the clarity of goals and objectives both at individual and institutional level ensures the smooth execution of responsibilities. This means that a lack of this clarity of goals would affect the implementation of those responsibilities. Manyaka and Sebola (2012) pointed out that a lack of clear goals is a sign of the inability of or a lack of commitment from managers to cascade organisational goals downwards. Various researches have shown that a lack of goal clarity affects the implementation of change. For instance, a lack of clear goals was found to be one of the challenges in the implementation of the performance management system in South Africa (Manyaka & Sebola, 2012, p. 306; Sebashe & Mtapuri, 2011, p. 1326).

2.8.4 Difficulties in specifying performance measurement

According to Lemieux-Charles et al. (2003), performance measurement is a crucial element of a performance management system. Letsoalo (2007) stated that many approaches to performance management in the public sector have failed because they only captured the hard elements of performance that can be targeted and measured. This leaves out elements that are by their nature difficult to measure.

Hacker and Washington (2004) explained that the specification of measurement facilitates performance. Public sector service performance measurement is difficult to specify because of various reasons (Hughes, 2012; Fryer et al., 2009; van der Waldt, 2006). Firstly, devising good indicators is a challenge because of the multifaceted nature of the public sector and secondly quantifying the performance is a nightmare. Pollitt (2000, p. 193) added politics and a time scale for public sector tasks to the list of factors that makes it difficult to specify measurement in the public sector. The other dimension relating to the difficulty in specifying measurement in the public sector is the question of who is better placed to assess the performance of civil servants (Fryer et al., 1999).

2.8.5 Lack of involvement

Various studies on the implementation of performance management have found that employees are not involved in the planning of performance management and change initiatives (Sebashe & Mtapuri, 2011). The non-involvement of employees who are the
people to be affected by change negatively affects ownership of the programmes and leads to resistance to change (Mills et al, 2009; Strebel, 1996). According to Armenakis, et al. (1999) active employee involvement in a process of change aids the institutionalisation of change.

At a higher level, involvement refers to the involvement of institutions in the change process. For example, in Africa most public services, including that of the Malawi government, reform programmes were donor planned, funded and driven. One direct result of externally initiated and controlled programmes was that accountability was to the same financier of the program (United Nation Public Administration Network, 2012). Wescott (1999, p. 149) states that, “donors should avoid taking the lead in diagnosing problems and devising reforms strategies” as this undermines ownership and commitment to the change initiatives. Programmes driven by external stakeholders tend to prescribe what should happen without considering the local context (Tambulasi, 2010).

2.8.6 Application of ‘one size fits all’

In his paper, Tambulasi (2010) cautions against the idea of one size fitting all change efforts and situations. The nature of government business is so diverse that prescriptions may not apply equally to all line agencies and functions (Caiden, Halley & Maltais, 1995, p. 93). Antwi et al. (2008) stated that in applying reforms country specific factors should be factored in when devising change initiatives in the form of reforms.

2.8.7 Inter-stakeholders’ conflict

In his comparative research on performance management in Australia, New Zealand and the USA Radin (2003) found that inter-stakeholders’ conflict was common when implementing change in the public sector. He specified the following inter-stakeholders’ conflicts; Conflicts between politicians and professional; internal politics between factions and coalitions; pressure from special interest groups; conflict between central agencies wanting control and departments and professional bodies all wanting autonomy. In Botswana, Dzimbiri (2008) found that the inter-stakeholders’ conflict was caused by territorial boundaries created by different institutions. Fryer et al. (2009) classified inter-stakeholders’ conflicts into three categories namely; technical, system and involvement conflicts (see Table 3).
Table 3 Categories of inter-stakeholders conflict

<table>
<thead>
<tr>
<th>Category of problem</th>
<th>Description</th>
<th>Sources of conflict</th>
</tr>
</thead>
</table>
| Technical           | Hard problem related to indicator, the data, its collection, interpretation and analysis. | • Data quality  
• Validation  
• Reporting of data  
• Usage and interpretation of data |
| Systems             | Bigger picture problems | • Integrating the performance management system with existing systems  
• Short term focus  
• Ambiguity of the objectives  
• Cost of the performance management system |
| Involvement         | Soft problems | • A lack of customer involvement  
• Gaming  
• A lack of involving the whole organisation |

(Reference: Fryer et al., 2009, p. 489)

2.8.8 Political interference

Political interference in change programme implementation in the public sector is well documented. In their paper on performance management change initiatives in Canada, Caiden et al. (1995, p. 92) showed that the Canadian public service, though apolitical, was affected by events in the political environment. They state that a change of government is one way through which change programmes are affected by politics. Similar findings were reported about the USA by Pollitt (2006) and about Africa by Hope (1995). Documented evidence of political interference in change programmes includes examples in Uganda (Langseth, 1995), Malawi (Tambulasi, 2010; Wescott, 1999), South Africa (Cameron & Sewell, 2003) and Zimbabwe (Herbst, 1989).

This, however, does not mean that political involvement is not critical to the successful implementation of reforms and change interventions in public institutions. According to Minnaar (2006) politics is a part of the government function so it is inevitable to have a political influence on change initiatives in government. Fernandez and Rainey (2006, p. 171) stated that, “organisational change in the public sector depend on the degree of support from political overseers and other key external stakeholders.” Stevens and Teggemann (2004, p. 27) specified that the involvement of the Presidents was important and regarded “political commitment and ownership on the part of the president and minister responsible for public service reform as critical.”
2.8.9 A lack of supportive culture

Culture is a key ingredient to the success of any organisation (Burke & Litwin, 1992). Neely, Gregory and Platts (1995, p. 102) wrote that a “performance management system has to be consistent with the organisation’s culture.” Fryer et al. (1999, p. 480) recommend that for a performance management system to be successful, there must be a, “culture in which performance management is seen as a way of improving and identifying good performance and not a burden that is used to chastise poor performers.” In the public sector where performance culture is not as ingrained as in the private sector change to a performance management system can be a daunting task (Ives, 1995). With reference to culture as a problem in the implementation of change, Caiden et al. (1995) found that change agents lacked the know-how of culture transformation that would support the reforms in Canada. Van der Waldt (2006) attributes poor performance partly to the non-performance culture in the public sector.

2.8.10 Other challenges of implementing reforms in the public sector

In addition to the challenges discussed above, other challenges have been highlighted by different authors. The challenges are tabulated below:

Table 4 Additional challenges to the implementation of a PMS in the public sector

<table>
<thead>
<tr>
<th>Challenge</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Slow pace of implementing reforms which results in obsoleteness of the programme even before implementation is finished</td>
<td>• Langseth, 1995</td>
</tr>
<tr>
<td></td>
<td>• Caiden et al, 1999</td>
</tr>
<tr>
<td>Sequencing of the change programmes or reforms where some confusing or contradicting programme runs concurrently or programmes struggle to be allocated resources like human resources</td>
<td>• Antwi et al., 2008</td>
</tr>
<tr>
<td></td>
<td>• Morgan et al., 2010</td>
</tr>
<tr>
<td>Inadequate resources dedicated to change initiatives and programmes</td>
<td>• Manyaka &amp; Sebola, 2012</td>
</tr>
<tr>
<td></td>
<td>• Caiden et al., 1999</td>
</tr>
<tr>
<td></td>
<td>• Martinez &amp; Martineau, 2001</td>
</tr>
<tr>
<td>Rewards associated with performance management are hard to attain in the public sector</td>
<td>• Paramasur, 2010</td>
</tr>
<tr>
<td>Resistance to change</td>
<td>• Lawrence, 1969</td>
</tr>
<tr>
<td>Programme defects undetected before implementation</td>
<td>• Hayes, 1977</td>
</tr>
<tr>
<td>Difficulties in imposing new responsibilities and duties on a staff who already have a heavy workload</td>
<td>• Hayes, 1977</td>
</tr>
<tr>
<td>No reviews of the programme implementation</td>
<td>• Hacker &amp; Washington, 2004</td>
</tr>
</tbody>
</table>
2.9 PMS in the Malawian civil service

The PMS was launched in the Malawian civil service on 8 March 2008 by the Chief Secretary. The paragraphs below outline the principles, objectives, context, structural arrangement, rewards and challenges of the PMS in the Malawian civil service.

2.9.1 Objectives of the PMS in Malawi

The goals of the PMS in Malawi fall under a broader goal of facilitating the provision of services to the public. According to the PMS policy handbook in Malawi (Malawi Government, 2008a), provision of services would be enhanced if the performance of civil servants is improved. In addition to the broader objectives of enhancing quality service provision, the policy handbook for the PMS specifies the following four objectives: The PMS was aimed at providing management with a system which could identify and monitor the efficiency and effectiveness of the Ministry/Departments. Secondly, the PMS aimed at identifying and monitoring the extent to which objectives were being achieved and to provide a firm foundation for continuously developing the skills and competencies of employees. Thirdly, the programmes aimed at improving the work performance and productivity of civil servants, and the last objective was to address the shortcomings of the old closed performance appraisal system.

2.9.2 The Context of the PMS in Malawi

The structure of mid- to long term goals in Malawi consists of the Vision 2020, the Malawi Growth and Development Strategy (MGDS) and the Strategic goals for ministries. All three these are linked. Lower level programmes are made to support upper levels goals. The PMS follows directly from the strategic goals. The three mid- to long term goals are explained as follows:

At the pinnacle is a long-term vision for the country which is called Vision 2020. The Malawian Vision 2020 states that, “by the year 2020, Malawi as a God-fearing nation will be secure, democratically mature, environmentally sustainable, self-reliant with equal opportunities for and active participation by all, having social services, vibrant cultural and religious values and being a technologically driven middle-income economy (National Economic Council, 1998). The office of the President and Cabinet is the overseer of the implementation of Vision 2020.

One level down the hierarchy, there is a mid-term overarching operational plan that forms the pillars to the attainment of the long term Vision 2020. This is the Malawi Growth and
Development Strategy (MGDS) (Malawi Government, 2009a). On the third level are five-year strategic plans which are developed by each government ministry or department. The overseer of the strategic plan formulation, consultation and facilitation in Malawi is the Department of Human Resource Management and Development (DHRMD). From the strategic plans each department develops management, functional and work plans from which employees’ performance is measured.

2.9.3 Preceding performance systems in the Malawi public sector

The concept of performance management in the Malawian public service is not new. Before the PMS the government implemented other performance programmes. The following performance assessments were the programmes that preceded the implementation of the PMS in the Malawian civil service (Tambulasi, 2010; Durevall, 2001; Malawi Government, 2008a):

2.9.3.1 The Confidential closed appraisal system (1964-2008)

The confidential, closed appraisal system had been practiced in the Malawi public service since independence in 1964. Under this system the performance of confirmed employees (those who had undergone a successful probation period as per set rules) was not openly appraised by supervisors. Employees were not rewarded based on the results of the appraisal but rather based on long term service (Tambulasi, 2010, p. 69).

The Civil Service Commission (CSC) which reports to the Department of Human Resource Management and Development (DHRMD) was mandated to keep a record of all the completed employee confidential forms. According to Tambulasi (2010) the closed appraisal system was not as successful as planned. Based on the findings of Nachamba-Kuchande (2008) practically regarded, the performance of civil servants was not assessed.

2.9.3.2 The Performance contract system

In 1994, the Malawi government embarked on a drive to improve the performance of the civil service through the introduction of the contract performance system (Tambulasi, 2010). The Economic Commission for Africa (Tambulasi, 2010, p. 70) defined performance contracts as “contracts which specify standards of performance or quantifiable targets which a government requires public officials or managers of public agencies or ministries to meet over a period of time.”

The performance factors which were being appraised using the performance contract system were: leadership, managing people, managing financial resources, strategic thinking
and planning and the delivery of results. The performance contract system was applied to civil servants in grades A to E. The civil servants in Grade A to E made up 0.4% of the Malawian civil service employees (Tambulasi, 2010, p. 70). The remainder of the civil servants were appraised using the confidential closed system. Table 5 outlines the grading system applied in the Malawi civil service and the related job titles. The two performance systems created a two tier system of performance evaluation in the Malawian civil service. The performance contract system was not compulsory. According to Tambulasi (2010, p. 70) three quarters of the targeted officers joined the system but the reason for joining voluntarily was financial incentives attached to the system and not quality of the performance of the person who joined. Overall the performance contract system was not a success (Tambulasi, 2010).

Table 5 Malawian civil service grades

<table>
<thead>
<tr>
<th>GRADE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grade A</td>
<td>Head of Public Service</td>
</tr>
<tr>
<td>Grade B</td>
<td>Deputy Head of the Public Service</td>
</tr>
<tr>
<td>Grade C</td>
<td>Head of Ministry</td>
</tr>
<tr>
<td>Grade D</td>
<td>Head of Department</td>
</tr>
<tr>
<td>Grade E</td>
<td>Deputy Head of Department</td>
</tr>
<tr>
<td>Grade F</td>
<td>Assistant Head of Department</td>
</tr>
<tr>
<td>Grade G</td>
<td>Principal Officer</td>
</tr>
<tr>
<td>Grade H</td>
<td>Senior Officer</td>
</tr>
<tr>
<td>Grade I</td>
<td>Professional Officer/Chief Supervisor</td>
</tr>
<tr>
<td>Grade J</td>
<td>Senior Supervisor</td>
</tr>
<tr>
<td>Grade K</td>
<td>Supervisor</td>
</tr>
<tr>
<td>Grade L</td>
<td>Senior Clerical Officer/Technical Assistant</td>
</tr>
<tr>
<td>Grade M</td>
<td>Clerical/Technical Assistant and Tradesmen</td>
</tr>
<tr>
<td>Grade N</td>
<td>Senior Subordinate &amp; Industrial Class</td>
</tr>
<tr>
<td>Grade O</td>
<td>Subordinate Class</td>
</tr>
<tr>
<td>Grade P</td>
<td>Subordinate Class</td>
</tr>
<tr>
<td>Grade Q</td>
<td>Industrial Class</td>
</tr>
</tbody>
</table>

(Reference: Malawi Government, 2013a)

2.9.4 Rewards and Sanctions in the PMS under study

The PMS in Malawian civil service specifies rewards and sanctions that are applied on employees for effective or non effective performance respectively. The confidential closed appraisal system practiced in the Malawian civil service prior to 2008 did not have clearly outlined rewards and sanctions. The following rewards and sanctions were outlined in the PMS policy handbook for specific performance in the Malawian civil service.
Table 6 Rewards and sanctions in the Malawi PMS

<table>
<thead>
<tr>
<th>Score</th>
<th>Performance description</th>
<th>Rewards</th>
<th>Sanctions</th>
</tr>
</thead>
</table>
| 85-100 | Exceptional Performance | • Opportunities for promotion  
• Special assignments  
• Letter of commendation  
• Special awards | None |
| 65-84  | High performance        | • Opportunities for promotion  
• Special assignments  
• Letter of commendation  
• Special awards | None |
| 50-64  | Acceptable Performance  | • Training and development opportunities  
• Manager/supervisor support | None |
| 25-49  | Inconsistent performance| • Manager/supervisor support for new employees  
• Induction programmes | • Warning letter in cases where there is little or no improvement in performance  
• Non-renewal of contract in the case of contract employees  
• Termination of probationary appointment |

Reference: Malawi Government (2008a, p. 16)

2.9.5 The Institutional framework and stakeholders’ role

Various stakeholders are involved in the implementation of PMS in the Malawian civil service. The DHRMD coordinates the roles of both internal and external stakeholders. The institutional framework and stakeholders’ roles are outlined in table 7 below (Malawi Government, 2008a):

Table 7 Stakeholders’ role

<table>
<thead>
<tr>
<th>Institution</th>
<th>Role</th>
<th>Source (section of the PMS Policy handbook)</th>
</tr>
</thead>
</table>
| OPC and the Chief Secretary             | Facilitating the formulation of strategic plans and linking with Principal Secretaries on matters concerning:  
• development of Ministry/departments’ work plans,  
• training of Principal Secretaries on PMS,  
• submission of PMS reports, development of employees with exceptional potential and  
• reward on performance. | Section III (1)(d)  
Section III (2)(d) |

OPC: Public Sector Reform Unit  
Project Implementation, Monitoring and Evaluation Department (PIMED)
<table>
<thead>
<tr>
<th>Principal Secretaries or Head of departments</th>
<th>Support supervisors on:</th>
<th>Sections II (2) and III (2)(c)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Their training on PMS</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Submission of PMS reports</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Development of employees with exceptional potential</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Managing employees struggling with performance</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• PMS dispute decision</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Review of PMS at Ministry level</td>
<td></td>
</tr>
</tbody>
</table>

| DHRMD                                      | • Monitoring the whole PMS. It is the overseer of PMS | Section I (4)                  |
| DHRMD PMS unit                             |                                                      |                                |

| CSC                                        | • Use of the appraisal rating for confirmation, promotion decisions and discipline decisions | Section III (1)(d) |
|                                            | • Record keeping                                   |                                |

| Supervisors                                | • To effectively implement PMS                     | Section III (22)(b) |
|                                            | • Effective planning, on-going coaching, developing employees and completing performance review in a timely manner | Supervisor’s guide to performance management |

| HR units                                   | • PMS record management at respective departments  | Section III (2)(e) |
|                                            | • Facilitating performance appraisal training to all employees |                                |
|                                            | • Facilitating all PMS related activities at respective departments. |                                |

| Employees                                   | • Review own job description                       | Section III (2)(a) |
|                                             | • Monitor own performance                          | Employee guide to performance management |
|                                             | • Working with supervisor on performance goals, progress and shortfall |                                |
|                                             | • Taking active role in appraisal discussion       |                                |

| Other stakeholders                          | • Financial support                                | Acknowledgement |
| Canadian International Development Agency (CIDA), the Canadian civil Service | • expertise                                    |                                |

