

THE IMPLEMENTATION OF THE PERFORMANCE MANAGEMENT PROGRAMME IN  
UGANDA'S PUBLIC SERVICE WITH SPECIFIC REFERENCE TO THE MINISTRY OF  
PUBLIC SERVICE

by

**EPUCIA EMMANUEL LUBWAMA MPANGA**

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SUPERVISOR: MR R KALEMA

CO-SUPERVISOR: MS A BARNES

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## **ABSTRACT**

Human resources management is a key aspect in Public Administration. In fact, it is argued that people are indeed the most valuable resource to any organisation. However, it is imperative to note that having people within an organisation does not automatically translate into results. Success within an organisation stems from implementing best practice human resources management. Performance management is one of the aspects involved in streamlining human resources management in an organisation. The foundation of this research is therefore based on the realization that performance management is a key factor to achieving results in Uganda's public sector. Similar to several other countries, Uganda's public sector has gone through various transitions and reforms. The performance management system that stands in the current public sector is a result of the reforms in the public sector.

In order to understand the environment in which public servants operate, this research starts by giving a background to the history of the public sector and the evolution of the public service through the public service reform programme. Attention is then drawn to the theoretical framework by way of identifying the standards required in any given performance management system. Based on these identified standards and the research objectives, an evaluation of the implementation of performance management in Uganda's public sector is discussed with specific reference to the Ministry of public service. The final chapter of the research gives critical recommendations to improve public sector performance management in the Ministry of public service and the Ugandan Public service as a whole. The research findings indicate that performance management policies in Uganda's public sector are founded on the right and basic principles of performance management. However, critical measures should be put in place to address the actual implementation of performance management in the public sector in order to improve results.

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## Acronyms

|               |   |
|---------------|---|
| <b>CA</b>     | Constituent Assembly                                  |
| <b>CSR</b>    | Civil Service Reform Programme                        |
| <b>DRC</b>    | Democratic Republic of Congo                          |
| <b>FY</b>     | Financial Year  |
| <b>GOU</b>    | Government of Uganda                                  |
| <b>HR</b>     | Human Resources                                       |
| <b>HRM</b>    | Human Resources Management                            |
| <b>IMF</b>    | International Monetary Fund                           |
| <b>IPMF</b>   | Integrated Performance Management Framework           |
| <b>KCC</b>    | Kampala City Council                                  |
| <b>LC</b>     | Local Council   |
| <b>LG</b>     | Local Government                                      |
| <b>LRA</b>    | Lords Resistance Army                                 |
| <b>MBO</b>    | Management by Objectives                              |
| <b>MDG's</b>  | Millennium Development Goals                          |
| <b>MLG</b>    | Ministry of Local Government                          |
| <b>MOP</b>    | Ministry of Public Service                            |
| <b>NRM</b>    | National Resistance Movement                          |
| <b>PM</b>     | Performance Management                                |
| <b>PSRP</b>   | Public Service Reform Programme                       |
| <b>PSRRC</b>  | Public Service Review and Reorganisation Commission   |
| <b>RC</b>     | Resistance Council                                    |
| <b>ROM</b>    | Results Oriented Management                           |
| <b>TQM</b>    | Total Quality Management                              |
| <b>UPDF</b>   | Uganda Peoples Defence Forces                         |
| <b>UPE</b>    | Universal Primary Education                           |
| <b>UPSPEP</b> | Uganda Public Service Performance Enhancement Project |



# **CHAPTER 1**

## **INTRODUCTION AND METHODOLOGY**

### **1.1 INTRODUCTION**

Broadly speaking, it is not uncommon to find below average levels of public service delivery in developing nations. Not disregarding other spheres of public administration, public sector Human Resources are greatly considered to be a crucial element in public administration practice since their output greatly influences a country's level of public service delivery. This research study will be conducted to provide an overview description of how Uganda's public service manages its human resources performance for better service delivery. As a yardstick towards best practice human resources management, one would deem it imperative that government ministries carefully implement the best human resources management practice since this in turn influences the service rendered to the public. Best practice in human resources management is fundamental to the proper implementation of the right procedures in public administration. The section that follows below will outline the background for the research, the statement of the research problem, research methodology along with the clarification of some major concepts that are used in the research.

### **1.2 BACKGROUND TO THE STUDY**

Kithinji (2002) suggests that most developing nations widely suffer from poor service delivery. In support to his argument, he deems human resources to be one of the contributors to these poor levels of service delivery (Kithinji 2002).

In response to the slow development of some of the world's nations, a global call was raised by the United Nations to all developing nations urging them to promote growth and development within their countries. Under the leadership of the United Nations Secretary General Kofi Anan, eight Millennium Development Goals (MDG's) were generated to form a blueprint agreed to by all the world's countries and all the world's leading development institutions. These goals range from halving extreme poverty to halting the spread of HIV/AIDS and providing universal primary education by the target date of 2015 (United Nations: 2007).

In an endeavour to achieve the MDG's, several countries have gone through a process of reforming their nation's public administration systems. From these reforms, evidently, changes have been incorporated in the various support functions of public administration and key to that have been reforms in the Human resources management function.

Further still, various states have gone through processes of reforming and transforming their public service administration functioning in terms of human resources management, financial administration, policy making and controlling. Effective and efficient service delivery can be achieved after a well structured public service reform has been implemented. Public service reform in Uganda has a long history (MOP 1990).

In the 1980's the civil service was in a state of crisis and this created the impetus for major reforms (MOP1990). A comprehensive programme (PSRP) has long been underway with continued efforts to improve organisation structures, introduce results based management, new management information systems, and a divestiture programme is planned to set up independent agencies (Kizza 2003). This reform programme creates ground for research in one of the functions of public administration.

As was mentioned by Kizza (2003), Uganda was one of the first countries in Africa to initiate public service reform by embarking on the first generation of reforms in the early 1980's under the post Idi Amin regime of President Milton Obote. Uganda has continued with the reform momentum right through the regime of President Yoweri Museveni (1986 - to date). Logically, one would therefore expect that Uganda's public service should be displaying good progress in implementing best practices in human resources management. Since expectations and reality could differ, the research topic was selected to determine the reality.