### 2.9.6 The Challenges in implementing preceding performance systems in Malawi

The performance contract programme was met with scepticism by those targeted (Tambulasi, 2010). The evidence according to Durevall (2001, p. 13) was that the volunteering was done mostly for those close to retirement, since they had little to lose, while others hesitated for fear of unfair performance appraisals and anxiety regarding the sustainability of the system. Other reasons for the failure of the system were outlined by Tambulasi (2010, p. 76) and Durevall (2001, p. 13), as the following:
Table 8 Challenges in implementing performance contract system in Malawi

<table>
<thead>
<tr>
<th>Challenges in implementing performance contract programmes in Malawi</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The programme was adopted too quickly without regard for the specific social, cultural and economic conditions in which it would operate. This challenge links to the one-size-fits-all challenges discussed in 2.8.6. The Malawian situation is different from the developed countries from where the system was adopted.</td>
</tr>
<tr>
<td>2. There was not much background on and required preparation for the programme. These include required structures and institutions for the effective implementation of the scheme.</td>
</tr>
<tr>
<td>3. The performance contracts did not enjoy institutional support. Tambulasi (2010) stated that many employees did not want to be evaluated and public managers hesitated for fear of unfair performance appraisals.</td>
</tr>
<tr>
<td>4. There was a lack of capacity in terms of managerial expertise and required qualifications and skills to meet the required performance targets.</td>
</tr>
<tr>
<td>5. Managers did not have sufficient control over their organisations to actually be held responsible for the results of the programme.</td>
</tr>
<tr>
<td>6. There were problems with the sustainability of the program. Monetary compensation for the targeted top officers constituted 6.8% of the wage bill but the officers represented only 0.4% of the entire service. Because of this, the programme could not be extended to middle managers and other lower ranked grades.</td>
</tr>
<tr>
<td>7. The programme was voluntary in nature. This entailed double standards as those who opted for the programme would have their performance assessed while those who did not opt for the programme would not be assessed.</td>
</tr>
<tr>
<td>8. There were reported incidences of political interference and/or fear of political interference/abuse.</td>
</tr>
<tr>
<td>9. The programme was championed by The World Bank and it had little involvement from the implementers and beneficiaries of the programmes in Malawi.</td>
</tr>
</tbody>
</table>

2.10 Using change models as diagnostic tools

The sections above gave details of change, change management and the implementation of change in the public sector. This discussion was narrowed down to the PMS in Malawi. In order to assess the implementation of PMS in Malawi, the Burke-Litwin model will be used. Preceding the discussion of the Burke-Litwin model will be a brief discussion of the usefulness of models in organisational diagnosis.

There are several models of change management (Van Tonder, 2004; Nakhoda, Alidousti & Fadaie, 2011). In the present research, the Burke-Litwin model will be used as a framework for the assessment of the implementation of the performance management system in the Malawian civil service. Using models for assessment is not the only way to evaluate change...
implementation. Other authors (Hacker & Washington, 2004) have used tailored tools to evaluate the implementation of large scale change such as the performance management system.

Using models to evaluate programme implementation has advantages. Firstly, Hayes (2007, p. 107) stated that using models to diagnose elements of an organisation simplifies understanding. Burke (1994) stated that they act as shorthand to a rather complex reality. Secondly, Burke (1994) explained that organisational models help to categorize data about an organisation. Thirdly, the interpretation of data centres on the variables in the model. Therefore the use of models clarifies the complex situation and provides a framework for data analysis.

The usefulness of using models to diagnose an organisation is captured in Di Pofi’s (2002, p. 156) statement that, “using models strengthens the diagnosis process by promoting comprehensive assessment and by reducing the likelihood of diagnostic bias.” Organisational diagnosis is critical in change management because it assists in choosing appropriate interventions and contributing to readiness to change within an organisation (McFillen, O’Neil, Balzer & Varney, 2013). Table 9 is a list of some change management models in that are used in practice.

<table>
<thead>
<tr>
<th>Table 9 Change management models</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of model</td>
</tr>
<tr>
<td>1 Three step model</td>
</tr>
<tr>
<td>2 Action research model</td>
</tr>
<tr>
<td>3 Leavitt model of change</td>
</tr>
<tr>
<td>4 Impact model of planning change</td>
</tr>
<tr>
<td>5 Four phased model (An integrative planning model)</td>
</tr>
<tr>
<td>6 Lewin's three step expanded model</td>
</tr>
<tr>
<td>7 Planned process of organisational change</td>
</tr>
<tr>
<td>8 Pettigrew model</td>
</tr>
<tr>
<td>9 Kanter's ten commandments for executing change</td>
</tr>
<tr>
<td>10 Burke and Litwin's causal model of organisational performance and change</td>
</tr>
<tr>
<td>11 Kotter's change model</td>
</tr>
<tr>
<td>12 Model of integrated strategic transformation</td>
</tr>
<tr>
<td>13 General model of planned change</td>
</tr>
<tr>
<td>14 Change management model</td>
</tr>
<tr>
<td>15 Change model</td>
</tr>
<tr>
<td>16 A new model for managing change: the holistic view</td>
</tr>
<tr>
<td>17 Punctuated equilibrium model</td>
</tr>
<tr>
<td>18 Continuous transformation model</td>
</tr>
<tr>
<td>19 Schematic change model</td>
</tr>
<tr>
<td>20 Seven step model</td>
</tr>
</tbody>
</table>

(Reference: Nakhoda, et al. (2011, p. 193))
Out of the change management models listed in table 9, the Burke-Litwin model was chosen by the researcher to assess the implementation of the PMS in Malawi. The justifications for the choice are discussed in section 2.11.2 below.

2.11 Burke-Litwin model

2.11.1 Historical background

The Burke-Litwin Model was initially developed by Litwin and others (Litwin & Stringer, 1968) and refined by Burke (Burke & Litwin, 1992, p. 527). It was developed with contributions from a number of other change management and organisational diagnosis models. Table 10 below is a summary of the preceding models from which the Burke-Litwin model was developed and refined.

<table>
<thead>
<tr>
<th>Model</th>
<th>Variables</th>
<th>Variable Interdependency</th>
<th>Major Premise(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Force field analysis (Lewin, 1951)</td>
<td>Driving forces &amp; restraining forces</td>
<td>Driving and restraining forces occur simultaneously</td>
<td>Disequilibrium occurs during change but equilibrium is re-established after change</td>
</tr>
<tr>
<td>Organisational systems model (Leavitt, 1965)</td>
<td>Task, structure, technological&amp; human variables</td>
<td>The four variables are interdependent (a change in one affects the others)</td>
<td>Change in the variables is undertaken to affect the task variable</td>
</tr>
<tr>
<td>System analysis (Likert, 1967)</td>
<td>Motivation, communication, interaction, decision-making, goal setting, control &amp; performance</td>
<td>The levels of variables are measured independently</td>
<td>Four different types of management systems are identified based on the seven variables: participative, consultative, benevolent-authoritative, &amp; exploitative-authoritative</td>
</tr>
<tr>
<td>Weisbord’s Six-box model (Weisbord, 1976)</td>
<td>Purposes, structure, relationships, leadership, rewards, &amp; helpful mechanisms</td>
<td>The interconnections between the variables are not explicit</td>
<td>The larger the gap between the formal and informal systems within each variable, the less effective the organisation</td>
</tr>
<tr>
<td>Congruence model for organisation analysis (Nadler &amp;Tushman, 1977) Katz &amp; Kahn, 1978)</td>
<td>Inputs: environment, resources, history &amp;strategy: Throughputs: task, individual, formal organisational arrangements &amp; informal organisation; Outputs: individual, group &amp; system</td>
<td>Organisations are dynamic; interactions occur at the individual, group and systems levels across the internal (throughput) variables</td>
<td>Assumes; open systems theory, formal and informal systems, the fit or congruence between the internal variables</td>
</tr>
<tr>
<td>Framework</td>
<td>Inputs</td>
<td>Throughputs</td>
<td>Outputs</td>
</tr>
<tr>
<td>-----------</td>
<td>--------</td>
<td>-------------</td>
<td>---------</td>
</tr>
<tr>
<td>McKinsey 7S framework (Pascale &amp; Athos, 1981; Peters &amp; Waterman, 1982)</td>
<td>Variables are interdependent</td>
<td>Variables must all change to become congruent as a system</td>
<td></td>
</tr>
<tr>
<td>Tichy’s Technical, Political &amp; Cultural (TPC) framework (Tichy, 1982)</td>
<td>Inputs: environment-history, resources; Throughputs: mission/strategy, tasks, prescribed networks, people, organisational processes &amp; emergent networks; Outputs: performance &amp; impact on people</td>
<td>There is a reciprocal relationship among the variables. All variables are interrelated, although some relationships are stronger and some are weaker</td>
<td>All variables are analysed from a technical, political, cultural perspective</td>
</tr>
<tr>
<td>High-performance programming (Nelson &amp; Burns, 1984)</td>
<td>Time frame, focus, planning, change mode, management, structure, perspective, motivation, development, communication &amp; leadership</td>
<td>The levels of variables are measured independently</td>
<td>Four different levels of organisation performance are identified based on the eleven variables: high-performing, proactive, responsive, reactive; these are associated with empowering, purposing, coaching, and enforcing leadership behaviours respectively</td>
</tr>
<tr>
<td>Diagnosing individual and group behaviour (Harrison, 1987)</td>
<td>Inputs: resources, human resources; Throughputs at the organisation, group, and individual levels; Outputs: group performance, individual performance, quality of work life outcomes</td>
<td>Main lines of influence and feedback loops; all relationships are directional with the exception of one reciprocal relationship between two variables</td>
<td>Assumes: open systems theory; emphasis on three levels of performance, including organisational performance and quality of work life outcomes</td>
</tr>
</tbody>
</table>

(Reference, Falletta, 2005, p. 5)

### 2.11.2 Advantages of the Burke-Litwin model

Several researchers have recommended the use of the Burke-Litwin model for various reasons. According to Burke and Litwin (1992) and Armenakis et al. (1999), the Burke-Litwin model is diagnostic and advances a comprehensive assessment of the change process. Hayes (2007, p. 113) explained that a model is diagnostic if it involves, “a process of research into the functioning of an organisation that leads to recommendations for improvement.” Secondly the Burke-Litwin model is complex (Falletta, 2005) therefore it reflects the complex nature of change management in the public sector (Lutrin & Shani, 1998). The complexity and comprehensive nature of the model has advantages over traditional methods of assessing the implementation of change programmes. According to Kimberly and Cook (2007), researchers have traditionally used structure, culture or climate,
internal processes and leadership to assess the implementation of change. The Burke-Litwin model goes beyond these four elements.

The Burke-Litwin model distinguishes between organisational culture and organisational climate (Falletta, 2005). This provides an opportunity to analyse organisational culture and work unit climate separately. Fourthly, it distinguishes between transformational and transactional dynamics (Burke & Litwin, 1992). These two broad categories are the basis of analysis in this research.

The model specifies the nature and direction of the influence of organisational variables through the links between the variables (Hayes, 2007; Falletta, 2005). According to Martins and Coetzee (2008), the empirical evidence of the links among the model's variables is of additional value to the outcomes of an organisational diagnostic process. Lastly, the researcher considers the development of the Burke-Litwin model from other change models as a strength because it improves on shortfalls of those change management models.

2.11.3 Details of the Burke-Litwin model

The Burke-Litwin model shows twelve organisational variables (see Figure 3) which are classified into transformational and transactional dimensions. The transformational and transaction dimensions are discussed in the following sections.

![Figure 3 The Burke-Litwin Model](source: Burke-Litwin, 1992, p. 528)
2.11.3.1 Transformational variables

Transformational variables are organisational variables in which alteration is usually caused by interactions with the environmental forces (both within and without) and therefore require entirely new behaviour sets on the part of organisational members (Burke & Litwin, 1992, p. 530; Burke, 1994, p. 75). The transformational variables are the external environment, mission and strategy, leadership and organisational culture (see Fig. 4).

![Figure 4 Transformational variables](Source: Burke & Litwin, 1992, p. 530)

**External environment** refers to any outside condition or situation that influences the performance of the organisation, including marketplaces, world financial conditions and political/governmental circumstances (Falletta, 2005, p. 28; Di Pofi, 2002, p. 161; Burke, 1994, p. 74). The influence of external factors determines the nature of the change process in terms of the size of the change, the pace of the change and the implementation strategies. Activities in the external environment can give rise to the need to change. Performance management is one of the change interventions that can be employed as a result of the influence of external factors in organisational affairs.

**Mission and strategy.** An organisation’s mission refers to what top managers believe and have declared as the organisation’s mission and strategy, as well as what employees believe is the central purpose of the organisation; while strategy is about the means through which the organisation intends to achieve its mission over time (Falletta, 2005, p. 28; Di Pofi, 2002, p. 161).

**Leadership** is an influential relationship among leaders and followers who intends real changes that reflect their mutual purposes (Rost, 1991, p. 102). It concerns all executive behaviours that provide direction and encourages others to take necessary action. It includes followers’ perceptions of executive practices and values and leaders’ role modelling
Leadership roles in change management include creating a sense of urgency, developing enabling structures, exercising honesty and trust, leading change reinforcement and institutionalisation (Appelbaum, St-Piere & Glavas, 1998, p. 294) and connecting with the minds and hearts of the people in the organisation (Burns, 1978). Therefore, leadership is critical to the successful implementation of change.

**Organisational culture** is a pattern of shared basic assumptions that a group has learned as it solved its problems of external adaptation and internal integration that has worked well enough to be considered valid and therefore to be taught to new members as the correct way to perceive, think and feel in relation to those problems (Schein, 1992, p. 12). Falletta (2005, p. 28) defined organisational culture as the collection of overt and covert norms, values, and beliefs that guide organisational behaviour and that have been strongly influenced by history, customs, and practice. Culture provides a system of meaning to the members of an organisation (Burke & Litwin, 1992). It defines the values, beliefs and practices that enable employees to perform.

### 2.11.3.2 Transactional variables

According to Burke and Litwin (1992, p. 530), transactional variables are, “organisational variables whose alteration occurs primarily via relatively short term reciprocity among people and groups in an organisation.” The transactional variables in the Burke-Litwin model are; structure, management practices, systems, work unit climate, task and individual skills, individual needs and values, motivation, and individual and organisational performance. The transaction variables are explained below and depicted in Fig. 5.

![Transactional variables](image-url)  
**Figure 5** Transactional variables  
(Source: Burke & Litwin, 1992, p. 531)
**Structure** in this model refers to the arrangement of functions and people into specific areas and levels of responsibility, decision-making authority, communication and relationships to implement the organisation's mission and strategy (Falletta, 2005, p. 28; Di Pofi, 2002, p. 161; Burke, 1994, p. 75). Structures provide a means to achieve success in an organisation (Appelbaum, et al., 1998).

**Management practices** represent what managers do in the normal course of events with the human and material resources at their disposal to carry out the organisation’s strategy (Falletta, 2005, p. 28; Burke, 1994, p.75; Burke & Litwin, 1992, p. 532). It is about the management functions of planning, coordinating, directing, controlling, monitoring and the evaluation to achieve the organisation’s goals. Appelbaum et al. (1998) described management practices as new job designs, interconnections between people and the rules and principles that govern people.

**Systems** are standardized policies and mechanisms that are designed to facilitate work and that primarily manifest themselves in the organisation’s reward and control systems such as performance appraisal, management information systems, budget development and human resource allocation (Falletta, 2005, p. 28; Burke, 1994, p.75). Kanter et al. (1992) attest to the importance of system in change when they stated that, “the success of organisational change...depends on the extent to which every aspect of the system... supports the new definition of what the organisation is to be and how it is to operate.”

**Work unit climate** is the collective current impressions, expectations and feelings of the members of local work units, which in turn affect members’ relations with supervisors, with one another and with other units (Falletta, 2005, p. 28; Burke, 1994, p. 75). The various organisational variables all influence the work unit climate (Burke & Litwin, 1992; Moran & Volkwein, 1992; DeCotiis & Koys, 1980). According to Moran and Volkwein (1992) formulation of the work unit climate is categorised into structural, perceptual and interactive elements. The structure of the work unit, the interactions that characterise the work unit and the perception that employees develop about their work unit all define the work unit climate. Burke and Litwin (1992) separated work unit climate from organisational culture. These two had been treated as one by previous researchers.

**Skills and job match** refers to the behaviour required for task effectiveness, including specific skills and knowledge required to accomplish the work (Falletta, 2005, p. 28; Burke, 1994, p. 75). These are the specific skills and abilities that people need in order to do their work and how the skills match with their jobs (Di Pofi, 2002 p. 161).

**Motivation** is the, “aroused behavioural tendencies to move toward goals, take needed action, and persist until satisfaction is attained. It is about the energy generated by the
combined desires for achievement, power, affection, discovery, and other important human values,” (Falletta, 2005, p. 28; Burke, 1994, p. 75). People are motivated to achieve both individual and organisational goals. Motivation is a diverse subject. What motivates one individual could be different from what motivates another; the level, the type; the timing and the nature of the motivators need to be given serious thought when considering motivation.