It is important to remember that although most developing nation's efforts to implement best practices are constrained by the financial resources at their disposal, addressing better human resources management in the public sector still remains core to providing better service delivery. Through the Public service reform programme, the Ugandan government aims at transforming the public service to make it affordable, effective, efficient and accountable in the use of public resources and service delivery (MOP 1997). Under projects such as the Uganda Public Service Performance Enhancement Project (UPSPEP), the PSRP is expected to support improvement in the policy, institutional and regulatory environment, for sustainable growth and service delivery (World Bank 2006).

Based on the above commentary, the researcher finds it compelling to research about the management of human resources in Uganda's public service as a tool towards enhanced service delivery. However, for the research, specific focus has been geared towards finding out how performance management as a key component in HR management is implemented by the Ministry of public service under the public service reform programme.

### **1.3 STATEMENT OF THE RESEARCH PROBLEM**

Derived from the background, the problem statement for this research is, ***“How does the Public service reform programme address performance management in Human Resources Management in the Ministry of public service?”***

### **1.4 RESEARCH OBJECTIVES**

Through an analysis of Uganda’s post colonial democratic era (1996 to date) literature, government policies, and research findings based on a variety of research methods, the objectives of the research will be:

- To describe how performance management in Uganda’s public service’s human resources is implemented under the public service reform programme.
- To bring to light the procedures and processes involved in performance management of human resources in Uganda’s public service.
- To describe how Uganda’s public service’s human resources are being managed.

### **1.5 CONCEPTUALISATION**

A discussion on Performance management raises several concepts that would need to be understood prior to a further discussion on the subject. Below are some of the definitions of the technical terms that are used in performance management. Depending on the context, each of the concepts below could have various meanings. For purposes of this research the understanding given below will be used as the meaning of the following concepts in the research.

a) Public administration

Since the research is in the field of public administration practice, the first concept to be clarified will be public administration in practice. Public administration can be understood as all the processes, organisations, and individuals associated with carrying out laws and other rules adopted or issued by legislatures, executives and courts. Hence, it will be defined as the accomplishing side of government (Stillman 1983: 2). The research will employ the suggestion of Stillman (1983: 3), who states that public administration is the production of goods and service designed to serve the needs of citizens who are the consumers of the goods and services.

b) Human resource and Human resources management

Human resource is the term used to refer to the employees within an organisation. As a function of administration, Human Resource Management will be used to refer to the activity that regards employees as resources to be managed pro-actively, bringing the vital functions of personnel management such as recruitment, training and appraisal in line with corporate goals in order to promote commitment of employees to the organisation rather than just mere compliance (Doherty & Horne, 2002: 235 – 236). Previously, organisations carried out personnel management but Human Resource Management is nowadays differentiated from personnel management by the fact that it focuses on the individual as a resource within the organisation rather than just focusing on the collective dealings with staff (Doherty & Horne, 2002: 235 – 236).

c) Reform

According to the Merriam-Webster dictionary (2008), reform refers to making changes for improvement, creating a change for the better, as a result of correcting the latter situation. In the context of the research, Public service reform will therefore relate to improving the public sector operations by correction of errors or defects in the public service to create better public service operations in the country (Google 2008).

d) Public Service delivery

In the average mans terms, a service can be defined as a useful act that does not produce a tangible commodity while delivery is the act of distributing or supplying something (Merriam-Webster 2008). By deduction, public service delivery in public administration will therefore be referred to as the supply of services to citizens by the government. Public service delivery is advanced by the government through government institutions and organisations, parastatal organisations, private companies, non-profit organisations or individual service providers as contracted by government. Improved service delivery in relation to this research will therefore be interpreted as a situation where the citizens who are treated as customers have some choice of delivery channels in which to receive services which should be consistently provided for their convenience (Merriam-Webster 2008).

e) Motivation

Prior to defining this concept, it is imperative to understand that different people are motivated by different things and that there's no one way to motivate people (Eisenhower 2000: 17-20). Eisenhower (2000: 17-20) defines motivation as the art of getting people to do what you want them to do because they want to do it. In further discussions motivation will be used to denote the degree of readiness among employees to pursue designated goals (Eisenhower 2000: 17-20).

f) Staff training

Effecting reform plans and implementing improved effective and efficient service delivery through employing best practice human resources management requires a great investment in staff training. Staff training under the subject of performance management will therefore be understood as all input and intervention to ensure that public service employees are thoroughly knowledgeable and competent in the provision of a better service that go over and above the expectations of the average citizen (Maheshwari 2002: 500-502).

g) Public Service Ethics

In the context of public administration, ethics will be regarded as the collection of moral principles, norms, attitudes, values and obligations that serve as conduct and behavioural rules to be observed by public representatives and public servants to ensure that their actions remain focused on the promotion of the general welfare of all members of the population (Cloete 1995: 29)

h) Performance management

Performance Management as applicable to the research will be defined as the strategic and integrated approach to delivering sustainable success to an organisations by assisting in improving the performance of the employees and the employers and by developing the capabilities of the teams or individual contribution to the organisation (Armstrong & Baron, 1998: 22).

The definitions that follow are terms that are specific to the field of performance management. In his book, Field Guide to Consulting and Organisational Development, Mc Namara (2008) suggests the terms below as key terms in any discussion on performance management. Definitions are presented according to those provided by Mc Namara (2008: 181-198).

- i) Domain: Mc Namara (2008: 181) defines the domain as the focus of the performance management effort. It is also stated that a domain could be the entire organisation, a process, subsystem or an employee.
- j) Results: These are usually the final and specific outputs desired from the domain. Results could be in terms of financial accomplishments or impact on a community. Results are expressed in terms of cost, quality, quantity or time. Results are a form of measure (Mc Namara 2008: 182-183).
- k) Performance Plan: This is a composition of the domain's preferred results, how the results tie back to the organisation's preferred results, weighting of results, how results will be measured and what standards are used to evaluate results (Mc Namara 2008:181-198).



- l) Performance Appraisal: In its most basic form, performance appraisal (or review) activities include documenting achieved results and indicating if standards were met or not. The appraisal usually includes some form of a development plan to address insufficient performance (Maheshwari 2002: 366-370).
  
- m) Rewards/Recognition: The performance review process usually adds information about rewarding the employee if performance was met or exceeded standards. Rewards can take many forms. These include merit increases, promotions, certificates of appreciation, and letters of commendation amongst others (Mc Namara 2008: 354).
  
- n) Performance Gap: This represents the difference in actual performance shown as compared to the desired standard of performance. In employee performance management efforts, this performance gap is often described in terms of needed knowledge and skills which become training and development goals for the employee (Mc Namara 2008: 182-183).

## **1.6 RESEARCH METHODOLOGY**

This section of the chapter discusses the research methodology in relation to the research design, area of study and the characteristic of the population or the research. It also outlays the methods used in collecting and analyzing the data as well as the research procedure and the limitations encountered during the process of data collection.

### 1.6.1 Research design

According to Creswell (2003), there are three main research paradigms namely; Quantitative, Mixed research and Qualitative. Quantitative research relies primarily on the collection of quantitative data. Qualitative research relies on the collection of qualitative data. Mixed research involves the combination of using both quantitative and qualitative methods in data collection. A more convenient distinction between the emphases of each of these three paradigms is represented in the table below as presented by Creswell (2003). Pure quantitative research follows all of the paradigm characteristics of quantitative research shown in the left column of Table 1 while pure qualitative research follows all of the paradigm characteristics of qualitative research shown in the right column of the Table.

**Table 1. Emphases of Quantitative, Mixed and Qualitative Research**

|                               | <b>Quantitative Research</b>  | <b>Mixed Research</b>            | <b>Qualitative Research</b>  |
|-------------------------------|---|----------------------------------|--|
| <b>Scientific Method</b>      | Deductive or top-down. The researched tests hypotheses and theory with data | Deductive and inductive          | Inductive or bottom-up The researched generates new hypotheses and grounded theory from data collected during field work |
| <b>View of human behavior</b> | Behavior is regular and predictable   | Behavior is somewhat predictable | Behavior is fluid, dynamic situational, social, contextual and personal  |

|  |  |   |   |
|--|--|---|---|
| <b>Most common research objectives</b> | Description, explanation and prediction  | Multiple objectives   | Description, exploration and discovery  |
| <b>Focus</b>                           | Narrow-angle lens, testing specific hypotheses   | Multilens focus   | Wide-angle and deep-angle lens, examining the breadth and depth of phenomena to learn more about them   |
| <b>Nature of observation</b>           | Attempt to study behavior under controlled conditions  | Study behavior in more than one context or condition                                    | Study behavior in natural environments, study the context in which behavior occurs  |
| <b>Nature of reality</b>               | Objective – different observers agree on what is observed  | Commonsense realism and pragmatic view of world i.e. what works is what is real or true | Subjective, personal and socially construed   |
| <b>Form of data collected</b>          | Collective quantitative data based on precise measurement using structured and validated data collection instruments | Multiple forms  | Collect qualitative data for example in-depth interviews, participant observation, field notes and open ended questions. The researcher is the primary data collection instrument |

|                             |   |  |  |
|-----------------------------|---|--|--|
| <b>Nature of data</b>       | Variables   | Mixture of variables, words and images | Words, images, categories  |
| <b>Data analysis</b>        | Identify statistical relationships  | Quantitative and qualitative           | Search for patterns themes and holistic features   |
| <b>Results</b>              | Generalizable findings  | Corroborated findings may generalize   | Particularistic findings.<br>Representation of insider viewpoint.<br>Present multiple perspectives |
| <b>Form of final report</b> | Statistical report for example, with correlations, comparisons of means and reporting of statistical significance of findings | Eclectic and pragmatic                 | Narrative report with contextual description and direct quotations from research participants      |

Based on the illustration of the three research designs in the table above, the research is mainly conducted in a qualitative nature since it sought through a descriptive approach the opinions of the research participants.

Qualitative research involves collecting non-numerical data records and materials that are relevant to the group under study (Mouton 2001: 53 - 54). To a minor level one could say that it is a mixed research since in some cases elements of a quantitative nature were also employed in expressing characteristics of variable in percentages or countable forms.

### **1.6.2 Research Procedure**

Before embarking on data collection, the researcher sought for permission to conduct research from the Ministry of public service. Once the permission was granted, administration of questionnaires and interviews to the research participants was done in the English language. Participants were both verbally and in writing assured that their responses would be held in confidentiality. The responses were then scored and analyzed in consonance with the research objectives.

Depending on the nature of their activities, government ministries in Uganda generally follow the same procedures in their administration and management. The core and primary literature and data for this research was collected from the Ugandan Ministry of public service to endeavor to gather data that would be representative or enable one to make generic conclusions regarding performance management in Uganda's public service.

### **1.6.3 Description of the population**

Busha (1982: 56) describes a population as any set of persons or subjects that possess at least one common characteristic. In this research, the population included fifty (50) randomly selected staff from the four departments of the Ministry of public service. The respondents ranged from top management level to junior level officers in the public service. The common characteristic making them the research population of choice is the fact that they are all public service employees from the Ministry of public service in Uganda.

## **1.6.4 Research Methods**

Research methods are no more than the tools of trade, therefore in order to carry out a complete and successful research, a selection of the best methods relevant to the problem under investigation were used. Although the research widely relied on a process of reviewing literature relevant to the topic, multiple methods of research were employed of which included the following:

- Interviews
- Questionnaires
- Literature research
- Document analysis
- Historical reviews

### **1.6.4.1 Interviews**

A personal interview is the most commonly used method in collecting data in public administration research (McNabb 2002: 294). It entails conducting individual conversations between a researcher and the individual. In order to keep the research focused, it is imperative for the researcher to have a guideline of questions in order to extract the needed information from the respondent. The questions that were used in the research were both open ended giving the respondent the liberty to answer from a non direct opinion and closed ended questions that need either a yes or no answer. The major advantage of using an interview is the fact that a lot more data could be collected since the researcher deals directly with the respondent although the downside to this is that the researcher could very easily influence the data being collected (McNabb 2002: 294).

In this research, two staff members of the Ministry of public service was approached to provide in depth information on the procedures and processes involved in performance management of the human resources in Uganda's public service. The questions that were used in the interviews were structured questions for purposes of creating grounds for comparison amongst the staff member's responses.