**Individual needs and values** are specific psychological factors that provide desire and worth for individual actions or thoughts (Falletta, 2005, p. 28; Burke, 1994, p. 75). Di Pofi (2002, p. 161) describes individual needs and values as what people believe to be important, good or bad and what should guide daily behaviours in the organisation.

**Performance** means the outcomes or results, with indicators of effort and achievement including productivity, customer or staff satisfaction, profit and service quality (Falletta, 2005, p. 28; Burke, 1994, p. 75). In this research performance variable refers to the PMS performance as planned.

### 2.11.3.3 Interconnections of the Burke-Litwin model variables

The twelve organisational variables in the Burke-Litwin model are connected by the influence that each has over the other. According to Falletta (2005) the influences among the interconnections is that of cause and effect. The influence that each of the variables has over the other have been empirically researched before and after the development of the Burke-Litwin model. The links depict the reality that, “the impact of factors in an organisation such as structure, team cohesiveness, leadership, strategy or culture must not be seen in isolation from other factors” (Lok & Crawford, 1991, p. 108). Table 11 is a summary of some empirical research conducted on the links between the various variables of the model and their key findings. The findings show the cause-effect links among the variable. The findings are presented by variables in the Burke-Litwin model starting with transformational followed by the transactional variables.

<table>
<thead>
<tr>
<th>Variables in B-L Model</th>
<th>Linked to</th>
<th>Empirical Studies</th>
<th>Findings</th>
</tr>
</thead>
<tbody>
<tr>
<td>External environment</td>
<td>Culture</td>
<td>Gordon, 1985</td>
<td>Organisation affected by the external environment develop cultural patterns to meet environmental demands</td>
</tr>
<tr>
<td>External environment</td>
<td>Strategy</td>
<td>Keats &amp; Hitt, 1988</td>
<td>Higher levels of environmental instability were associated with lower levels of divisionalisation and diversification</td>
</tr>
<tr>
<td>Mission and strategy</td>
<td>Organisational performance</td>
<td>Hopkins &amp; Hopkins, 1997</td>
<td>There is a reciprocal relationship between strategic planning intensity and organisational performance</td>
</tr>
<tr>
<td>----------------------</td>
<td>---------------------------</td>
<td>--------------------------</td>
<td>--------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Strategy</td>
<td>Structure</td>
<td>Keats &amp; Hitt, 1988</td>
<td>Strategy follows structure</td>
</tr>
<tr>
<td>Leadership</td>
<td>Culture</td>
<td>Block, 2003</td>
<td>Leadership style of immediate supervisors (than any other level of leadership) influence employees' perception of organisational culture</td>
</tr>
<tr>
<td>Leadership</td>
<td>Culture</td>
<td>Ogbonna &amp; Harris, 2000</td>
<td>The impact of leadership on firm's performance is mediated by organisational culture</td>
</tr>
<tr>
<td>Leadership</td>
<td>Culture</td>
<td>Hennessey, 1998</td>
<td>Leadership creates an environment in which fundamental organisational change is more or less likely to occur. A Package of leaders' competencies is correlated with the degree cultural change</td>
</tr>
<tr>
<td>Leadership</td>
<td>Performance</td>
<td>Smith, Carson &amp; Alexander, 1984</td>
<td>Leadership impacts: membership growth, property development and membership participation. Significant finding was that the link between leadership and performance does not only apply to corporate entities</td>
</tr>
<tr>
<td>Leadership</td>
<td>Culture</td>
<td>Fleishman, 1953</td>
<td>Leadership attitude and behaviour do not operate in isolation they are affected by the social environment of the organization in which leaders work</td>
</tr>
<tr>
<td>Leadership</td>
<td>Culture</td>
<td>Schein, 2010</td>
<td>Leadership and organisational culture are fundamentally intertwined. Leaders are main architect of culture and once culture are formed they influence what kind of leadership I possible.. If elements of culture become dysfunctional it is the leaders' responsibility to do something to speed up culture change</td>
</tr>
<tr>
<td>Culture</td>
<td>Strategies and structure</td>
<td>Kerr &amp; Slocum, 1987</td>
<td>Significant strategic and structural realignment cannot occur if it is not supported by the organisation’s values and beliefs (culture)</td>
</tr>
<tr>
<td>Culture</td>
<td>Performance</td>
<td>Denison, 1990</td>
<td>Culture impact organisational performance. Four concepts that describe the impact that organizational culture can have on effective performance are; Involvement of organisational members, adaptability to respond to new circumstances while still retaining character, a consistent or strong, clearly defined culture and a clear mission providing direction and meaning</td>
</tr>
<tr>
<td>Structure</td>
<td>Climate</td>
<td>Joyce &amp; Slocum, 1984</td>
<td>Climate represents a learned environment therefore climate differs among work units and that climate is associated with structure</td>
</tr>
<tr>
<td>Structure</td>
<td>Climate</td>
<td>Schneider &amp; Snyder, 1975</td>
<td>Organisational structure affects perception of organisation climate</td>
</tr>
</tbody>
</table>

36
than individual feelings of job satisfaction. Employees in the same job categories (those experiencing the same organisational structure) agree in their perceptions of the climate of the organisation.

<table>
<thead>
<tr>
<th>Management practices</th>
<th>Climate</th>
<th>Schneider, 1980</th>
<th>Employees’ perception of climate is positively correlated with customer’s perception of climate. Management practices which emphasize a strong service orientation create a positive overall climate for employees as well as customers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Climate</td>
<td>Employee outcome and service quality</td>
<td>Yoon, Beatty &amp; Suh, 2001</td>
<td>Workplace climate contribute to the job satisfaction and work effort and indirectly impacts on customer’s perception of employees service quality</td>
</tr>
<tr>
<td>Climate</td>
<td>Motivation-performance</td>
<td>Hunt &amp; Ivergard, 2007</td>
<td>Workplace climate provide feedback mechanism that perceived as open, fair and that contribute to individual appraisal and office performance</td>
</tr>
<tr>
<td>Climate</td>
<td>Motivation</td>
<td>Rosenberg &amp; Rosenstein, 1980</td>
<td>Worker participation (Work unit climate) influences performance. Work unit climate is more influential to performance than monetary rewards</td>
</tr>
<tr>
<td>Skills/job match</td>
<td>Performance</td>
<td>Wade &amp; Parent, 2001</td>
<td>Deficiency in both technical and organisational skills leads to lower job performance</td>
</tr>
<tr>
<td>Job Match</td>
<td>Performance</td>
<td>Hunter &amp; Schmidt, 1982</td>
<td>The manner in which individuals are fitted to their respective jobs has a significant impact on organisational performance</td>
</tr>
<tr>
<td>Motivation</td>
<td>Performance</td>
<td>Huarng, Horng &amp; Chen, 1999</td>
<td>Process and motivation are related to performance. If a corporation has a strong motivation to implement a programme beyond the mere purpose of the programme itself the corporation will be able to reap performance improvement in shorter periods</td>
</tr>
<tr>
<td>Individual needs &amp; Values</td>
<td>Motivation – Performance</td>
<td>Oldham &amp; Hackman, 1981</td>
<td>Job modification framework better explains the relationship between organisational structure and employees’ reaction (motivation and satisfaction) than does attraction-selection framework. Individuals have a need for growth and development on the job and should be motivated by job enrichment interventions</td>
</tr>
<tr>
<td>Motivation</td>
<td>Performance</td>
<td>Jordan, 1986</td>
<td>Reward systems of an organisation affect employee motivation. Monetary rewards which are contingent upon performance decreases employees’ intrinsic motivation</td>
</tr>
</tbody>
</table>

(Sources: Falleta, 2005, p. 32; Burke & Litwin, 1992, p. 539)
2.11.4 Empirical use of the Burke-Litwin model

The Burke-Litwin model has been used in various research projects for various purposes. Below are some of the ways in which the model has been used for research:

Firstly, Martins and Coetzee (2008) used the Burke-Litwin model as a framework for assessing organisational effectiveness. In their research, they used both qualitative and quantitative methods. A purposive sample selection method was used to identify 158 subjects in a population of 535 employees of a hotel representing 29.5% response rate. Interviews (for 11 top executives in the sample) and focus group discussions (for 147 employees purposively selected on functional basis) were used to obtain information about organisational effectiveness. In addition to the findings, Martins and Coetzee's (2008) research is significant because it showed the use of the model in assessing organisational effectiveness. The research showed that the model can be used for other purposes, apart from diagnosing an organisation for change.

Secondly, in Siegal et al. (1996) a ‘managing change questionnaire’ was used to assess management of change. The questionnaire items were developed from the twelve organisational variables of the Burke-Litwin model. In Siegal et al. (1996) research, a purposively selected sample of 1840 managers was used. The population comprised of managers from 12 organisations. The criteria for sample selection included; functions, industry, organisations and country. The results of the research which was between 1991 to 1996, was the development of an integrated model for understanding the nature, the process, the evaluation of change, personal and organisation issues in change.

Thirdly, Di Pofi, (2002) used the model in his research on integrating qualitative and quantitative methodologies of research in change management. Di Pofi’s (2002) research used purposive sampling to generate a sample of 193 from a population of 504 employees. The research’s response rate was 37%. One significant result from the Di Pofi (2002, p. 167) research was the exposure of a hidden communication variable embedded in the Burke-Litwin model. The role of communication in implementing change was also found by Van Tonder (2004) and Appelbaum and Wohl (2000).

Fourthly, Burke (1994, p. 53) outlined the application of the model in British Airways to, “provide a framework for executives and managers to understand the massive change they were attempting to manage.” The model in the British Airways example was used as a diagnostic tool. A significant finding of the British Airways application was that it exposed one
of the weaknesses of the model. According to Burke (1994, p. 82) the Burke-Litwin model does not recognise an organisation’s technical strength and core competencies as a factor for successful change implementation. The empirical use of the model has therefore benefited from effectively assessing organisations’ change process as well as improved the diagnostic nature of the model by exposing its weaknesses.

2.12 Research questions

From the literature above, the present research uses the Burke and Litwin model as a framework for assessing the implementation of the Performance Management System in the Malawian civil service. The research questions below have been formulated to guide the research. The two broad categories of transformation and transaction variables form the basis on which the research questions have been formulated. The present research will attempt to answer the following questions:

Question 1:

_To what extent were the transformational variables of the Burke-Litwin model supportive of the implementation of the performance management system in the Malawian civil service?_

Question 2:

_To what extent were the transactional components of the Burke-Litwin model supportive of the implementation of the performance management system in the Malawian civil service?_

Question 3:

_What were the challenges encountered in the implementation of the performance management system in the Malawian civil service?_

2.13 Chapter summary

This chapter has outlined the literature review that focused on three major areas of change and change management, performance management and the Burke-Litwin model. Under change management, the definitions of change and change management as well as the fundamental nature of change were discussed. A summary of normative ways in which to successfully implement change and the challenges inherent in the implementation of change were discussed. The focus was on the implementation of change (reforms) in the public sector. Finally, chapter 2 outlined the details of the Burke-Litwin model.
CHAPTER 3: RESEARCH DESIGN

3.1 Introduction

The research design of the present research is outlined in this chapter. It specifies the general approach used in the research, the population, sample selection and description, measuring instruments, data collection methods, data analysis and limitations of the study.

3.2 General approach

The approach in this research is an integrated one. It uses both the qualitative and quantitative methods to obtain and analyse the data. According to Creswell, Plano Clark, Gutmann, and Hanson (2003, p. 212) the mixed method approach is, “the collection or analysis of both quantitative and qualitative data in a single study in which the data are collected concurrently or sequentially, given a priority, and involves the integration of data at one or more stages in the process of research.”

The application of an integrated approach has been recommended by other researchers (Babbie & Mouton, 2012; Howard, 1994). The following are the justifications for the recommendation. The Integrated approach enables researchers to balance the strengths and weaknesses of the qualitative and quantitative methods; it capitalizes on the unique nature of the data from each method; it enables cross checking of the data for validity. Finally, Babbie and Mouton (2012) stated that the assessment of the implementation of the programme can best be done through a triangulation of data sources and the use of multiple methods.

3.3 Population and Sample

The population consists of all the institutions implementing the PMS namely, the Office of the President and Cabinet (OPC), The Department of Human Resource Management and Development (DHRMD), The Civil Service Commission (CSC) and Human resource sections in all the Ministries and departments. The human resource units were referred to as ‘Focus units’ in the PMS. There are 23 ministries and 172 departments in the Malawian civil service (Malawi Government, 2013c). Figure 6 depicts the structure of the PMS implementing institutions.
Judgmental or purposive sampling as described by Babbie and Mouton (2012, p.166) was used to generate a sample of 69 institutions. The sample consisted of two groups. The first group of sample subjects consisted of three top officials in grades C, D, E (see Table 5, p. 24) who were selected to represent their respective institutions. One official from each of the three implementing institutions named above was selected. The top officials were interviewed as detailed in 3.5.2 below. The criteria for the selection of the top officials were seniority in the ministry (Grade C, D, & E) and participation in the PMS programme formulation, implementation or review.

The second group consisted of one HR officer per focus unit from each of the twenty three Ministries’ headquarters and two of each ministry’s main departments. The criteria for the HR officers were; being on grades F, G, & I, with at least five years’ experience on the grade and holders of at least an HR-related diploma. These were Chief Human Resource Management Officers (CHRMO), Principal Human Resource Management Officers (PHRMO) and Human Resource Management Officers (HRMO) respectively. Grade H, which falls between grades G and I, was not included because in a majority of the ministries and departments grade H human resource management posts were vacant.
3.4 Data collection

Before the data collection exercise commenced, permission to conduct the present study was obtained from the Department of Human Resource Management and Development (DHRMD) (See attached Appendix C). The DHRMD is the department responsible for all human resource management issues and the overseer of the implementation of the performance management system in the Malawi public service. Copies of the request and authority granted were served to the Civil Service Commission (CSC) and to the senior officials who purposively selected for interviews.

Three methods were used to collect data namely, official documents analysis, interviews (Guiding interview questions attached as Appendix B) and questionnaires (attached as Appendix A). Qualitative data was obtained from official documents, interviews and open questionnaire items. Quantitative data was obtained from 35 questionnaire items. The use of the three methods of data collection has been applied in similar research by Hacker and Washington (2004). Hacker and Washington (2004) used the three methods to obtain data from 22 change agents from 16 ministries in Botswana public sector over a period of one week. The three data collection method defined the data sources as given below.

3.5 Data source

Three categories of data sources and methods were used. These were official documents analysis, interviews and questionnaire. These were used as detailed below:

3.5.1 Official documents

The following documents were sources of data utilised for the present research; Performance Management System Policy and Procedures Handbook for the Malawian Civil Service (Malawi Government, 2008a), the Public Service Act (PSA) (Malawi Government, 1994), the Malawi Public Service Regulations (MPSR) (Malawi Government, 1989), the Malawi Public Service Commission Regulations (MPSCR) (Malawi Government, 1991), relevant government circulars on the performance management system, the President’s State of the National Address, (Malawi Government, 2009b & 2012) and the Malawi Growth and Development Strategy (MGDS) (Malawi Government, 2009a).

3.5.2 Interviews

Semi-structured interviews were conducted by the researcher with three top officials from the Office of the President and Cabinet (OPC), the Department of Human Resource Management and Development (DHRMD) and the Civil Service Commission (CSC). The
vacation periods of January and July 2013 were utilized for the interviews with electronic follow-ups in August and September, 2013. The use of semi-structured interviews enabled the researcher to probe further into the question (Gray, 2009). Data from the respondents was documented through note taking. This is one of the methods recommended by Gray (2009).

3.5.3 Questionnaire

Questionnaire structure

The questionnaire consists of three sections. Part A sought biographical information namely officer’s grade, age group and tenure of service. The age groups were categorised into three, 30 years and below, 31 to 45 years and 46 and above years. Tenure of service had three categories namely under 5 years; 5 to 15 years and over 15 years of service. The three categories of tenure were selected to determine the varying respondents’ experiences in human resource management. Part B consisted of closed questions based on the framework of the Burke-Litwin model. For this section, three items used by Burke (1994, p. 79) which were based on the Burke-Litwin model variables were adopted and modified to suit the current research. Table 12 shows the modified items.

<table>
<thead>
<tr>
<th>Burke-Litwin organisational variable.</th>
<th>Burke (1994, p. 79) question item</th>
<th>Modified to</th>
</tr>
</thead>
<tbody>
<tr>
<td>Structure</td>
<td>To what extent is the organisation’s structure clear to everyone</td>
<td>The roles of all stakeholders were clarified in the system</td>
</tr>
<tr>
<td>Motivation</td>
<td>To what extent do you feel encouraged to reach higher levels and standards of performance in your present work</td>
<td>Performance Management System gave me new energies to work</td>
</tr>
<tr>
<td>Needs and values</td>
<td>I have a job that matters</td>
<td>My role as HR officer in the implementation of performance management system is recognised as important</td>
</tr>
</tbody>
</table>

The rest of the items were formulated by the researcher and based on the Burke-Litwin model’s organisational variables. The researcher did not use the original questionnaire used by Burke and Litwin (1992). The reasons for customising the questionnaire were that; firstly, the Burke-Litwin model was not used in its original diagnostic way that is before implementation of change. In the current research the model has been used to assess implementation of change that is already in progress. Secondly, other researchers (Martins & Coetzee, 2009) who applied the Burke-Litwin model in similar manner used focus group
discussion rather than questionnaire. Thirdly, the researcher considered the targeted Malawian civil service. It is public institution which was different from the respondents used by the developers of the model. Table 13 presents a sample of the question items per organisational variable.

Table 13 Sample questionnaire items

<table>
<thead>
<tr>
<th>Burke-Litwin organisational variable</th>
<th>Sample questionnaire item</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mission</td>
<td>I am familiar with my ministry’s goals</td>
</tr>
<tr>
<td>Leadership</td>
<td>I know the leaders in the implementation of performance management system</td>
</tr>
<tr>
<td>Culture</td>
<td>The work culture in the civil service support the implementation of performance management system</td>
</tr>
<tr>
<td>Structure</td>
<td>The role of all stakeholders were clarified in the implementation of performance management system</td>
</tr>
<tr>
<td>System</td>
<td>Relevant laws support the implementation of performance management system</td>
</tr>
<tr>
<td>Management practices</td>
<td>There is top management support for performance management system in my ministry</td>
</tr>
<tr>
<td>Work unit climate</td>
<td>Civil servants talk about performance management system in my ministry</td>
</tr>
<tr>
<td>Task requirements</td>
<td>All employees were trained in performance management system in my ministry</td>
</tr>
<tr>
<td>Individual needs/values</td>
<td>My role as HR officer in the implementation of performance management system is recognised is recognised as important</td>
</tr>
<tr>
<td>Motivation</td>
<td>Performance management system gave me new energies to work</td>
</tr>
<tr>
<td>Performance</td>
<td>My ministry is currently implementing performance management system</td>
</tr>
<tr>
<td>Communication</td>
<td>There is frequent communication between DHRMD and HR unit in my ministry</td>
</tr>
<tr>
<td>Acceptance</td>
<td>I prefer the old system of appraising employees than the present performance management system</td>
</tr>
</tbody>
</table>

In addition to the items that were formulated based on the 12 Burke-Litwin model variables, additional items were included to obtain information on communication and programme acceptance. The motivations for these additional elements were firstly that communication was found by Di Pofi (2002) to be an embedded variable in the Burke-Litwin model. Secondly, PMS programme acceptance was included to obtain respondents’ acceptance and preference of the programme over previous performance programmes and it was meant to be an important consideration for policy planners. A 1-5 likert scale was used in all the 35 question items as follows:

<table>
<thead>
<tr>
<th>Question item</th>
<th>Strongly disagree</th>
<th>Disagree</th>
<th>Neutral</th>
<th>Agree</th>
<th>Strongly agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>2</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
</tbody>
</table>
The last part (part C) consisted of two open ended question items that sought further information on the PMS. Gillham (2000, p. 34) indicated that open ended questions can be a very good way of concluding a questionnaire. He stated that open ended questions at the end of a questionnaire enable the respondents to further explain other aspects of the topic not covered by the questionnaire.

Questionnaire administration

A questionnaire pre-test was conducted on ten officers from two departments working at the same level and grade (PHRMO and HRMO) as the target respondents. These two departments were excluded from the main research sample. Babbie and Mouton (2012) advises the use of questionnaire pre-testing, because no matter how carefully designed a questionnaire can be, there is always a possibility of an error. The questionnaires were administered to HR focus units in each of the 69 targeted institutions. The targeted officers were Human Resource Officers in the grades F, G and I (see Table 5, p. 24). The periods for questionnaire administration were June-July and from August-September 2013.

A research assistant, who is working in Malawi as a civil servant was engaged to distribute and collect completed questionnaires from respondents and to liaise on any matter concerning the questionnaire administration. The research assistant’s role was limited to the distribution and collection of the questionnaire; other queries on questionnaire content from the respondents were channelled to the researcher for clarity.

3.6 Data analysis

Qualitative and quantitative approaches were used to analyse data in this research. These two were applied in this research as follows:

Firstly, all negative items were reversed into positive to facilitate uniform analysis. Secondly, responses to the likert scale were compressed into three categories as follows. ‘Strongly agree’ and ‘agree’ scores were compressed into a category of ‘agree’; neutral scores formed the second category and the third category consisted of scores from ‘strongly disagree’ and ‘disagree’. This data was analysed to get a statistical description in the form of data variance (Mean and Standard deviation) and Pearson Product Correlation.

Thirdly, content analysis was conducted on qualitative data from the official documents, interviews and open questionnaires items. Each person’s response was considered separately by highlighting the substantive statements of their responses. From the substantive responses, themes that developed were noted and they were categorised into
the Burke-Litwin model organisational variables. This content analysis method was informed by Gillham (2000).

Lastly, each of the above processes was structured around the framework of the Burke-Litwin model. The research questions as outlined in section 2.12 guided the analysis of data collected.

3.7 Ethical considerations
Anonymity and confidentiality were the two main ethical considerations in the present research. According to Babbie (2013, p. 35) anonymity refers to a situation when neither the researcher nor the reader of the findings can relate a given response to a given respondent. Anonymity in this research was applied with regard to questionnaire respondents. Firstly subjects were instructed not to write their names on the questionnaires. Secondly, the questionnaire biographical data did not include gender and specific age as this would be a clue to some respondents’ identity. Thirdly, the distribution and collection of questionnaires was done by a research assistant employed in Malawi while the researcher was studying in South Africa.

Confidentiality according to Babbie (2013, p. 36) refers to a situation where the researcher can identify a person’s responses but promises not to do so publicly. In this research it applied to the interviews the researcher conducted with senior government officials in the implementing ministries/departments. The names and their positions have not been recorded in this report. A third ethical consideration was the adherence to procedure in seeking and securing authority to conduct research in the civil service from the Government of Malawi. Lastly the information collected from all the subjects has been used strictly for this treatise.

3.8 Limitations of the study
The main limitation of the present research is the narrow representation of the respondents. Firstly, due to the sample size, the findings cannot be generalised. Secondly, although the target respondents were assumed to have knowledge of the subject under study, the findings would have been enriched if the sample was broader and more inclusive, to include line managers and politicians who are some of the main role players in policy formulation in the Malawian civil service, as well as beneficiaries of improved public services.

Thirdly, a trade union perspective was not included in the assessment despite initially being planned for. Attempts to get trade union leadership’s view failed. Union leadership refused to respond to the questionnaires sent to them because they were suspicious of the questionnaires and the research itself. The suspicion occurred because the research period
coincided with a civil servants’ strike. The centre of the strike and the period of the strike coincided with the period for data collection and the physical demarcation of the research that is the Capital Hill and City Centre in Lilongwe.

### 3.9 Chapter summary

This chapter covered the research design where the details of the following topics were explained: the general approach, population, sample, measuring instruments, data collection and analysis and limitations of the research. The following were the main ideas in each of the topics:

- A purposive criterion was used to select a sample.
- Measuring instruments were the Burke-Litwin model and basic descriptive statistics.
- Data collection used three methods namely documents, questionnaires and interviews.
- Data analysis used the Burke-Litwin model guided by research questions.
- The limitations of the study were; the narrow representation of the sample and that the questionnaire failed to get significant reliability.

The next chapter outlines, presents and discusses the results of the study.
CHAPTER 4: RESULTS, PRESENTATION AND DISCUSSION

4.1 Introduction

The data analysis carried out is aimed at answering the research questions developed in chapter 2. The findings from the research questions will be addressed in the sections below. According to Monette, Sullina and Cornell (1990), analysis of data and findings are important because they serve to either confirm or refute the researcher’s questions.

The format of the data presentation and analysis is firstly that data is structured around the three research questions. The research questions focused on two broad categories of the Burke and Litwin model, namely transformational and transactional variables and a third focus was on challenges to the implementation of the PMS. Presentation and analysis of each of the transformational and transactional categories is further broken down into component parts. In the end analysis and conclusion on the broad category is done based on the findings of their component parts. The data analysis structure explained above is depicted in table 14 below.

Table 14 Data analysis structure

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Transformational variables</td>
<td>• Broken down into component parts</td>
<td>• Quantitative method</td>
<td>• Qualitative method</td>
<td></td>
<td>Integrated findings from 3, 4 &amp; 5</td>
</tr>
<tr>
<td>Transactional variables</td>
<td>• Broken down into component parts</td>
<td>• Quantitative method &amp; Qualitative method (for open items)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Challenges</td>
<td>• Integrated summary from above focusing on challenges only</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4.2 Respondents characteristics

The respondents were categorised into two groups. The first group was interviewed while the second group were subjected to questionnaires.

4.2.1 Interviews (3)

The sample used in this research consisted of top officials in the three institutions, namely the Office of the President and Cabinet (OPC), the Department of Human Resource
Management and Development (DHRMD) and the Civil Service Commission (CSC). Interviews were planned with officials holding top positions at the OPC, the DHRMD and the CSC. One official was interviewed from each of the three institutions. The top government officials provided a broader scope of the performance management system in the entire civil service because of the positions they occupied in the hierarchy of their departments.

4.2.2 Questionnaires

Questionnaires were administered to HR focus units in 23 ministries and two of each Ministry’s departments (Section 3.3). The target respondents for the questionnaire were focus units represented by HR officers in grades F (Chief human resource management officers); G (Principle human resource management officers) and I (Human resource officers) (Table 5, p. 24). Questionnaires were distributed to 69 institutions (23 Ministries and two of each ministry’s departments). Out of the 69, 48 questionnaires were returned and were usable, making the return rate of 69.5%. Of these returned questionnaires, 21 were from Ministries. Only 2 ministries did not return the questionnaires sent to them.

The HR officers make up the middle management level of the HR structure at Ministry level. Therefore they are better placed to have deeper knowledge of HR interventions like the PMS. Demographic data sought from this group included grade, age group and tenure of service. Tables 15 provide frequency distributions of the respondents’ characteristics:

<table>
<thead>
<tr>
<th>Table 15</th>
<th>Respondents’ profile</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Grade</strong>&lt;br&gt;((n=45))</td>
<td>Categories</td>
</tr>
<tr>
<td>F</td>
<td>6</td>
</tr>
<tr>
<td>G</td>
<td>18</td>
</tr>
<tr>
<td>I</td>
<td>21</td>
</tr>
<tr>
<td><strong>Age group</strong>&lt;br&gt;((n=48))</td>
<td>30 and below</td>
</tr>
<tr>
<td>31-45</td>
<td>15</td>
</tr>
<tr>
<td>46 and above</td>
<td>26</td>
</tr>
<tr>
<td><strong>Tenure of service</strong>&lt;br&gt;((n=48))</td>
<td>&lt;5</td>
</tr>
<tr>
<td>5-15</td>
<td>14</td>
</tr>
<tr>
<td>&gt;15</td>
<td>24</td>
</tr>
</tbody>
</table>

4.3 Summary of quantitative statistics

In addition to the demographic data above, data was analysed on its association to each other and how the organisation variable scores correlated with each other.

4.3.1 The reliability of the constructs

In order to test the reliability of the construct, a Cronbach Alpha was calculated. Only two organisational variables, namely leadership and mission/strategy had Cronbach Alpha
scores of .70 each. The internal consistency of the rest of the variables was very low. Hence the inference of the findings needs to be treated with utmost caution. In order to statistically analyse the data, a single item was selected from a set of items per organisational variable. The selected item was considered by the researcher to represent the particular organisational variable better than other items on the same variable. Tables 16 and 17 therefore present the summated scores only for mission/strategy and leadership and the rest of the scores reflects findings on individual items selected for their strength in representing a particular organisational variable. It should be noted that the items that did not make up the coefficient alpha were not discarded. They were considered in the analysis of the findings that were done on item by item basis. The researcher considers these items critical to the understanding of the implementation of the PMS in Malawian civil service.

4.3.2 Descriptive statistic: Mean, SD and distribution

Table 16 below gives a summary of the mean and Standard deviation from the questionnaire responses.

<table>
<thead>
<tr>
<th>Organisational variable tested (Question number)</th>
<th>n</th>
<th>Mean</th>
<th>S.D.</th>
<th>Disagree %</th>
<th>Neutral %</th>
<th>Agree %</th>
</tr>
</thead>
<tbody>
<tr>
<td>*Mission/Strategy (Qs. 5 &amp; 6)</td>
<td>48</td>
<td>3.94</td>
<td>1.08</td>
<td>8</td>
<td>11</td>
<td>81</td>
</tr>
<tr>
<td>*Leadership (Qs. 7 &amp; 8)</td>
<td>47</td>
<td>3.29</td>
<td>1.18</td>
<td>40</td>
<td>26</td>
<td>34</td>
</tr>
<tr>
<td>Culture (Q. 9)</td>
<td>48</td>
<td>2.00</td>
<td>0.95</td>
<td>75</td>
<td>19</td>
<td>6</td>
</tr>
<tr>
<td>Structure (Q. 29)</td>
<td>48</td>
<td>3.79</td>
<td>0.90</td>
<td>27</td>
<td>6</td>
<td>67</td>
</tr>
<tr>
<td>Management Practice (Q. 14)</td>
<td>48</td>
<td>2.94</td>
<td>1.31</td>
<td>44</td>
<td>19</td>
<td>37</td>
</tr>
<tr>
<td>Systems (Q. 16)</td>
<td>48</td>
<td>2.90</td>
<td>0.95</td>
<td>35</td>
<td>42</td>
<td>23</td>
</tr>
<tr>
<td>Work Unit Climate (Q. 18)</td>
<td>48</td>
<td>2.94</td>
<td>1.23</td>
<td>35</td>
<td>27</td>
<td>38</td>
</tr>
<tr>
<td>Task Requirements (Q. 25)</td>
<td>48</td>
<td>2.13</td>
<td>1.02</td>
<td>65</td>
<td>27</td>
<td>8</td>
</tr>
<tr>
<td>Individual Needs (Q. 28)</td>
<td>48</td>
<td>3.90</td>
<td>1.08</td>
<td>10</td>
<td>19</td>
<td>71</td>
</tr>
<tr>
<td>Motivation (Q. 21)</td>
<td>47</td>
<td>3.00</td>
<td>1.16</td>
<td>30</td>
<td>38</td>
<td>32</td>
</tr>
<tr>
<td>Status Quo (PMS performance) (Q. 12)</td>
<td>48</td>
<td>2.77</td>
<td>1.06</td>
<td>42</td>
<td>35</td>
<td>23</td>
</tr>
<tr>
<td>Communication (Q. 34)</td>
<td>48</td>
<td>2.54</td>
<td>1.07</td>
<td>50</td>
<td>35</td>
<td>15</td>
</tr>
<tr>
<td>Acceptance (Q. 35)</td>
<td>48</td>
<td>4.63</td>
<td>0.57</td>
<td>96</td>
<td>4</td>
<td>0</td>
</tr>
</tbody>
</table>

*Summated scores

Notable points of interest were the highest and lowest mean values scored on elements asked. The aspects that received above average mean scores were Mission/strategy, programme structure, individual needs and programme acceptance. Lowest mean scores were obtained from culture. A majority of the programme aspects scored below average suggesting inadequacy or ineffectiveness of those variables in the implementation of PMS.
4.3.3 Correlations

In order to determine the strength of the linear relationship between two variables, Pearson Correlation was calculated. Table 17 below shows the correlation between the various organisational variables under study. Firstly, there were no significant correlations between mission/strategy, programme acceptance and task requirement with any other variables. Mission and programmes’ acceptance were the two aspects that recorded the highest means of 3.94 and 4.63 respectively (table 16 above). Since the higher the mean the more assumed support of that particular element is to the PMS, it therefore follows that mission/strategy and programmes acceptance elements were supportive of the PMS in as far as these quantitative findings are concerned.

The status quo represented the overall implementation of the PMS, therefore it is a dependent variable. It is dependent on the other variables being in place in order to support PMS performance. The status quo had the most correlations among all the organisational aspects tested. This confirms the dependent nature of programme performance. Status quo positively correlated with leadership, culture, management practice, system and motivation.