#### **1.6.4.2 Questionnaires**

In supplementation to the interviews, a structured questionnaire which is Annex III of this research was designed and distributed to fifty (50) randomly selected staff from the Ministry of public service. Using a questionnaire is one of the most popular methods of collecting primary data (Mouton 2001: 53 - 54). A questionnaire is a set of questions that respondents are asked to answer. This implies that a researcher must therefore take time to first prepare the list of topics or questions to ask. There are many advantages of using questionnaires but the major advantage is that they are flexible since they could be used on small or large numbers and various questions could be asked. It is important to note that while using questionnaires the researcher has to design questions that remain relevant to the topic in order to acquire relevant data for the research (Mouton 2001: 53 - 54). The questionnaire focused on questions regarding the employees knowledge of the activities involved in how their performance is managed (See Annex III).

#### **1.6.4.3 Literature research**

In literature research, the researcher would indulge in a process of extracting data from material that has been previously written about the subject (Mouton 2001: 86 - 89). For this research, a literature review was conducted based on a variety of public administration books, government

websites and publications, and journals about performance management and human resources management in Uganda's Ministry of public service. The main source of literature research was however from publications by the Ministry of public service.

#### **1.6.4.4 Document analysis**

A document analysis usually entails doing a content analysis of official government records, internal organisational annual reports or memos, or external reports or articles about a case subject. Although doing a document analysis could require critical analytical skills, there is an advantage of doing a document analysis since it does not interfere with or distort the case setting in anyway (McNabb 2002: 295 - 296). For the research, various government documents and reports were analysed relating to how public human resources performance management is addressed in the public service reform programme.

#### **1.6.4.5 Historical reviews**

This is a method of discovering, from records and other accounts what happened in the past. According to Bailey (1982: 316), historical research is qualitative and serves as an effective complement to the generalized scientific research by way of documenting a unique historical event. It is very helpful in establishing a baseline or background information prior to interviewing research participants. A review of Uganda's public service prior to the initiation of the reform was conducted through information provided in books and journals relating to Uganda's public service.



### **1.6.5 Limitations of the study**

Although the research was successful, the researcher faced a number of problems and these included the following:

- It took a lot of effort to secure permission and consent to carry out research with the Ministry of public service due to the fact that the officers responsible to grant this permission were initially not complacent about the researcher's intentions in conducting research thus creating unnecessary delays.
- Since the research also sought some respondents to answer questionnaires and return them via electronic mail, some respondents were skeptic about the confidentiality of their responses and therefore there could have been a possibility of withholding some important information thereby affecting the accuracy of the research findings.
- Lack of enough time since the researcher had to work under pressure in order to beat the deadlines while also attending to his employment.
- Interview arrangements with the interview participants were hard to co-ordinate since the participants to be interviewed had tight schedules.

### **1.6.6 Data Analysis**

Responses acquired from the two interviews conducted were incorporated in the research findings in chapter four of the research. Further still, every questionnaire was checked to see that it had been answered.

In case of omissions and inconsistencies, efforts were taken to clear them. Of the 50 questionnaires that were distributed to the Ministry of public service only 48 were returned complete and the functional titles of the respondents are indicated in the table 2 below. Out of the total research sample of 50 public officials, a return of 96% was received.

**Table 2. Questionnaire respondents (MOP)**

| <b>Functional Title</b>           | <b>No. of Respondents</b> |
|-----------------------------------|---------------------------|
| Receptionist                      | 1                         |
| Records Assistant                 | 2                         |
| Did not disclose Functional title | 3                         |
| Systems Analyst                   | 3                         |
| Secretary                         | 7                         |
| Acting Commissioner               | 1                         |
| Personnel Officer                 | 10                        |
| Office Attendants                 | 6                         |
| Accountant                        | 1                         |
| Senior Accountant                 | 1                         |
| Librarian                         | 1                         |
| Senior Personnel Officer          | 4                         |
| Protocol Officer                  | 1                         |
| Personal Assistant                | 2                         |
| Telephone Operator                | 1                         |
| Security Officer                  | 1                         |
| HR Assistant                      | 2                         |
| Senior Protocol Officer           | 1                         |
| <b>Total</b>                      | <b>48</b>                 |

The table above shows the functional titles and the number of staff that responded to the questionnaires circulated in the Ministry of public service. Three of the respondents declined to disclose their functional titles.

## **1.7 REFERENCE TECHNIQUE**

The research employs the Harvard style method of referencing as exhibited in the bibliography and the references in the paragraphs.

## **1.8 RESEARCH FRAMEWORK**

The research was conducted over a period of two years with more than six months dedicated to the collection of data to complete the five chapters as described below:

### ***Chapter 1 - Introduction and Methodology***

The first chapter which is the research outline has provided the motivation for the research, the problem statement, and clarification of concepts, the objectives of the research, research design and methods used in collecting the needed data as well as the research framework.

### ***Chapter 2 - An overview of Uganda's Political and public service History and the origin and focus of the Public Service reform Programme (PSRP)***

Aside from giving the political history of Uganda, this chapter mainly provides a historical evolution of human resource management in Uganda's public service. Uganda's strategy to maintain best practice human resources management is embraced in the PSRP. In order to

understand the PSRP, it is imperative to first understand under what context it was generated. Therefore, in chapter two, attention will first be given to an overlay of the political history of Uganda from 1980 (The beginning of a new leadership after President Idi Amin) until 1992 when the implementation of the PSRP commenced. This chapter will define and describe the Public Service Reform Programme (PSRP) as a measure to reform Public Service Human resources management in Uganda. As a starting point, the chapter will also discuss the overall goals of the public service programme and then further identify the role that this programme is taking in reforming public sector human sources in Uganda. Since there are various aspects of human resources that the PSRP gives focus to, it will not be possible to detail all of them in this research. Therefore, in the same tone with the research objectives this will limit its study towards identification of how the PSRP addresses performance management in the public service.