From table 16 above it is clear that these aspects, with the exception of leadership (3.29), obtained low mean scores, therefore positive correlation with this group of variables implies that the programme performance was regarded as not being implemented as planned. This is verified by the negative correlation (-.365) between status quo and structure, which scored above average. Other negative correlations were between leadership and structure (-.429) and culture and structure (-.476). Culture element scored the least mean (2.00): this suggests that respondents regarded culture as not supportive of the programme. Negative correlation meant that negative scores in one variable correlated with positive scores in another variable correspondingly.
Table 17 Pearson product correlations

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Mission/Strategy</td>
<td>-</td>
<td>-.042</td>
<td>.083</td>
<td>-1.73</td>
<td>-.244</td>
<td>.285</td>
<td>.304</td>
<td>-.181</td>
<td>-.235</td>
<td>.076</td>
<td>-.056</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Leadership</td>
<td>-</td>
<td></td>
<td>-.288</td>
<td>.377</td>
<td>-.429</td>
<td>.263</td>
<td>.559</td>
<td>.152</td>
<td>-.109</td>
<td>.175</td>
<td>.463</td>
<td>.418</td>
<td>.170</td>
</tr>
<tr>
<td>Culture</td>
<td>-</td>
<td>-1.73</td>
<td></td>
<td>-.476</td>
<td>.412</td>
<td>.426</td>
<td>.183</td>
<td>-.220</td>
<td>.272</td>
<td>.470</td>
<td>.341</td>
<td>.210</td>
<td>-.158</td>
</tr>
<tr>
<td>Structure</td>
<td>-</td>
<td>-1.73</td>
<td>-.264</td>
<td>-1.474</td>
<td>-.089</td>
<td>.260</td>
<td>-.067</td>
<td>-.310</td>
<td>-.385</td>
<td>-.013</td>
<td>.094</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Management Practice</td>
<td>-</td>
<td>-.264</td>
<td>-.474</td>
<td></td>
<td>-.089</td>
<td>-.091</td>
<td>-.095</td>
<td>.247</td>
<td>.588</td>
<td>.343</td>
<td>.082</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Systems</td>
<td>-</td>
<td>-.264</td>
<td>-.474</td>
<td>-.089</td>
<td>.260</td>
<td>-.067</td>
<td>-.310</td>
<td>-.385</td>
<td>-.013</td>
<td>.094</td>
<td>-.013</td>
<td>-.095</td>
<td>-.082</td>
</tr>
<tr>
<td>Work unit Climate</td>
<td>-</td>
<td>-.474</td>
<td>-.089</td>
<td>-.091</td>
<td>-.095</td>
<td>.247</td>
<td>.588</td>
<td>.343</td>
<td>.082</td>
<td>.094</td>
<td>-.013</td>
<td>-.095</td>
<td>-.082</td>
</tr>
<tr>
<td>Task Requirements</td>
<td>-</td>
<td>-.474</td>
<td>-.089</td>
<td>-.091</td>
<td>-.095</td>
<td>.247</td>
<td>.588</td>
<td>.343</td>
<td>.082</td>
<td>.094</td>
<td>-.013</td>
<td>-.095</td>
<td>-.082</td>
</tr>
<tr>
<td>Individual Needs</td>
<td>-</td>
<td>-.474</td>
<td>-.089</td>
<td>-.091</td>
<td>-.095</td>
<td>.247</td>
<td>.588</td>
<td>.343</td>
<td>.082</td>
<td>.094</td>
<td>-.013</td>
<td>-.095</td>
<td>-.082</td>
</tr>
<tr>
<td>Motivation</td>
<td>-</td>
<td>-.474</td>
<td>-.089</td>
<td>-.091</td>
<td>-.095</td>
<td>.247</td>
<td>.588</td>
<td>.343</td>
<td>.082</td>
<td>.094</td>
<td>-.013</td>
<td>-.095</td>
<td>-.082</td>
</tr>
<tr>
<td>Status Quo</td>
<td>-</td>
<td>-.474</td>
<td>-.089</td>
<td>-.091</td>
<td>-.095</td>
<td>.247</td>
<td>.588</td>
<td>.343</td>
<td>.082</td>
<td>.094</td>
<td>-.013</td>
<td>-.095</td>
<td>-.082</td>
</tr>
<tr>
<td>Communication</td>
<td>-</td>
<td>-.474</td>
<td>-.089</td>
<td>-.091</td>
<td>-.095</td>
<td>.247</td>
<td>.588</td>
<td>.343</td>
<td>.082</td>
<td>.094</td>
<td>-.013</td>
<td>-.095</td>
<td>-.082</td>
</tr>
<tr>
<td>Acceptance</td>
<td>-</td>
<td>-.474</td>
<td>-.089</td>
<td>-.091</td>
<td>-.095</td>
<td>.247</td>
<td>.588</td>
<td>.343</td>
<td>.082</td>
<td>.094</td>
<td>-.013</td>
<td>-.095</td>
<td>-.082</td>
</tr>
</tbody>
</table>

Statistically significant at a = .05 level if for: n = 46: |r| > .330; n = 47: |r| > .327; n = 48: |r| > .323

4.4 Transformational Variables

A detailed breakdown of the individual questionnaire items are given below. The findings are broadly grouped into the three research questions raised in chapter 2 and quantitative findings were integrated with those from the qualitative data. This is done to arrive at a general conclusion on a particular aspect. The structure explained in table 14 is followed in the sections below.

Transformational organisational variables are organisational components that require entirely new behavioural sets on the part of organisational members (Burke & Litwin, 1992, p. 530). Transformational variables influence the effectiveness of change intervention entirely (Falletta, 2005). The transformational components under study were external environmental factors, Mission/strategy, leadership and culture. The findings and analysis in this section were guided by the question:

*To what extent were the transformational variables supportive of the implementation of the PMS in Malawian civil service?*
4.4.1 Findings on external environmental factors

In the present research, external environmental factors refer to all those players and factors influencing the formulation and implementation of the performance management system (Burke & Litwin, 1992). Information was obtained from interviews and official documents as follows:

a. Findings from official documents

The following documents provided information on the programme’s external factors’ influence; the PMS policy handbook, the Malawi Growth and Development Strategy (MGDS) and the President’s State of the Nation Address. Out of these documents the following information was extracted about the PMS:

The Canadian International Development Agency (CIDA) played a huge role in facilitating the formulation of strategic plans for Ministries. It provided funding and expertise for various stages of the programme. CIDA also facilitated the development of the PMS policy handbook. The funding ensured that planning and resource provisions towards the programme were on schedule.

Political influence was another significant external factor. The Policy Handbook on Performance Management shows support of the President of Malawi through the endorsement of the PMS (Malawi Government, 2008a, Foreword). The PMS was mentioned by the president in the State of The President’s National Addresses in 2008, 2011, 2012 and 2013 (Malawi Government, 2008b; 2011, 2012 & 2013d). The political support for the PMS also came through sensitization of the Malawi Growth and Development Strategy (MGDS) of which PMS was a strategic tool (Malawi Government, 2008a).

b. Findings from interviews

Interviewees provided the following information on the influence of external environmental factors on the PMS:

Firstly, interviewees felt that the PMS was reliant on development partners’ support in terms of funding and technical expertise when developing strategic plans. The strategic plans were critical in the formulation of work plans, which in turn provided a basis for individual performance measure. An example of development partners who provided funding for the strategic plans was the Canadian International Development Agency (CIDA). The support, however, stopped at the planning and preparatory stages and did not continue through to the implementation stage of PMS.
Secondly, interviewees stated that the Office of the President did not take responsibility for the PMS. Interviewees suggested that the PMS needed to be directly under the Office of the President and not the Department of Human Resource Management and Development (DHRMD). This is in recognition of the role that political leaders, especially the President, play in Malawi Government policy formulation and promotion. By placing the PMS in the President’s office, the PMS would receive the highest recognition, priority and resource provision. The suggestion to entrust PMS in the President’s office concurs with Stevens and Teggemann (2004) who stated that political support (to change in public service) should stretch as far as the President’s office (refer to 2.8.8 above).

Thirdly, interviewees highlighted political interference into the implementation of the PMS. The early phase (2008-2009) of the implementation of the PMS coincided with the General Election period of 2009. According to the interviewees, political campaigns and elections diverted politicians’ attention away from the PMS. The political support became inconsistent and declined because the PMS was not a political sellable policy.

The conclusion on external environmental factors is that the momentum that was provided by key external stakeholders like politicians and development partners had a short life span and did not go through to the implementation stage of the PMS. According to Chackerian and Mavima (2000) politicians’ commitment to change has an influence on the degree of implementation of the PMS in the public sector. The diverted political support might have negatively affected the implementation of the PMS in Malawi.

4.4.2 Findings on mission and strategy

This section presents the findings on mission and strategy in relation to the implementation of the PMS. The organisational variable classified as mission means what employees believe is the central purpose of the organisation while strategy is about the means through which the organisation intends to achieve its mission over time (Falletta, 2005).

a. Findings from questionnaires

Two closed questionnaire items sought information on mission and strategic plans. Firstly the two questionnaire items sought to find the presence or absence of organisational mission and goals while the second item sought to supply an understanding of the strategic plans with respondents. All the 48 subjects responded to the item, “I am familiar with my Ministry’s goals.” Of these, 81% indicated that they strongly agree or agree, 8% strongly disagreed or disagreed. In terms of presence, these findings showed that strategic plans were developed in a majority of the departments.
The second item on mission and strategy focused on respondents’ understanding of the strategic plans. 64% of the respondents indicated that they had read the strategic plans. If comparison is made with the percentage (81%) which indicated knowledge of the existence of strategic plans in their departments, this was a reduced percentage. 21% of the respondents indicated that they had not read the strategic plans while 15% responded neutrally. Table 18 presents the findings on mission and strategy.

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>I am familiar with my Ministry’s goals (n=48)</td>
<td>4.19</td>
<td>1.12</td>
<td>39</td>
<td>5</td>
<td>4</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>81</td>
<td>11</td>
<td>8</td>
</tr>
<tr>
<td>I have read my Ministry’s strategic plan (n=47)</td>
<td>3.66</td>
<td>1.34</td>
<td>30</td>
<td>7</td>
<td>10</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>64</td>
<td>15</td>
<td>21</td>
</tr>
</tbody>
</table>

b. Findings from official documents

Secondly, information from The PMS Policy and Procedural Handbook (Malawi Government, 2008a) showed an emphasis on the link between strategic plans, departmental work plans, individual work plans and performance management. According to the PMS handbook, strategic plans are stated as pre-requisites for PMS (Malawi Government, 2008a) in the following manner:

Each ministry conducts a strategic planning process and identifies clear objectives. From the departmental objectives, division/branch work plans are developed to outline how departmental objectives will be met. The Division/Branch work plans then determine the priorities for individual employee work plans. The individual work plan and performance factors form the basis on which the individual’s performance is appraised.

At the launch of the PMS few ministries had their strategic plans already developed and by 2010 other ministries were still developing strategic plans (Malawi Government, 2010)

c. Findings from interviews

Thirdly, based on the interview responses, strategic plans were developed for most departments for the period 2006 to 2011. This was also a period for the implementation of the Malawi Growth and Development Strategy (MGDS) (Malawi Government, 2009a). These plans had a five year time span. Strategic plans for the next period, 2012-2016 were not
developed in most ministries. In the absence of strategic plans for the period beginning 2012, the assessment of employees was rendered baseless.

4.4.3 Findings on leadership

According to Rost (1991) leadership in a change process concerns all executive behaviours that provides direction and encourages others to take the necessary action. Two leadership aspects were assessed, namely leadership presence and leadership influence. The findings are presented below.

a. Findings from questionnaire

Data about leadership as an organisational variable in the Burke-Litwin model was obtained from two closed question items. The statement, “I know the leadership in the implementation of performance management system” sought presence or knowledge of leadership in the implementation of PMS. 61% of the respondents expressed knowledge of leadership in the performance management system while 26% of the respondents indicated that they did not know of any leadership in the implementation of the performance management system.

The results on the second item of leadership influence showed a narrowed gap between those who agreed and those who disagreed. The item stated the following: “there is clear direction on the implementation of performance management system.” 34% of the respondents indicated that there was a clear direction on the implementation of the PMS while 26% responded neutrality and 40% stated that there was no clear direction regarding the implementation of PMS. Although 61% admitted that they had knowledge of leadership, its influence was not reflected in the item inquiring on leadership influence. Table 19 presents the findings on leadership.

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>I know the leadership in the implementation of performance management system (n=46)</td>
<td>3.61</td>
<td>1.41</td>
<td>28</td>
<td>6</td>
<td>12</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>61</td>
<td>13</td>
<td>26</td>
</tr>
<tr>
<td>There is clear direction on the implementation of performance management system (n=47)</td>
<td>3.00</td>
<td>1.27</td>
<td>16</td>
<td>12</td>
<td>19</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>34</td>
<td>26</td>
<td>40</td>
</tr>
</tbody>
</table>

b. Findings from interviews

No information was found about leadership from official documents. However, interview responses showed that leadership was lacking in supporting the implementation of the PMS. Interviewees highlighted a lack of leadership at the level of the president, a laissez-faire type
of leadership, and limited discretion of managers to exercise their leadership skills in the course of their duties.

4.4.4 Findings on culture

According to Falletta (2005, p. 28) organisational culture is the collection of overt and covert norms, values, and beliefs that guide organisational behaviour. Culture defines the values, beliefs and practices that enable employees to perform. According to Neely et al. (1995) the PMS must be consistent with organisational culture in order to be successful. The section below presents the findings on how respondents considered the culture in the civil service in relation to the PMS.

a. Findings from questionnaires

Information on culture was sought through one closed questionnaire item. The questionnaire item asked respondents to state whether they thought work culture in the Malawian civil service supported performance management system. 6% of the 48 respondents agreed that the organisational culture was supportive of performance management, 75% of the respondents indicated that the culture in the civil service does not support performance management while 19% were neutral responses. The average score of 2.00 under culture was the lowest (table 16, p. 50), among all average scores for all the organisational elements under study. Table 20 presents these findings.

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>The work culture in the civil service supports performance management system (n=48)</td>
<td>2.00</td>
<td>0.95</td>
<td>3</td>
<td>9</td>
<td>36</td>
</tr>
<tr>
<td>%</td>
<td>6</td>
<td>19</td>
<td>75</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

b. Findings from interviews

Responses from the interviews were in agreement with the findings from questionnaire on culture. Interviewees indicated that culture was the main hindrance to the implementation of the PMS in the Malawian civil service. Specific cultural areas of concern raised by the interviewees were respect for elders, avoidance of direct talk on negative issues like poor performance and consideration given to relationship building rather than organisational performance.

The crucial role of culture in an organisation, according to the Burke-Litwin model, makes its presence or absence a key contributor to the success or failure of the PMS. It was
highlighted in table 11 (p. 35) that culture impacts or is impacted on by strategy (Kerr & Slocum, 1987), leadership (Ogbonna & Harris, 2000) and performance (Denison, 1990). Culture is a central catalyst to both transformational elements as well as transactional variables. The absence of a supportive culture therefore compromises the success of PMS implementation.

### 4.4.5 Discussion and analysis of the findings on transformational variables

The findings presented above are discussed in this section. The nature of the Burke-Litwin model entails that inadequacy in one organisational variable affects all the other organisational variables. In analysing the presence or absence of the organisational aspects found in the present research, the cause-effect nature of the model's variable is considered. The cause and effect nature of the organisational variables in the model is supported empirically (Schein 2010; Hunt & Ivergard, 2007; Wade & Parent, 2001) as discussed and highlighted in table 11 (p. 35) above. Firstly, table 21 below presents a summary of the findings under the transformational variable and is given here for the discussions that follow.

#### Table 21 Summary findings on transformational variables category

<table>
<thead>
<tr>
<th>Research on:</th>
<th>The extent to which transformational variables were supportive of the PMS in Malawian civil service</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Data sources</strong></td>
<td>Questionnaire</td>
</tr>
<tr>
<td><strong>Data analysis</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Descriptive statistics</td>
</tr>
<tr>
<td></td>
<td>Correlations</td>
</tr>
<tr>
<td></td>
<td>Thematic analysis (Open questionnaire items)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Key findings on:</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>a. External environmental factors</strong></td>
<td>NA</td>
<td>Programmes donor supported</td>
<td>PMS influenced by general public sector reforms</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Donor support not sustained</td>
<td>PMS a tool for achieving MGDS goals</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Political support overtaken by election in 2009</td>
<td>Programme support from development partners included funding and expertise</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Limited political support</td>
<td></td>
</tr>
<tr>
<td><strong>b. Mission and strategic plans</strong></td>
<td>Respondents familiar with their departments’ mission and strategic plans</td>
<td>Strategic plans for period 2012-2016 not developed in most departments</td>
<td>Link between strategic plans and work plans emphasized</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Information about external environmental factors was obtained from interviewees and official documents. Firstly, the external environmental factors that affected the planning and implementation of the performance management system had a huge impact on the momentum of the programme. Political leadership at the highest level was required to drive, give momentum, garner support and resources, and appoint capable people in positions of influence as far as the PMS was concerned. The initial support ensured a strong take-off for the programme but it was not sustained. The declined support might have affected the successful implementation of the programme. The findings on declined political commitment supports what Chackerian and Mavima (2000) indicated when they said that political support is necessary for the implementation of such public sector programmes.

Secondly, the mission and strategic plans in all ministries were found to have been developed except for a smaller percentage of 8% which indicated a lack of familiarity to their ministry’s strategic plans. The development of strategic plans was a positive action for ministries to implement the PMS because the plans were prerequisites of the programme.
Weaker points were identified in relation to strategic plans. For instance, it was found through documents’ analysis that a majority of ministries had not developed strategic plans at the time of launching the PMS. Thirdly, leadership presence was strongly identified by the respondents at 61%. However, the influential part of leadership had a reduced recognition of only 34% of the respondents.

Finally, the findings suggest that culture in the civil service is not supportive of the PMS. Culture scored the lowest mean which supported the interviewees’ perception that culture might have been the main hindrance to the implementation of the PMS. When compared to leadership findings, there was a .377 correlation (Table 17, p. 52) between leadership and culture which indicated a positive relationship between the two. Block (2003, p. 329) indicated that leadership and organisational culture represent two realities of organisational life that are closely intertwined.

The general picture from the findings above is that transformational variables provided the initial drive in the form of external support, leadership, formulation of mission and strategic plans but seem not to have sustained the momentum. The need for sustainability and supportive organisational culture suggest that the transformational forces were inadequate. The next group of findings are based on transactional variables. These are discussed in the sections below.

4.5 Transactional Variables

Burke and Litwin (1992, p. 530) defined transactional variables as organisational variables whose alteration occurs primarily via relatively short term reciprocity among people and groups in an organisation. The findings and analysis in this section were guided by the question:

To what extent were the transactional variables supportive of the performance management system in the Malawian civil service?

The transactional category was sub-divided into its component parts, namely structure, management practices, systems, work unit climate, job/skill match, individual needs/values and motivation (Burke & Litwin, 1992). Data analysis was structured around the three methods used; questionnaires, official document analysis and interviews.
4.5.1 Findings on structure

Structure refers to the arrangement of functions and people into specific areas and levels of responsibility, decision-making authority, communication and relationships to implement the organisation's mission and strategy (Falletta, 2005, p. 28).

a. Findings from questionnaires

One questionnaire item sought information on the roles of various stakeholders in the implementation of a PMS. 67% of the 48 respondents agreed that structurally the roles of the various stakeholders were clarified. 6% indicated that the roles were not clarified. The mean score for structure was 3.79. Table 22 summarises these findings. Though the relationship between structure and systems was significantly negative (−474), the level of significance was negligible. A significantly negative relationship also emerged between structure and programmes performance (−365). Though statistically significant, the level of significance was negligible (−37). The above average scores on structure (3.79) showed that roles were clarified; therefore the negative correlation between structure and systems and PMS performance suggests inadequacies in systems and programme performance.

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>The roles of all stakeholders were clarified in the system (n=48)</td>
<td>3.79</td>
<td>0.90</td>
<td>32</td>
<td>3</td>
<td>13</td>
</tr>
</tbody>
</table>

b. Findings from official documents and Interview

The Policy Handbook on PMS (Malawi Government, 2008a) specified the roles of stakeholders (table 7, p. 25). Responses to interview inquiry on the structure of the PMS showed that the DHRMD set up a unit within itself entrusted with coordinating, training and monitoring all activities of PMS. The unit reports to the Secretary for Human Resource Management and Development. There are four staff members in the unit.

4.5.2 Findings on management practices

Management practices concerns the management functions of planning, coordinating, directing, controlling, monitoring and evaluation to achieve the organisation’s goals. In change management the goals are those set in the change intervention. The following section presents the findings of management practices.
a. Findings from questionnaires

Two items in the questionnaire measured various aspects of management practices in the Ministries implementing the PMS. One item was aimed at obtaining the extent of management’s support while the other sought data on ‘programme evaluation’. Support from top management as a management practice got 37% of the responses. 44% of the respondents disagreed to the statement that there was top management support for PMS. The rest scored neutrally.

The last item on management practice aimed at getting data on whether an evaluation of the PMS was done in the Ministries. Only 17% of the respondents indicated that evaluation had been done while 50% did not agree. There were positive correlations between management practices with status quo (.588) and communication (.343). Table 23 presents the findings on management practices.

Table 23  Scores on items on management practices

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>There is top management support for the performance management system in my Ministry (n=48)</td>
<td>2.94</td>
<td>1.31</td>
<td>18</td>
<td>9</td>
<td>21</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>37</td>
<td>19</td>
<td>44</td>
</tr>
<tr>
<td>The implementation of performance management system has been evaluated in my Ministry/department (n=48)</td>
<td>2.48</td>
<td>1.17</td>
<td>8</td>
<td>16</td>
<td>24</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>17</td>
<td>33</td>
<td>50</td>
</tr>
</tbody>
</table>

b. Findings from official documents and interviews

No information relating to management practices was obtained from official documents. However, data from interviews complimented the findings from questionnaire responses. Interviewees felt there was little that line managers were doing to support the PMS. Interviewees felt line managers were not prioritising the PMS. On programme evaluation, unlike questionnaire responses, where a majority of the respondents indicated that the programme was not evaluated, interviewees’ responses showed that the programme was evaluated. The explanation of these contradictory findings was that the evaluation process did not involve the HR focus units in the Ministries. Another possible explanation was that the results of the evaluation were not communicated to HR focus units.

4.5.3 Findings on systems

According to Falletta (2005, p. 28) systems are, “standardized policies and mechanisms that are designed to facilitate work and that primarily manifest themselves in the organisation’s
reward and control systems such as performance appraisal, management information systems, budget development and human resource allocation." Systems compatibility is important to the successful implementation of change (Kanter et al., 1992). The following section presents the findings on system support to PMS.

**a. Findings from questionnaire**

Four questionnaire items sought information on systems that would facilitate the implementation of the PMS. The elements were use of technology through the Human Resource Management Information System (HRMIS), rules and regulations, rewards systems and coordination. These systems were chosen for their critical role in facilitating the implementation of the PMS. Table 24 gives the summary of the findings on systems.

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>The human resource management information system is a useful tool in the implementation of performance management system (n=48)</td>
<td>3.79</td>
<td>1.18</td>
<td>38</td>
<td>3</td>
<td>7</td>
</tr>
<tr>
<td>Relevant laws and regulations support the implementation of the performance management system (n=48)</td>
<td>2.90</td>
<td>0.95</td>
<td>11</td>
<td>20</td>
<td>17</td>
</tr>
<tr>
<td>It is possible to base promotion and training on civil servants' performance appraisal results (n=48)</td>
<td>3.85</td>
<td>1.27</td>
<td>34</td>
<td>6</td>
<td>8</td>
</tr>
<tr>
<td>The activities of performance management system are well coordinated (n=48)</td>
<td>2.67</td>
<td>0.97</td>
<td>7</td>
<td>22</td>
<td>19</td>
</tr>
</tbody>
</table>

Firstly, information on the use of technology to support PMS was sought through a questionnaire item that stated, “The HRMIS is a useful tool in the implementation of the PMS in the Malawian civil service.” A total of 38 out of the 48 respondents agreed with the statement, representing 79% while only 15% of the respondents disagreed. There were three neutral scores which represented 6% of the total and the average was 3.79.

Secondly, data on enabling rules and regulations was sought from one questionnaire item which stated that, “relevant laws and regulations support the implementation of the PMS.” 23% of the respondents agreed with the statement while 35% disagreed. There was a high score of 43 who reacted neutrally. The average of the scores was 2.90.

Thirdly, data on rewards systems supporting the implementation of the PMS was sought through questionnaire item which stated that, “It is possible to base the promotion and
training opportunities on civil servants' performance appraisal results. A majority of the respondents, 71%, agreed with the statement while 17% disagreed.

Lastly, under systems supporting the implementation of the PMS was the element of coordination. Respondents were asked if they agreed that there was coordination among the various activities of the PMS. Only 14% agreed that the activities of the PMS were well coordinated. 40% held the view that the activities were not well coordinated. There was a higher score of 46% for neutral responses. The average for this element was 2.67.

b. Official documents

Firstly, there was no mention of the use of technology in the implementation of the PMS in the PMS policy handbook.

Secondly, document analysis focused on legal provisions that are related to the implementation of the PMS in Malawi. The following were found to be critical to the implementation of PMS:

Public Service Act (PSA) of 1994, sections 17 (iv) and (v) mandates the Chief Secretary to oversee the performance of the public sector and section 20 (1) and (2) gives the DHRMD the mandate to manage the performance and productivity improvement of the Malawi public sector (Malawi Government, 1998). The assignment of roles to the Chief Secretary and DHRMD as given in table 7 (p. 25) were all in line with legal requirements.

The Malawi Public Service Commission Regulations (MPSCR) makes provision that regulates matters of appointment and promotion (section 13), seniority (section 16) and annual confidential employees’ appraisal reports (section 19) all need to be amended to reflect the current requirements of the PMS (Malawi Government, 1991a).

Thirdly, documents analysis on rewards system indicated that the performance management policy handbook specified the rewards for various categories of individual performance (table 6, p. 24). The rewards were intrinsic in nature and no monetary rewards were specified.

c. Interviews

The interviewees’ responses on use of the HRMIS to support the PMS showed that the HRMIS was not used in the implementation of the PMS. On supporting regulations, data from the interviewees gave some insights on the laws crucial to the implementation of the PMS. Revision of the Malawi Public Service Regulation (MPSR) was done, but the revised edition had not been launched (by September, 2013) due to what interviewees called ‘other technicalities’. The MPSR gives effect to the Public Service Act (1994) and other higher
legislation. The Public Service Act itself had not been revised (Malawi Government, 2011) to facilitate implementation of the PMS. Interviewees felt, for example, that a provision in the MPSR which requires an officer to be at a post for at least four years before being considered for promotion could cause problems to promotion as a reward for good performance.

Systems incompatibility and confusion was identified in the Ministry of Local Government. The Government of Malawi who embarked on a decentralization process of local assemblies (Malawi Government, 1998). The process involved devolving administration and political authority to the districts and integrating government agencies at the district and local levels into one administrative unit through the processes of institutional integration, manpower absorption, composite budgeting and the provision of funds for the decentralized services (Malawi Government, 1998).

At the time of the launch of the PMS in March 2008 and the succeeding period, the integration of government agencies into one administrative unit at a district level, and consequently, that of manpower absorption, was not completed. The on-going transformation of the district councils caused confusion among employees. For instance, there was confusion between the district councils and central ministries. The confusion was on who was responsible for the implementation of the PMS to employees at a functional department like agriculture or health. The confusion was also highlighted by the interviewees at the time of the research in 2013. The interviewees wondered, “Who was responsible for Agriculture and Health officers’ performance management at district level; the local assemblies or central line ministry of Agriculture and Health?”

### 4.5.4 Findings on work unit climate

#### a. Findings from questionnaires

Work unit climate data was sought through a questionnaire item that assessed whether civil servants talk about PMS over chart in their work places. The term ‘chart’ was used in a specific Malawian context which meant casual or informal discussion over a subject. 38% of the respondents agreed while 35% disagreed. 27% of the respondents scored neutrally. The average of the scores for work unit climate was 2.94. Table 25 tabulates these findings.

**Table 25** Scores on an item on work unit climate

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Civil servants talk about performance management system over charts (n=48)</td>
<td>2.94</td>
<td>1.23</td>
<td>18</td>
<td>13</td>
<td>17</td>
</tr>
<tr>
<td>%</td>
<td>38</td>
<td>27</td>
<td>35</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
4.5.5 Findings on task requirements/Individual skills

According to Di Pofi (2002, p. 161) task requirements are the specific skills and abilities that people need in order to do their work and how the skills match their jobs. The following section outlines the findings on task requirements in the implementation of the PMS in the Malawian civil service.

a. Findings from questionnaire

Two sets of questions were formulated for task requirements. The first set measured task requirements and the second set measured the officers’ capability to execute the PMS.

Respondents were asked whether job descriptions needed to be updated. A majority of the respondents (90% of the 48 respondents) indicated that job descriptions should not be updated. The second item under task requirement was, “it is difficult to measure performance of some jobs in my ministry.” 62% of the respondents disagreed, 25% agreed while 13% scored neutrally. The mean score was 2.44.

The second set under the task requirement variable measured skill and focused on training and knowledge in the PMS. Responses to a question on whether the respondents understood the PMS scored as follows: 62% showed that they understood the programmes, 23% indicated that they did not understand the programme and 15% scored neutrally. The average score for this item was 3.58.

Training in the PMS was another item about which information was sought from the respondents. Firstly, responses to an item stating, “I have been trained in performance management.” scored as follows: A majority, (73%, of the respondents) indicated having been trained in PMS while 19% disagreed, meaning they had not been trained in the PMS. The average score for this measure was 3.77. The scores on employees being trained in the PMS contrasts with the findings on whether other employees were trained in the PMS. Only 8% of the respondents agreed that all employees in their Ministries were trained in the PMS. Scores on training to all employees had a lower average of 2.13 compared to the training of HR officers which had an average of 4.19.

The second questionnaire item under training tested the adequacy of the training provided on the PMS. Only 17% of the respondents agreed that the training was adequate. Over half (62%) of the respondents disagreed that the training was adequate. The reduction in the percentage of those who were trained but considered the training inadequate suggests that there was more that needed to be done regarding training to make it adequate for the beneficiaries.
Thirdly, the relevance of the training content to PMS was measured by a questionnaire item that stated, “Training in performance management focused on performance appraisal.” 79% of the respondents indicated that the training was relevant. Only 32 out of the 48 respondents indicated that they had received training in PMS. This meant that out of those who had received training in PMS, 91% considered the training relevant to PMS. Table 26 summarises the findings on task requirement.

Table 26  
Scores on items on task requirement

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Most job descriptions need to be updated in my Ministry (n=48)</td>
<td>1.65</td>
<td>0.89</td>
<td>4</td>
<td>1</td>
<td>43</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>8</td>
<td>2</td>
<td>90</td>
</tr>
<tr>
<td>It is difficult to measure performance of some jobs in my ministry (n=48)</td>
<td>2.44</td>
<td>1.34</td>
<td>12</td>
<td>6</td>
<td>30</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>25</td>
<td>13</td>
<td>62</td>
</tr>
<tr>
<td>I still do not understand performance management system in the civil service (n=48)</td>
<td>3.58</td>
<td>1.27</td>
<td>30</td>
<td>7</td>
<td>11</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>62</td>
<td>15</td>
<td>23</td>
</tr>
<tr>
<td>I have been trained in performance management system (n=48)</td>
<td>3.77</td>
<td>1.24</td>
<td>35</td>
<td>8</td>
<td>9</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>73</td>
<td>8</td>
<td>19</td>
</tr>
<tr>
<td>All employees were trained in performance management in my Ministry/Department (n=48)</td>
<td>2.13</td>
<td>1.02</td>
<td>4</td>
<td>13</td>
<td>31</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>8</td>
<td>27</td>
<td>65</td>
</tr>
<tr>
<td>The training in performance management was adequate (n=48)</td>
<td>2.33</td>
<td>1.06</td>
<td>8</td>
<td>10</td>
<td>30</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>17</td>
<td>21</td>
<td>62</td>
</tr>
<tr>
<td>Training in performance management focused on performance appraisal (n=48)</td>
<td>4.19</td>
<td>0.82</td>
<td>38</td>
<td>9</td>
<td>1</td>
</tr>
<tr>
<td>%</td>
<td></td>
<td></td>
<td>79</td>
<td>19</td>
<td>2</td>
</tr>
</tbody>
</table>

b. Findings from official documents and interviews

Data from documents and interviews agreed with the findings from the questionnaire items. Although the number of officers who indicated having been trained was high, interview responses indicated that there were significant numbers of officers, especially in the districts, who had not been trained in the PMS. Interviewees also indicated that the lack of training was not only evident among the other employees but even among those entrusted with the responsibility to execute the programme. These included HR officers and top officials in grades A to E (see table 5, p. 24).

4.5.6 Findings on individual needs and values

According to Di Pofi (2002, p. 161) individual needs and values are what people believe to be important, good or bad and what guides daily behaviours in the organisation.
a. Findings from questionnaire

Data on individual needs and values was sought through two items in the questionnaire which measured the respondents’ views on their jobs as being challenging and another on their roles in the implementation of the PMS as being recognised as important. 75% of the 48 respondents indicated that their jobs were challenging. Only 8% and 17% indicated disagreement and neutrality respectively. The average score was 3.85.

The second questionnaire item on individual needs sought information on the respondents’ role in the PMS being recognised as important. A majority of the respondents (71%) considered their roles as being recognised as important in the implementation of the PMS. Only 10% of the total number of respondents did not consider their roles as being recognised as important. Table 27 gives a summary of the findings.

Table 27  Scores on items on individual needs and values

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>My job is challenging (n=48)</td>
<td>3.85</td>
<td>0.90</td>
<td>36</td>
<td>8</td>
<td>4</td>
</tr>
<tr>
<td>%</td>
<td>75</td>
<td>17</td>
<td>8</td>
<td></td>
<td></td>
</tr>
<tr>
<td>My role as HR officer in the implementation of performance management system is recognised as important (n=48)</td>
<td>3.90</td>
<td>1.08</td>
<td>34</td>
<td>9</td>
<td>5</td>
</tr>
<tr>
<td>%</td>
<td>71</td>
<td>19</td>
<td>10</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

b. Findings from official documents and interviews

It was difficult to find data about individual needs and values from the documents. The nature of ‘individuals needs and values’ just like those of work unit climate and culture, needed baseline surveys to inform the researcher about employees’ needs and values. However, an analysis of the data from open questionnaire items highlighted a fear of the PMS being misused and abused.

4.5.7 Findings on motivation

Motivation is defined in the Burke-Litwin model as the, “aroused behavioural tendencies to move toward goals, take needed action, and persist until satisfaction is attained (Burke, 1994, p. 75). Motivation is a product of most of the organisational variables in the Burke-Litwin model. Motivation of the sample subjects who were the executors of the PMS at Ministry level was considered by the researcher to be critical to the effective implementation of the system. The section below presents the findings related to motivation.
a. Findings from questionnaire

Data on motivation was sought from one questionnaire item which stated, “Performance management has given me new energies to work.” Results showed an almost one third split among the respondents. 32% of the respondents indicated that they were motivated by the PMS, 30% were not and 38% could not decide as they scored neutrally. The mean score for motivation was 3.00. Motivation was positively correlated with programme performance (status quo) at .374 and communication at .330. Table 28 outlines these findings.

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance management gave me new energies to work ($n=47$)</td>
<td>3.00</td>
<td>1.16</td>
<td>15</td>
<td>18</td>
<td>14</td>
</tr>
</tbody>
</table>

b. Findings from official documents and interview

The PMS policy handbook outlined rewards and sanctions for various performance levels (table 6, p. 24). Data from the interviews and open question items produced the following issues on the motivational variable of the PMS. Interviewees indicated that there were no incentives for performance. The interviewees considered monetary incentives when they stated that there were no incentives. An important differentiation should be highlighted which is that the target respondents needed to be motivated to implement PMS as part of their responsibilities. To this effect, the interviewees indicated that implementation of the PMS should be made a performance target for the HR unit.