### ***Chapter 3 - A Theoretical Framework of Performance Management and Performance Appraisal***

Chapter three of this research is the theoretical framework against which the research findings were evaluated. In any public service there is a need for a well-defined structure or framework for managing performance, most especially because public services require a large number of staff members in order to be provided. Managing performance provides structures built around the natural planning, monitoring and reviewing processes of management and this further provides the impetus for planned and systematic learning activities and events that might otherwise be lacking. Performance management therefore acts as a tool for the encouragement, support and guidance for the employees and could therefore be used to improve service delivery.

In establishing the theoretical framework, the researcher explores the different understandings of the term performance management from a literature context to provide a scientific backbone on which performance management activities can be identified from the PSRP and the Ministry of public service.

#### ***Chapter 4 - Performance management and Appraisal in Uganda's Public Service with specific reference to the Ministry of public service***

Although not all the tools can be listed in detail in this research, a highlight of this chapter will be to focus on identifying the processes involved in performance management in the public sector as well as the findings from the research conducted on the Ministry of public service. Based on the recommendation of the Public Service Reform Programme, Uganda employs the Integrated Performance Management Framework in managing the Human Resources performance. Some of the performance management issues to be discussed include but are not limited to staff motivation and reward, training and developing staff within the public service. The initial point at which an effective performance management system can be achieved originates with pooling the right candidates for the job, making the right selections and placements and further giving the placed candidates a right start induction. Often a time, just getting the right people is not enough to ensure that the objective of the public sector is attained. It is often required that the right people are equipped with proper skills through adequate training and development to ensure that proper procedure is observed in conducting the various activities assigned. This generates the momentum to refine performance management in the Ugandan public sector. In order to manage performance, it is crucial to have a clear and effective performance appraisal system in place.

Through the research conducted on the Ministry of public service and based on the research objectives, this chapter focuses on identifying the system used by the PSRP to appraise staff performance within the public service and how it is implemented as means to determine good or bad performance and how it can be rewarded or castigated respectively.

### ***Chapter 5 - Recommendations and Conclusion***

At the end of the research, recommendations based on the findings of the research have been provided. This chapter is detailed with the recommendations to the Ministry of public service and a conclusion of the research topic based on the findings.

#### **1.9 SIGNIFICANCE OF THE STUDY**

By describing how performance management in the Ministry of public service is implemented, this research creates an evaluation platform to provide the Ugandan public service with a prescriptive direction in which the management of public human resources performance should be heading to ensure that Uganda's public service complies with best practice human resources management.

#### **1.10 SUMMARY**

Developing countries are greatly constrained by financial resources in providing services to the public effectively and efficiently. Fortunately, Uganda as a developing nation appears to have a large number of public servants and this resource could be well utilised to continue improving service delivery. It is therefore important that Uganda optimally uses the available human resources to improve its service delivery. Optimal use of the human resources can only be realised by promoting best practice

human resources management. This is one of the ideas that the Public Service Reform Programme endeavours to implement. Therefore, this research outlays how Uganda manages its public human resources performance against a back ground of providing solutions to any inadequacies and giving credit to what can be enforced in whatever is being done right. The result of best practice HRM leads to achieving better levels of service delivery eventually culminating into increased propulsion for development.

## **CHAPTER 2**

### **AN OVERVIEW OF UGANDA’S POLITICAL AND PUBLIC SERVICE HISTORY AND THE ORIGIN AND FOCUS OF THE PUBLIC SERVICE REFORM PROGRAMME (PSRP)**

#### **2.1 INTRODUCTION**

Uganda’s strategy to maintain best practice human resources management is embraced in the Public Service Reform Programme (PSRP). In order to understand the PSRP and the need for a reform, it is imperative to first understand under what context it was generated. Therefore, in this chapter, attention will first be given to an overlay of the history of Uganda’s public service from 1986 “The beginning of a new leadership” until 1992 when the implementation of the PSRP commenced. This chapter will define and describe the Public Service Reform Programme (PSRP) as a measure to reform Public Service Human resources management in Uganda. As a starting point in the chapter, an overview of public administration in Uganda as well as the overall goals of the Public Service Reform Programme will be discussed. Based on the above literature study introduction, in the subsequent headings the role of the PSRP in public sector human resources performance management in Uganda will be discussed. Since there are various aspects of human resources that the PSRP gives focus to, it will not be possible to detail all of them in this research. Therefore, this research will limit its study towards performance management in public human resources management of Uganda.



## **2.2 POLITICAL HISTORY OF UGANDA**

Uganda gained its political independence from the British in 1962 and power was directly handed over to the King of Buganda and the Prime Minister Dr. Milton Obote. Since then, an era of coups and counter-coups came up lasting until the mid 1980s. In 1986, the so called “Bush war” ended with the current President Museveni’s government overthrowing President Okello’s government. President Museveni has been in power since 1986. In the mid to late 1990s, he was praised by the western states as part of a new generation of African leaders. His presidency has included involvement in the civil war in the Democratic Republic of Congo (DRC) and other conflicts in the Great Lakes region, as well as the civil war against the Lord’s Resistance Army (LRA) (Wikipedia 2008).

## **2.3 HISTORY OF PUBLIC SERVICE IN UGANDA**

Olum (2003) asserts that, the Public Service being the operational arm of the Government, is charged with the task of analysing and making decisions, administering public policy, influencing all development efforts, and regulating the balance between state power and state capacity to achieve socioeconomic development. The performance of the Public Service in Uganda has its roots in the colonial era that began effectively in 1900 (Olum 2003). This was an era where the public servants were foreigners to Africa. Serving as representatives of the colonial countries, public servants were used to consolidate the colonial rule. The high echelons of the Public Service were monopolised by colonial agents who served interests that were mostly opposed to the interests of the ‘natives’. The postcolonial Public Service that was supposed to serve the citizenry inherited the culture of serving narrow interests that were retained by the new Public Service elite as a basis for their survival. The strong wave for post-colonial governments to have centralised states to fund institutions

responsible for the delivery of public services exacerbated the contradictions of the capacity of government to do business at the expense of the private sector, the latter being dominated by foreigners (Olum 2003). The economic crisis of 1973 fuelled by the global oil crisis, low agricultural prices, increased debt burdens and decreased service delivery in terms of quality and quantity, led to further questioning of the capacity of the Public Service institutions to deliver goods and services to the public in a cost effective manner. Worst of all, the gains that the Public Service in Uganda had enjoyed from 1962-1971 were further eroded when dictator Idi Amin Dada took over state power in a *coup de tat* that toppled Apollo Milton Obote on 25th January 1971 (Wikipedia 2008).

This collapse of the public administration machinery was quickly followed by economic decay, civil war, and political instability. Among the problems in the Public Service as diagnosed around the 1987 when the National Resistance Movement (NRM) came to power, were difficulties in the delivery of social services to the citizens, inefficient functions of Central Government, over-centralised Public Service and generally compromised service delivery by corrupt management of the ministries and public enterprises (MOP 1990). Further, the Public Service was bloated or over-expanded without justification, run down in terms of training, tools and equipment, poorly remunerated employees, and characterised by pretence to work. In conclusion, when Museveni's government came into power, it found the Public Service to be inefficient and demoralised (MOP 1991).

## **2.4 AN OVERVIEW OF UGANDA'S PUBLIC ADMINISTRATION SYSTEM**

Uganda is governed under the constitution of 1995 as amended (Constitution of the Republic of Uganda, 1995). The president, who is both head of state and head of government, is elected by popular vote for a

five-year term. The unicameral legislature consists of the 332-seat National Assembly, whose members also serve for five years; 215 of the members are directly elected, and the rest are nominated from women, the army, and other groups. Administratively, the country is divided into 80 districts, grouped into four regions (Northern, Western, Central, and Eastern) (Constitution of the Republic of Uganda, 1995).

The government of Uganda gained its independence from the British government on 09 October 1962. On 08 October 1995, it adopted an interim constitution which was debated by 284 members of the Constituent Assembly (CA) in May 1993. The CA was dissolved upon the promulgation of the constitution. According to the constitution of Uganda, the legal structure of the country comprises of three major arms namely, the Legislature, the Executive and the Judiciary (Okutho 2003b). These will be described below.

#### **2.4.1 The Legislature**

The structure of the present Parliament of Uganda was created by the 1995 Constitution. It replaced a transitional body of appointees created by the National Resistance Movement (the NRM) following its victory in the civil war. Uganda now has a mixed system with a strong president who is elected nationally and has the power to appoint ministers. Members of parliament are separately elected. Parliament cannot proceed on a bill or amendment that taxes, spends public funds, or borrows in the name of Uganda unless the bill or motion is introduced on behalf of government. Its constitutional role is thus quite limited in taxing and spending measures. In the pre-1997, that role was largely limited to passing budgets presented on short notice and approving after they incurred expenditure over-runs presented to them by the government.

Parliament also has audit powers, but in the pre-1997 period auditing of executive expenditures ran years behind. The general lawmaking powers are similar to those found in many other nations. Bills can be introduced by the government, by committees and by private members. A committee system is specified to consider legislation. That system, according to the member who introduced the measure to create it, was based on observation of American legislatures including those in the states, and the authors hoped that it would develop into a similar system dividing legislative labor. Bills passed by Parliament can become law with the President's approval, or over his opposition with a two-thirds vote (Constitution of the Republic of Uganda, 1995).

In the area of oversight, Parliament has substantial potential power over ministers. It has the commonly found legislative power to confirm ministerial appointments. And, less common, it can censure ministers by majority vote, and censure means removal from office. Parliament through its committees has another power that can be combined with the above to give it a potentially larger role in oversight. Committees have a large grant of authority to get information out of government: the power to call public officials before them, to compel them to provide information, and to produce documents (Okutho 1996).

#### **2.4.2 The Executive**

The Executive of the country is headed by the President and assisted by the Vice President, Prime Minister and Cabinet Ministers. The President of Uganda is the Head of State, Head of Government and Commander-in-Chief of the Uganda Peoples' Defence Forces (UPDF) and the Fountain of Honour. The executive authority of Uganda is vested in the President and is exercised in accordance with the Constitution and the laws of Uganda.

After a national referendum to amend the constitution, a president can be elected under the Constitution to hold office as President for more than two terms. With the approval of Parliament by a simple majority, the president appoints a vice-president (Okutho 1996).

The Cabinet consists of the President, the Vice-president and such number of Ministers as may appear to the President to be reasonably necessary for the efficient running of the State. The President also appoints the Cabinet Ministers. Cabinet Ministers appointed by the President are subject to the approval of Parliament. Cabinet Members are appointed from among members of Parliament or persons qualified to be elected members of Parliament. The total number of Cabinet Ministers may not exceed twenty-one except with the approval of Parliament. The President may, with the approval of Parliament, appoint other Ministers to assist Cabinet Ministers in the performance of their functions. The President also appoints a Director of Public Prosecution on the recommendation of the Public Service Commission and with the approval of Parliament (Constitution of the Republic of Uganda, 1995).

### **2.4.3 The Judiciary**

The Judiciary is a distinct and independent arm of Government entrusted with judicial authority and mandated to administer and deliver justice to the people of Uganda. It plays a fundamental role in the promotion of law and order, human rights, social justice, morality and good governance. The independence of the Judiciary is guaranteed by the constitution in a number of its provisions regarding among others, the appointment, removal, salary and other conditions of service of judicial officers (Okutho 1996). The core of the Judiciary's independence is the absence of any interference for the Executive or the Legislature in judicial decisions. The key function of the Judiciary is the adjudication of civil and criminal cases.

In addition, the judiciary interprets the constitution and gives effect to its provisions, as well as providing the expertise in interpreting of the laws. The Judiciary also performs other related duties in promotion of human rights, social justice and morality. Article 126 of the Constitution of the republic of Uganda vests judicial power in the Judiciary to be exercised in conformity with law and with values, norms and aspirations of the people. The provision sets the principal upon which the courts may exercise that power. The courts now have a strong challenge to administer justice in the interest of the people having regard to their norms values and aspirations. The Judiciary is, therefore, granted both administrative and financial independence to carry out its responsibilities impartially and justly. Article 128 makes it clear that the courts are not subject to the control or direction of any person or authority. No person can interfere with the courts in the exercise of their functions. All organs of the State are required to give the courts the assistance necessary to make them efficient. All expenses of the Judiciary are charged on the consolidated fund. The Judiciary is a self-accounting institution and deals directly with the Ministry of Finance. Salaries and allowances of judicial officers are fixed by parliament and cannot be varied to their disadvantage (Okutho 2009), (Constitution of the Republic of Uganda, 1995).