4.5.8 Discussion and analysis on the findings on transactional variables

The data and the findings above, present a number of issues in the implementation of the PMS in the Malawian civil service. Firstly, among the transactional variables structure and individual needs had mean scores of 3.90 and 3.79 respectively, while motivation obtained a mean score of 3.00. The remaining transactional variables obtained mean scores between 2.00 and 3.00. The PMS implementation might have been affected by the inadequacies in the areas that showed the least positive scores.

The structure of the PMS had a higher positive response with a mean score of 3.79. The 67% responses in agreement to the statement ‘roles for various stakeholders were clear’ show clarity of the stakeholders’ role. The PMS policy document is clear and the training on the PMS puts emphasis on the roles of stakeholders. The PMS was designed for individual performance management but the interface with organisational performance is not clarified.
Despite the clarity of the roles, other stakeholders were not recognized like the public, private sector and other important public service institutions like the Civil Service Commission (CSC). The CSC is central to the enforcement of the PMS through use of appraisal results for promotions and confirmations in appointment (Malawi Government, 1991a). The critical role of the CSC is evident in the issuance of a circular on the attachment of performance to promotion (Malawi Government, 2013b). The launch of the Public Sector Charter (Malawi Government, 2013e) might provide the forum for other stakeholders’ involvement in civil servants’ performance. The Public Service Charter aims at “providing a framework for consultations with service users and assist these public institutions manage the expectation of the (public) service.”

Another area under structure that needed consideration was the number of staff members in the PMS unit at DHRMD. Coordination, training and monitoring of PMS related activities for the entire Malawian civil service is a huge task for four officers in the performance management unit within DHRMD. The understaffing was exacerbated by the fact that records management and monitoring of the programme was manual and not electronic. The understaffing impacted the speed and efficiency of processing the PMS records.

It is also evident from the findings above that one of the key management practices, programme evaluation, was ineffective. Interviewees indicated that programme evaluation had been done while a majority of the questionnaire respondents indicated that evaluation had not been done. It was found that the evaluation that was conducted did not include the focus units in ministries and the results of the evaluation were not communicated to the focus units. According to Di Pofi (2002) communication is important in implementing change intervention as it provides feedback to those implementing the change. The lack of communication to the HR focus units might have affected the feedback process.

The successful implementation of the PMS also rested on the capability of the HR officers. The evidence above demonstrates that the sample group received training in the PMS (73%). Several factors are suggested for the scores on being trained. The suggestions include that the targeted officers should be stationed at Ministry/Department Headquarters; that they are middle managers and that most of them head the HR units in their departments. The training in the PMS was considered appropriate (79%) as it focused on the PMS but seen to be inadequate (62%) by the respondents. On average the training lasted one day, hence the inadequacy.

Motivation of the targeted respondents who were HR officers was an important element in the implementation of the PMS. The nature of the rewards for the PMS as given in table 5 (p. 24) was intrinsic. The findings on motivation were rather contradictory. There was an
indication from the respondents that there were no incentives, yet document analysis showed the contrary (Table 6, p. 24).

The researcher attributes this contradiction to the intrinsic nature of the rewards. The explanation can be obtained from Maslow’s hierarchy of needs theory. According to Maslow’s hierarchy of needs theory, people are motivated first by basic needs of safety and security before self-esteem needs (Hall & Nougaim, 1968). In the case of Malawian civil servants, the salaries are very low to satisfy their basic needs of food and housing (Durevall & Mussa, 2010). It is logical that employees might value intrinsic incentives attached to performance if extrinsic rewards addressed their basic needs first.

4.6 Extent of Communication in PMS

This section presents the findings on communication. It was stated in the literature that Di Pofi (2002) found that communication was an imbedded variable in the Burke-Litwin model. Information on communication was included to explore its character in the implementation of the PMS in the Malawian civil service.

a. Findings from questionnaires

Two questionnaire items sought information about communication in the implementation of the PMS in Malawi. One questionnaire item tested communication with individual officers while another tested communication between two PMS implementing institutions namely, the DHRMD and Ministries (HR focus units). The first item, “I have read the circular on the PMS” targeted communication about the programme to individual officers (the respondents) through circulars. Official communication in the Malawian civil service is done mostly through circulars, hence the questionnaire sought to find out if respondents had read a circular on the PMS.

92% of the respondents indicated that they had read the circular on the PMS with only one of the respondents stating that the circular had not been read and 6% scored neutrally.

The second item measured communication between two key institutions in the implementation of the PMS. The questionnaire item was, “There is frequent communication between the DHRMD and the HR unit in my Ministry on the PMS.” 15% of the respondents agreed with this statement while 50% disagreed. The rest were neutral. The mean score obtained was 2.54. Table 29 outlines details of the scores on communication.
Table 29  

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>I have read the circular on performance management system (n=48)</td>
<td>4.40</td>
<td>0.90</td>
<td>43</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>There is frequent communication between DHRMD and HR unit in my Ministry on performance management system (n=48)</td>
<td>2.54</td>
<td>1.07</td>
<td>7</td>
<td>17</td>
<td>24</td>
</tr>
</tbody>
</table>

b. Findings from interviews

The findings from interviews conducted and the compilation of responses from the open question item from questionnaires revealed more information about communication. Firstly, the methods of communication included distributing the PMS policy handbook which was made available in electronic form to most offices whenever training was conducted. Training was a means through which communication about the programme was also done. Secondly, it was found from the interviewees’ responses that communication about the PMS had not extended to all employees in the outskirts of Ministry headquarters. Thirdly, it was revealed that Ministries depended on DHRMD staff to conduct training through which the PMS message was communicated to officers. According to interviewees, those who had been trained seldom trained colleagues within their Ministries. It is a requirement in the Malawi government training policy that officers should train fellow officers upon return from a training of any sort.

The researcher illustrates DHRMD and ministries communication in figure 7 (A) and calls it the ‘hub and spoke’ type of communication. It is characterized by a two-way communication between DHRMD and each Ministry. It requires many meetings and interactions between the two institutions to cover every employee. An alternative method could be a circular like a wave, where training or communication is done between the centres, such as in the present case by the DHRMD and levels of officers or centres in each Ministry. The levels or centres in turn would train or communicate with lower levels or centres within their respective Ministries as per Government of Malawi training policy. This is illustrated in Figure 7 (B). This communication would require fewer employees at the centre (DHRMD) and could empower the different levels or centres in each Ministry.

The researcher suggests that communication B (figure 7) could have been the communication strategy considering the number of staff (four) at DHRMD’s performance management unit. The suggested communication would leave the PMS unit within the
DHRMD to focus on monitoring the subsequent communication as it goes to various levels or centres in ministries and departments.

The findings on communication to individual officers contrast with those on communication between institutions. HR units are communicated with through the same circulars and the PMS policy documents as with all other employees. The lack of differentiation between individual and institutional communication might have made institutional communication less than outstanding.

4.7 General PMS implementation (Performance)

This section reports on the findings on the overall implementation of the PMS. Using the Burke-Litwin model this represents the actual performance of the intervention. It is imperative that an explanation of the period during which the research was done is highlighted to inform the referral of the status quo. The data collection period stretched from January to September 2013 for both interviews and questionnaire administration. The status of the programme implementation, as specified in these findings, therefore refers to first half of 2013. Official documents considered publication dates.

a. Findings from questionnaire

One questionnaire item on programme performance sought data on whether employees were being appraised. Performance appraisal is a key activity in performance management systems (Swanepoel et al., 2011). The question, “I have been appraised at least once over the past three years” was used to get performance appraisal information. 77% of the respondents disagreed with this statement and only 10% of the respondents agreed with it.
The neutral scores were 13% of the total number of the respondents. The average score was 1.81. These findings inform the researcher that employees’ performance appraisals were minimal.

The second questionnaire item assessed the overall implementation of the PMS by Ministries. The item, “My Ministry is currently implementing PMS” was used to obtain information on overall PMS implementation. The results showed a narrow difference between the three categories of agree, disagree and neutral. The percentage scores were 23%, 42% and 35% of the total number of respondents respectively. Table 30 presents a summary of these findings.

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>I have been appraised at least once over the past three years ( (n=48) )</td>
<td>1.81</td>
<td>1.20</td>
<td>5</td>
<td>6</td>
<td>37</td>
</tr>
<tr>
<td>My Ministry is currently implementing performance management system ( (n=48) )</td>
<td>2.77</td>
<td>1.06</td>
<td>11</td>
<td>17</td>
<td>20</td>
</tr>
</tbody>
</table>

The neutral scores were 13% of the total number of the respondents. The average score was 1.81. These findings inform the researcher that employees’ performance appraisals were minimal.

The second questionnaire item assessed the overall implementation of the PMS by Ministries. The item, “My Ministry is currently implementing PMS” was used to obtain information on overall PMS implementation. The results showed a narrow difference between the three categories of agree, disagree and neutral. The percentage scores were 23%, 42% and 35% of the total number of respondents respectively. Table 30 presents a summary of these findings.

Table 30 Scores on overall PMS performance (Status quo)

4.8 Programme acceptance

a. Findings from questionnaire

Three questionnaire items were included to assess the respondents’ view of PMS in terms of simplicity, acceptance of the programme and their preference over the old performance systems. Programme simplicity was assessed by the item, “the current PMS is easy and simple to use.” The level of programmes acceptance was assessed by the item; “I am optimistic that the performance of civil servants can improve through the current PMS.” Preference for the PMS over the old confidential system was measured by a direct statement, “I prefer the old system to the present PMS.” The item on PMS preference over the old performance appraisal system was reversed for analysis since it was a negative item.

Table 31 presents the findings on these three aspects. An outstanding finding was obtained for this item on the preference of the old system over the PMS. 96% of the respondents indicated that they did not prefer the old system. The 96% score rate is a positive indication for the PMS and might suggest respondents’ officers’ acceptance of PMS than the old performance appraisal system.
Table 31  
Scores on items on programme acceptance

<table>
<thead>
<tr>
<th>Description</th>
<th>Mean</th>
<th>SD</th>
<th>Agree</th>
<th>Neutral</th>
<th>Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>The current PMS is easy and simple to use <em>(n=48)</em></td>
<td>3.31</td>
<td>1.01</td>
<td>22</td>
<td>16</td>
<td>10</td>
</tr>
<tr>
<td>%</td>
<td>46</td>
<td>33</td>
<td>21</td>
<td></td>
<td></td>
</tr>
<tr>
<td>I am optimistic that the performance of civil servants can improve through the current PMS <em>(n=47)</em></td>
<td>3.38</td>
<td>1.03</td>
<td>23</td>
<td>15</td>
<td>9</td>
</tr>
<tr>
<td>%</td>
<td>49</td>
<td>32</td>
<td>19</td>
<td></td>
<td></td>
</tr>
<tr>
<td>I prefer the old system than the present PMS <em>(n=48)</em></td>
<td>4.63</td>
<td>0.57</td>
<td>0</td>
<td>2</td>
<td>46</td>
</tr>
<tr>
<td>%</td>
<td>0</td>
<td>4</td>
<td>96</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

b. Findings from Interviews

Data from interviews, and open questionnaire items complemented the questionnaire findings. The following insights were obtained from the interviews and open questions. Interviewees considered the implementation as being too slow. Prerequisites such as a revision of relevant laws not properly done for the programme and no sense of urgency for the programme’s implementation. It was learned from the interviewees that the Civil Service Commission had been strict in demanding appraisal forms of probationers to get them ‘confirmed’ into permanent employment. The strictness of CSC was aimed at enforcing the implementation of the PMS.

A further probe on the probationers’ requirement established that the appraisals were not done objectively. For example, all probationers were rated as exceptional performers, which according to the interviewees, did not reflect the reality of performance in the civil service. It was further noted that appraising probationers was not done on a continuous basis, but mostly towards the end of the probation period done to facilitate ‘confirmation’ of the probationer.

4.9  Challenges to implementation of PMS in Malawian civil service

This last part of the findings addresses the question, “What were the challenges in the implementation of the PMS in the Malawian civil service.” This section summarises findings from the responses to open question items in the questionnaire, from interviews conducted and analysis of the documents. The challenges do not deviate from those identified in the literature. This means that the challenges that were encountered are not unique to the Malawian civil service but were experienced in other countries’ public sectors as well. The list of challenges below is not exhaustive. Traces of other challenges not contained in this summary were experienced in the implementation of the PMS in the Malawian civil service.
<table>
<thead>
<tr>
<th>Challenge</th>
<th>Brief explanation and examples</th>
</tr>
</thead>
</table>
| Lack of capacity | - Lack of capacity was in terms of knowledge and adequate numbers of personnel to execute PMS.  
- In terms of knowledge,  
  - Not all employees were trained in PMS,  
  - Those trained reported that the training was inadequate.  
- In terms of numbers the PMS unit within DHRMD is understaffed for the task of overseeing PMS for about 140,000 civil servants (CABS, 2009) |
| Political interference | - Officers from grade A to D are appointed by the President which gives room for paternalistic loyalty to the President. These appointments blocked promotion of deserving civil servants.  
- Change of political leadership is followed by change of the political appointees and as a consequence changes of priorities.  
- The findings show that the initial support given by political leaders in 2008 slowed down between 2009-2011 and in 2012 there was a change of government. This change of government meant change of political appointees and change in government priorities |
| Systems interface problems | - Relevant legal amendments did not precede the implementation of PMS;  
- Technology was underutilised;  
- The interface between individual PMS and organisational PMS was not clarified  
- Fixed rewards system was not supportive of PMS.  
- Common service employee working for line ministries but reporting to central departments like DHRMD, accountant general, auditor general created dilemma. For instance the central department are responsible for the promotion of these officers yet assessment of their performance was done by line ministries. The interface between these two institutions was not clarified in PMS |
| Problems with sequencing of PMS supporting events | - Order of events not clear:  
  - No official document was found with the sequence of events for PMS. Secondly,  
  - Review of prevailing legal and other systems critical to the implementation of PMS was not done early. Review of MPSR had not been launched at the time of conducting this research. |
| One size fit all | - The system was found to be rigid because it was not flexible to accommodate individual departments’ variations. |
| Lack of supportive culture | - It was found that the culture in the civil service was not supporting of the PMS. |
| Ineffective review of PMS | - Since its inception in 2008 PMS has not been comprehensively reviewed to incorporate feedback from user stakeholders by an inclusive stakeholders |
| Difficulties in clarifying performance measurement | - Measuring performance of some jobs was difficult because of:  
  - Diversity of jobs in the civil service,  
  - Long-term impact/results visibility of some jobs  
  - Out-dated job descriptions  
  - Inherent nature of some jobs |
### Lack of commitment from top officials
- PMS provided extra responsibilities for heads of departments. Commitment to PMS in addition to normal line duties made these officials prioritise normal technical assignment at the expense of PMS.

### Program sustainability
- The main sustainability challenge was funding for various PMS programmes like formulation of strategic plans and training. The exhaustion of CIDA funding for formulation of strategic plans in 2007/2008 slowed the momentum for the PMS afterwards.

### Resistance to change
- Although this was a result of other challenges like unsupportive culture, it is worth mentioning on its own. Resistance was manifested through:
  - Sceptics of the programmes
  - Open resistance to the programme

## 4.10 Chapter summary

This chapter reported the detailed findings of the research. The findings were structured around the two broad categories of the Burke-Litwin model, namely transformational and transactional variables. Each of these categories was analysed, based on the findings of its component parts. In addition, data was analysed based on communication which is one of the embedded variables of the Burke-Litwin model as found by Di Pofi (2002) and also on overall PMS implementation status. The findings from questionnaires, documents analysis and interviews were all integrated to a conclusion. The conclusion and recommendations regarding this research are the subjects of the next chapter.
CHAPTER 5: CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

It was set out in chapter 1 that the purpose of the current research was to assess the implementation of the performance management system in the Malawian civil service. This chapter provides a summary of the motivation, objectives and the findings of the research with regards to the overall purpose of the research. The chapter concludes with what the researcher considers to be the contributions, recommendations and limitations of the study.

5.2 Motivation and the objectives of the study

In its aim to improve service delivery and to recognize the important role of civil servants in service delivery, the Malawi Government launched the PMS to assist in achieving that goal. In order for the PMS to achieve its goals it needed to be implemented effectively. How the PMS was implemented was the motivation for the current research.

A literature review was conducted that provided insights on change management, the PMS in public sectors and in Malawi. The last part of the literature review outlined the Burke-Litwin model. The following were some of the main points highlighted in the literature. Implementation of PMS in the Malawian civil service was a change intervention aimed at a desired future state. The future state was reflected in the overall rationale for the launch of the PMS namely, to enable the government to improve service delivery to the public through the enhanced performance of the public employees. Specifically, this desired future state according to the PMS policy handbook (Malawi Government, 2008a), entailed the following:

a. A public sector performance that supports the implementation of long term strategic plan of the government through its performance;
b. Improved work performance and productivity of the public sector;
c. A system which enables management to identify and monitor the efficiency and effectiveness of the Ministry/Departments; and
d. Improvements from the old performance appraisal system in the appraisal of employees.