#### **2.4.4 Local Government**

The Central Government had centralized almost all powers until 1993 when Parliament enacted the Local Governments (Resistance Councils) Statute and functions, powers and services were gradually transferred from the central government to the local governments. Before decentralization, the central government decided how funds were to be utilized and remitted them directly to the departments in the district, with the district authorities having no control over their use. The legal reforms or supporting legislation for decentralization begun with the 1987 statute,

followed by the Local Governments (Resistance Councils) Statute, 1993 (MLG 1993). These laws were later entrenched in the 1995 Constitution and further expanded by the Local Governments Act, 1997.

The law provides for the district to be a unit of local government or sub-government, with the functions for the central and local government clearly spelt out. The Ministry of Local Government oversees local governments' administration. In June 2003, there were 44 district councils (LCV) and one city (Kampala City Council) that exercise the powers of a district council. Kampala City Council has 5 divisions that constitute lower local governments' sub-county councils (Okutho 1996). The rural districts' lower level governments comprise 903 sub-county councils (LCIII) and 63 urban councils with some autonomy from the district. The urban councils comprise 13 municipal councils (LCIV), with 34 municipal divisions and 50 town councils (LCIII). In addition, there are administrative of County Councils (LCIV), Parish Councils (LCII) and Village Councils. There are currently 1,050 local governments (MLG 1993).

In the administrative structure, a district is subdivided into Counties and Municipalities or Towns depending on their size and other criteria set by the Ministry of Local Government. Every County is further subdivided into sub-counties, while municipalities are subdivided into divisions. The Sub-Counties, Divisions and Towns are further subdivided into Parishes and Wards, respectively. The Parishes and Wards are further subdivided into villages, which are the lowest administrative units. Councilors are elected on individual merit and not based on political party affiliation at all the above levels running from LCI (village) to LCV (district/city). The LCIII, LCV and some LCIV (municipality councils) are local governments, while the others are administrative units. Local governments in Uganda have legislative, financial and administrative powers. On the other hand, the administrative units largely have administrative roles. The law requires

that the total number of councilors must not be less than 10, and their terms last four years. The electoral areas in a district are LCIII's, which comprise sub-counties, municipal divisions, city divisions and town councils (MLG 1993). As for local governments such as sub counties, municipal divisions, city divisions and towns, every parish or ward is an electoral area for the relevant local government council. If an electoral area is very large, the Act provides for its subdivision into more electoral areas, depending on the number of inhabitants, means of communication, geographical features and population density. As required by the Local Government (Resistance Councils) Statute 1993 and Legal Notice Supplement 1 of 1994, District Service Commissions are mandated to appoint, confirm, promote, and discipline all employees of the district and urban councils (Okutho 1996), (MLG 1993).

## **2.5 ORIGIN AND OBJECTIVES OF THE PUBLIC SERVICE REFORM PROGRAMME.**

The NRM government promised a fundamental change in the management of public affairs through the Ten-Point Programme that, among other things, aimed at building and consolidating democracy, building an independent and integrated economy while fighting corruption at all levels of society (MOP 1990).

Hence, the Civil Service Reform Programme (CSRP) initiated in 1988 and operationalised in 1989 with the setting up of the Public Service Review and Reorganisation Commission (PSRRC) under the CSRP, heralded one of the fundamental changes in handling public affairs and policy formulation in the country. In particular, the Commission was to address itself to four broad areas of concern, namely: personnel management issues; organisational structure; accountability and financial management; and conditions of service (MOP 1991).



The Commission found out that Uganda's civil service had been marked not only by its bloated structure, but also by inefficiency and poor performance (MOP 1990). Key problems were:

- a) Inadequate pay and benefits;
- b) Dysfunctional civil service organisation;
- c) Inadequate personnel management and training (MOP 1990).

On the basis of the recommendations of the Commission, Government launched a Civil Service Reform Programme in 1992. In the Government's strategic overview, it is stated that the ultimate goal of the programme was to restore the past glory and improve the responsiveness, efficiency and effectiveness of the Public Service in achieving Uganda's development objectives and at the same time enjoy public respect and confidence (MOP 1997). The long-term vision is to create a Public Service that is:

- (a) smaller better paid, more efficient and effective;
- (b) transparent, performance-based evaluation system, fair and consistent implementation of simple rules and procedures that foster discipline while leaving room for personal initiative, shared values supported by regulations, a new rational budgeting system based on identified priorities, a mandate to undertake only those functions that it can effectively perform, and a reliable information data base on which to base decisions;
- (c) paying its employees a "Living Wage";
- (d) guided by clear organisational goals and objectives, and whose employees will demonstrate commitment to such goals in their work, be fully accountable and responsible for the output of their jobs and will be committed to achieving clearly identified individual objectives (Okutho 2003b).

As much as the Public Service Reform started in 1989, it was re-launched in 1997 to bring it in line with the provisions of article 175 of the 1995 Constitution of Uganda. The enormous number of 255 recommendations for reforms which were adopted after a diagnostic review in 1989 indicated the gravity of the problems that the government of Uganda was faced with to reform and turn around the performance of the Public Service. From 1992 until 1997, the government of Uganda streamlined and reduced the government ministries from thirty-eight (38) to twenty-two (22). However, this was still seen as being high and containing a number of duplications. The staff numbers were reduced from 320,000 on the payroll to nearly half. The functions of the centre were to some extent devolved through the Decentralisation Statute No. 15 of 1995, the Local Governments Act, 1997, and the 1995 Constitution. Payroll and establishment controls were put in place, most benefits were monetized and take-home-pay was modestly increased. The effects of these reforms based on the principles of new managerialism, are yet to be fully understood and appreciated in relation to the performance of the Public Service (Opio 2004), (Okutho 2003b).