In order to realise the goals set above the PMS needed to be implemented effectively as stated by earlier researchers (Sekwat, 2002; Mills et al., 2009). Literature on the use and implementation of the PMS in public sectors indicated that the PMS is a change intervention falling under broader reform programmes. This then implies that the challenges that public sectors experience in implementing reforms were reflected in the implementation of the PMS.
In order to be systematic in the assessment of the implementation of the PMS in terms of data collection and analysis, the Burke-Litwin model was used. Using a framework of the Burke-Litwin model, the following were the focus areas. Firstly, transformational organisational variables namely; external environmental factors, mission and strategy, leadership and culture. Secondly, transactional organisational variables namely; structure, management practices, systems, work unit climate, task requirements, motivation, individual needs and values and performance. These organisational factors were considered critical to the successful implementation of the PMS (Burke & Litwin, 1992; Falletta, 2005). The choice of the Burke-Litwin model over other change models was based on the model’s complexity, classification of organisational elements, the model’s foundation on other change management models, the application of the model in various types of research and the nature of the current research.

Various recommendations have been suggested for successful implementation of a PMS in the public sector (Fernandez & Rainey, 2006; Chackerian & Mavima, 2000). There are also challenges that have been identified as unique to public sectors when implementing changes like the PMS (Wescott, 1999; Manyaka & Sebola, 2012; Letsoalo, 2007). Using the Burke-Litwin model the following conceptual map (Figure 8) is hereby produced to summarise what the literature states as necessary actions to support the implementation of change in the public sector and the challenges that have been encountered in implementing change in public sectors. A comparison of figure 8 and figure 10 (which is based on the findings in the current research) indicates that the implementation of the PMS in the Malawian civil service followed the same pattern and challenges as in other public sectors.
5.3 Summary of the findings

The summary of the findings centres on the three research questions pursued in the current research. A tabulated summary of the integrated mean score for the various organisational elements are given in the graph below. A conceptual map representing the findings in this research, populated on the Burke-Litwin model is given in figure 10.
Research Question 1.

To what extent were the transformational variables of the Burke-Litwin model supportive of the implementation of the performance management system in the Malawian civil service?

Literature on the transformation elements of the model indicated the importance of external factors, mission/strategy, leadership and culture (Falletta, 2005; Di Pofi, 2005; Appelbaum et al., 1998; Burke & Litwin, 1992). The Burke-Litwin model depicts links between the various organisational constructs. The links were empirically found to have cause-and-effect relations between each element’s aspects (table 11, p. 35). In the literature various elements of the twelve organisational variables were highlighted which impacts elements of each other. For instance, Hopkins and Hopkins (1987) found that there is a reciprocal relationship between strategic planning intensity and organisation performance. Ogbonna and Harris (2000) found that the impact of leadership on organisational performance was mediated by organisation culture. The presence or effectiveness of the twelve organisational variables therefore impacts each other’s effectiveness.

The findings on the transformation elements of external environment, mission/strategy, leadership and culture were varying. Mission/strategy aspects were found to be present (Mean score of 3.90) although failure to renew the strategic plans and absence of strategic plans in other departments weighed against it. Culture, on the other hand, was found to be
an aspect of concern in the implementation of the PMS in Malawi. It scored the lowest of all with a mean score of 2.00. Literature on the use of the PMS in public sector was found to emphasize the need for supportive culture (Neely et al. 1995; Ives, 1995). The findings in the current research are consistent with the literature because it was found that an unsupportive culture was a challenge to the implementation of the PMS in the public sector in Malawian civil service. Leadership is a critical element in changing the culture of organisational members (Schein, 2010) and in the case of Malawi, the political leadership and leadership from the top civil servants were considered critical to change the culture of civil servants. From the findings, the researcher suggests that the transformational variables had room for improvement in supporting the implementation of the PMS in the Malawian civil service.

**Research Question 2.**

*To what extent were the transactional components of the Burke-Litwin model supportive of the implementation of the performance management system in the Malawian civil service?*

There were mixed findings on transactional organisational variables. Structure and ‘Individual needs’ had mean scores of 3.79 and 3.90 respectively. A significantly negative relationship (\(-474\)) between structure and system emerged. Structure and Status quo had a significantly negative relationship of \(-365\). The PMS overall performance’s scores were below average (2.77) and the scores suggest that structure and individual needs were clearer and supportive of the PMS in as far as this sample group was concerned. The mean scores for the following variables suggests that they were areas of concern in the implementation of PMS; management practices (2.94), systems (2.90), work unit climate (2.94), task requirements (2.13) and motivation (3.00).

Information from the interviewees and the open questionnaire items complemented these findings. Interviewees expressed inadequacies as follows: there was little management support to PMS; there was system incompatibility and confusion; officers especially those in the rural areas were not properly trained in PMS; there were no monetary incentives for required performance and finally that there were no incentive for implementing PMS.

Findings on communication suggest that initial communication about the programmes was done effectively although interview responses showed that the PMS communication did not reach out to outposts or rural duty stations. The institutional communication between the DHRMD and the implementing ministries was found to be less than the communication to individual officers which was done through official circulars. Communication was included in the current assessment in order to address the limitation of the Burke-Litwin model as per Di Pofi’s (2002) research findings that communication is an embedded variable in the model.
The transactional variables, with the exception of structure and individual needs, were limited in supporting the implementation of the PMS in the Malawian civil service.

Figure 10 presents a conceptual map of the findings on transformation and transactional organisational elements.

Research Question 3.

What were the challenges encountered in the implementation of the performance management system in the Malawian civil service?
The implementation of the PMS in the Malawian civil service encountered challenges that were similar to the challenges encountered during implementation of PMS in other public sectors such as Botswana (Dzimbiri, 2008), Ghana (Antwi et al., 2008), Lesotho (Khoeli, 2003), South Africa (Sebashe & Mtapuri, 2011), Zimbabwe (Herbst, 1989) and Malawi in previous performance management programmes (Tambulasi, 2010). Notable challenges in the implementation of the PMS in the Malawian civil service were as follows: lack of capacity to implement the PMS, political interference, systems interface problems, problems with sequencing of PMS supporting events, use of the same template for the entire civil service, lack of supportive culture, programme review process not inclusive, difficulties in clarifying performance measurement, lack of commitment from top officials, problems with program sustainability and resistance to change among the officers.

Finally, findings on general PMS implementation status showed that respondents were split on whether their departments were implementing the PMS. The nature of the sample, who are implementers of the PMS, and their failure to state definitely the status quo in the implementation of PMS signals uncertainty. A holistic picture from the findings informs the researcher that the PMS’s implementation may not have been implemented effectively as planned. There are many aspects that needed to be addressed. The aspects include clarity of mission and strategy, organisational culture, leadership, systems, management practices, individual needs, task requirements, motivation and communication. These variables are the focus variables in the Burke-Litwin model applied in the current research.

5.4 Contribution of the study

Based on the framework of the Burke-Litwin Model, the findings in the present research highlighted some inefficiencies in the implementation of PMS in the Malawian civil service. In addition to the findings, the current research attempted to extend the use of the Burke-Litwin model for post change intervention assessment. Similar application of the Burke-Litwin model was utilised by Martins and Coetzee (2009). The current research also attempted to extend the exploration of data correction tools for the assessments that are based on the Burke-Litwin model.

5.5 Recommendations

The following recommendations are based on the literature and the findings of the research. The recommendations might be helpful for the successful implementation of the PMS in the Malawian civil service.

The present research findings indicate the need for a comprehensive evaluation of the PMS implementation. Evaluation would facilitate monitoring and feedback processes. The review
needs to be inclusive, which might include all institutions in the implementation of PMS relevant departments within OPC, DHRMD, CSC and line ministries and departments.

Political leadership needs to be solicited to champion PMS as an intervention that will facilitate the provision of service by the civil service. Prioritisation of the PMS would show political will and visibility of the programme.

The researcher suggests that the government (through relevant ministries) should work on the civil service work culture. It was highlighted in the literature that culture is a catalyst for most of the organisational elements considered in the Burke-Litwin model (Ogbonna & Harris, 2000; Hennessey, 1998; Schein, 2010; Burke & Litwin, 1992). The DHRMD should intensify the presence of the PMS among civil servants. This can be done by mainstreaming the PMS into all other systems such as legal, rewards and technology systems. The visibility should be paired with practical application of the programme.

Stakeholders in the implementation of PMS should be capacitated in order to effectively assist in the implementation of PMS. Capacitation would involve staffing the DHRMD’s PMS unit adequately, training of HR focus unit personnel and top officials and provision of enough resources towards the implementation of the PMS.

Execution of the PMS should be made a performance target for the line ministries’ heads and human resource officers. This might motivate officers to implement the programme.

The role of the CSC in effecting the promotion should be fully utilised to the advancement of the PMS. The current interview-based promotion should be paired with the PMS results to ensure that officers’ promotion reflect their performance over a period. The CSC on the other hand should enforce standards in the employees’ appraisal that are used to confirm officers on probation to permanent position.

The assessment of civil servants’ performance should extend to beneficiaries of the services. Mechanisms should be set up to get feedback on the civil servants performance from the public and to get such feedback incorporated into the appraisal of officers.

As suggested by the interviewees and highlighted by the Government, the revision and launching of the Public Service Act and updated Malawi Public Sector Regulations should be expedited.

In a world of fast technological advancement, the use of technology for the monitoring and reporting of the PMS should be utilised. The researcher suggests that this would address the personnel shortage as well as speed up the processing of PMS forms.
Lastly, the DHRMD should enhance communication on the PMS with ministries and all stakeholders.

5.6 Limitations of the research

There were two main limitations to the current research. Firstly, the complexity of the Burke and Litwin model was a source of statistical problems. It is appreciated that the variables in the model and the complexity of the links among the variables make the model represent the reality of organisational interactions when diagnosing and implementing change (Falletta, 2005). However, it provided challenges with the internal consistency of the broader transformational and transactional categories. A similar challenge was encountered by Di Pofi (2002) who experienced correlation problems with external environmental factors. To counter this challenge, the variables were assessed separately and judgements made that were based on the overall, predominant position from the findings of each component of the transformation and transaction categories.

Secondly due to the smaller size of the sample, the findings cannot be generalised to the wider population. Follow-up surveys are recommended to obtain further insights into the organisational aspects of the Burke-Litwin model in specific contexts.

The last challenge was the refusal by union representatives to participate in the research. The reason given for the refusal was that the union was suspicious of the research having been done at the same time when tensions were high between the government and the union over salary negotiations. Coincidentally, the centre of the strike was the same as the demarcation of the research as outlined in section 1.4 above. The relationship of the government, as an employer, and trade unions is tense at times like these, hence the suspicion.

5.7 Conclusion

The Malawi government has taken considerable effort to improve service provision to the public. Such efforts are reflected among others, through the launch and implementation of the PMS (Malawi Government, 2008a). It is important that the implementation of PMS be as effective as planned in order to realise the intended goals. This research assessed the implementation of the PMS in the Malawian civil service. Key findings were that prerequisites for the programme implementation were minimal, the interface between elements of programme implementation not clarified and at times incompatible, and that the organisational variables as specified by the Burke-Litwin model had room for improvement in order to implement the PMS effectively. The recommendations gleaned from the findings in
the present research could possibly provide valuable input to the process of improving PMS implementation.
References


Kiragu, K. (2002). *Improving service delivery through public service reforms: Lessons of experience from select sub-Saharan African countries*. A paper for presentation and discussion at the second meeting of the DAC Network on good governance and
capacity development, OECD Headquarters, (September 25th - 28th, 2001), Nairobi, Kenya.


### Appendix A Questionnaire

**QUESTIONNAIRE ON PERFORMANCE MANAGEMENT SYSTEM IN THE CIVIL SERVICE**

#### PART A PRELIMINARY DETAILS

<p>| | | | | |</p>
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Ministry/Department</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Grade</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Age</td>
<td>Below 30</td>
<td>31-45</td>
<td>Over 46</td>
</tr>
<tr>
<td>4</td>
<td>Years in service</td>
<td>Less than 5 years</td>
<td>5-15 years</td>
<td>Above 16 years</td>
</tr>
</tbody>
</table>

#### PART B Circle the appropriate number

<p>| | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>I am familiar with my Ministry’s goals</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>6</td>
<td>I have read my Ministry’s strategic plan</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>7</td>
<td>I know the leaders in the implementation of performance management system</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>8</td>
<td>There is clear direction on the implementation of the performance management system</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>9</td>
<td>The work culture in the civil service support performance management system</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>10</td>
<td>I am optimistic that the performance of civil servants can improve through the current performance management system</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>11</td>
<td>I still do not understand performance management in the Civil Service</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>12</td>
<td>My Ministry/Department is currently implementing the performance management system</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>13</td>
<td>The current Performance management system is simple and easy to use</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>14</td>
<td>There is top management support for the performance management system in my Ministry</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>15</td>
<td>The activities of performance management system are well coordinated</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>16</td>
<td>Relevant laws and regulations support the implementation of the performance management system</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>17</td>
<td>The human resource management information system is a useful tool in the implementation of performance management system</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>18</td>
<td>Civil servants talk about performance management over chats</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td>Strongly Disagree</td>
<td>Disagree</td>
<td>Neutral</td>
<td>Agree</td>
<td>Strongly agree</td>
</tr>
<tr>
<td>---</td>
<td>------------------</td>
<td>----------</td>
<td>---------</td>
<td>-------</td>
<td>----------------</td>
</tr>
<tr>
<td>19</td>
<td>Most job descriptions need to be updated in my Ministry</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>20</td>
<td>My job is challenging</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>21</td>
<td>Performance management system gave me new energies to work</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>22</td>
<td>I have read the circular on performance management</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>23</td>
<td>I have been trained in performance management system</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>24</td>
<td>The training on performance management system was adequate</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>25</td>
<td>All employees were trained in performance management in my Ministry/Department</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>26</td>
<td>The implementation of Performance management system has been evaluated in my Ministry/Department</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>27</td>
<td>Training in performance management focused on performance appraisal</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>28</td>
<td>My role as HR officer in the implementation of performance management system is recognised as important</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
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<tr>
<td>29</td>
<td>The roles of all stakeholders were clarified in the system</td>
<td>1</td>
<td>2</td>
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<tr>
<td>30</td>
<td>There is more that HR officers could do in implementing performance management system</td>
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<td>2</td>
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<tr>
<td>31</td>
<td>It is difficult to measure the performance of some jobs in my Ministry</td>
<td>1</td>
<td>2</td>
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<tr>
<td>32</td>
<td>I have been appraised once over the last three years in my job</td>
<td>1</td>
<td>2</td>
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<tr>
<td>33</td>
<td>It is possible to base promotion and training on civil servants' performance appraisal results</td>
<td>1</td>
<td>2</td>
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<tr>
<td>34</td>
<td>There is frequent communication between DHRMD and the HR unit in my ministry/department on performance management issues</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
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<tr>
<td>35</td>
<td>I prefer the old system of appraising employees than the present performance management system</td>
<td>1</td>
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### PART C. CHALLENGES ON THE PERFORMANCE MANAGEMENT SYSTEM IN THE CIVIL SERVICE

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<tbody>
<tr>
<td><strong>38</strong></td>
<td>What were some of the problems in the implementation of performance management system</td>
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<td><strong>37</strong></td>
<td>Write any other comments that you would like to share with the researcher on the implementation of the performance management system in the civil service</td>
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</tbody>
</table>

THANK YOU VERY MUCH FOR YOUR COOPERATION
Appendix B Interview guiding questions

**Interviews guiding questions**

1. What was the vision of the programme?
2. Was the vision communicated to the users of the programme?
3. What prompted the launch of Performance Management System in the Malawi civil service?
4. Who is leading the implementation of the Performance Management System?
5. What is the role of politicians in the implementation of Performance Management System?
6. How can you describe the culture of civil servants in relation to the implementation of Performance Management System?
7. What is the framework for the implementation of Performance Management System?
8. What are the roles of OPC/DHRMD and CSC in the Performance Management System?
9. How were these roles exercised?
10. Has the Performance Management System been evaluated since its launch?
11. What were the findings of the evaluation?
12. What was the outline of the schedule of events for the Performance Management System?
13. What structure, policies and systems were put in place to prepare for the implementation of Performance Management System?
14. What was done to capacitate those who would oversee and run the Performance Management System? (Training, resources, delegated authority)
15. How would you describe the motivation of staff in relation to Performance Management System?
16. How can you describe the overall implementation of Performance Management System now?
17. What are the successes of the Performance Management System since its launch in 2008?
18. What are the challenges of the programme since its launch in 2008?
19. What are the future plans for the Performance Management System?
20. Is there any other information worth sharing pertaining to the Performance Management System implementation in the Malawi civil service?
Appendix C  Permission to conduct research in the Malawian civil service

Ref. No. HRM/PERM/01/30  21st January, 2013

FROM: THE SECRETARY FOR HUMAN RESOURCE MANAGEMENT
AND DEVELOPMENT, P.O. BOX 30227, LILONGWE 3.

TO: THE CHIEF SECRETARY TO THE GOVERNMENT,
OFFICE OF THE PRESIDENT AND CABINET,
P/BAG 301, LILONGWE 3.

AUTHORITY TO CONDUCT RESEARCH: MR. H.K. GUNCHI

Reference is made to your letter No. 15/03/1 dated 18th January, 2013 on the
above subject matter.

I am pleased to inform you that approval has been granted for Mr. Humphreys K.
Gunchi to conduct research on "Performance Management System in the Public
Service". He is currently studying for Master of Arts in Labour Relations and Human
Resource Management degree at Nelson Mandela Metropolitan University under
Malawi Government Scholarship Fund.

S.D.R. Jane
For: SECRETARY FOR HUMAN RESOURCE MANAGEMENT
AND DEVELOPMENT