Nevertheless, the need for the reform of the Public Service (1997-2002) was indicative of the identification of the short falls of the earlier reforms. The Public Service reform programmes main objectives were to develop a Public Service that delivers timely, high quality and appropriate services aimed at the development and facilitation of growth of a wealth creating private sector. In order to bring these objectives into effect, the programme has primarily focused on enhancing management of the Reform; Enhancing efficiency and effectiveness; Management information and control systems; Developing human resources; Time management; Organisational discipline; and Good governance (Olum 2003).

### **2.5.1 The Objectives of the PSRP in promoting HR initiatives**

In line with the above, the overall objectives of the reform programme have been to:

- (a) Improve the general service delivery to the public;
- (b) Improve financial viability in the short and medium term;
- (c) Strengthen capacity; and
- (d) Reverse the progressive decline in public service efficiency and effectiveness (Olum 2003).

These objectives were to be achieved through a number of measures which include the following:

- (a) Clear demarcation of the respective roles and responsibilities in general and functional allocations and lines of authority between central Ministries and field staff working under Local Authorities.
- (b) Revitalisation of decentralised selection, promotion and disciplining of professional staff.
- (c) Management by results operational system incorporating success indicators which allow performance to be judged and appropriately rewarded or sanctioned.
- (d) A salary and incentive system which provides a “Living Wage” on the basis of appropriate levels of staffing and comparability with similar tasks in the private sector, and which contains strong performance-based incentives.
- (e) A systematic capacity and skills development process which related training to function to all levels of the Service (Okutho 2003b).

## **2.5.2 Development and outcomes of the Public Service Reform Programme**

a) Ministerial Restructuring: The changes in Government administrative structure started in July 1991 when the number of Ministries was reduced, through a Presidential directive, from 38 to 22. In the same year, the Ministry of public service began a process of Ministerial reviews as a basis for preparing a restructuring plan and specification of staffing requirements (Olum 2003).

b) Divestiture of Non-core Functions: During the restructuring exercise, a number of non-core functions were identified for divestiture. The main outcome of this was establishment of agencies to operate on commercial basis. The following agencies were established by law: National Environmental Management Authority, Uganda Revenue Authority; Civil Aviation Authority; National Agricultural Research Organisation, Uganda Wildlife Authority; and the Police Bureau. The overall assessment is that the performance of these bodies have greatly improved service delivery in their areas of jurisdiction. Uganda Revenue Authority for example has been instrumental in revenue collection which rose from Uganda shillings 284 billion at inception 1992 to Uganda shillings 758 billion in the fiscal year of 1996/1997 (Olum 2003).

c) Downsizing: The most controversial aspect of downsizing has been what should be the target and optimum size of the public service. A figure of 150,000 staff was given as the target to be achieved by June 1994. Apart from the fact that this did not take into account the changes that were later brought by decentralisation, the basis of arriving at the target was not convincing to majority of the Ministries, especially where the reviews came with different establishment levels. The change brought about by decentralisation caused disagreement between the Ministry of public service and that of Finance on the exact size of the Public Service.

Ministries argued strongly that they were understaffed. The Ministry of Finance and Planning on the other hand, was correctly adamant that increase in staff numbers will negate its plan to pay a reasonable wage, as a prerequisite for performance improvement. Ultimately, however, there was a major reduction in the size of the Service. This was effected through five measures; namely: the removal of overdue leavers and 'ghost' employees, abolition of group employees scheme, and retrenchment. In five years, the size of the Service was reduced by about 54 percent to 164,000 (Olum 2003).

d) Pay Reform and Incentive: Government accepted the PSRRC recommendation for improving the transparency and equity of the remuneration structure, and showed commitment to a phased progression towards a level of total emoluments that is commensurate with the qualifications, experience, and responsibilities of Public Service employees. As part of a salary enhancement programme, Government in the Financial Year 1991/1992, effected salary increase by a factor of 43 percent across the board. In the Financial Year 1992/1993, Government increased salaries by well over 85 percent on basic pay, and further increment was awarded in the Financial Year 1993/1994. But these increments did not significantly raise the pay levels, compared to the "Living Wage Level" recommended by the PSRRC. However, actual pay levels were higher because there were still a number of other "hidden" allowances such as the professional allowance, top-up allowance for teachers and non-cash benefits such as free housing and transport for some officers (Olum 2003).

In Financial Year 1994/1995, two significant policy changes were announced. First, Government divested itself from the responsibility for housing public officers and the existing pool houses were to be sold off, with priority being given to the sitting tenant. Secondly, Government decided to remove the distortion brought about by the consolidation of

allowances into basic salary, through a salary enhancement effort that ensured that all these allowances are subsumed into the new basic salary (Opio 2004). For Financial Year 1995/1996, Government continued with the reforms initiated in the previous year. In a Statement to Parliament on 23rd November 1995, Government announced that it had reviewed the remuneration policy and pay structure in the Civil Service, and had taken the decision that, the pay system in the civil service should seek to achieve the following four key objectives (Olum 2003):

(a) The total cost to the country of public service remuneration - the public sector wage bill - must be affordable within the context of a rational and non-inflationary public expenditure policy (Olum 2003).

(b) All Public servants should receive at least a living wage, i.e. a wage necessary to ensure that the recipient has sufficient income to maintain an adequate standard of living for himself and his immediate family, at the level of his appointment (Olum 2003).

(c) The remuneration package of a public servant should be as transparent and simple as possible, and should ideally consist of a single consolidated taxable salary, without the provision of additional allowances or non-cash benefits. This package should be sufficiently attractive to motivate and retain one to perform to the highest standard of which one is capable and at which one should be judged (Olum 2003).

(d) The Public Service Salary Structure should be harmonised, rationalised and equitable throughout Uganda for all groups of staff. Selective salary awards should be discouraged as much as possible (Olum 2003).

In pursuit of the above stated policy objective, Government increased the wage bill in Financial Year 1996/1997 from Uganda Shillings 160 billion to Uganda Shillings 220 billion. However, by Financial Year 1997/1998 the budget came under tremendous pressure due to lower than projected

revenue collection, the expenditures on local government elections, and the costs of introduction of Universal Primary Education (UPE) as a priority national programme. Under the above circumstances, Government was obliged to adopt a policy of “no change” in salary level at the beginning of the financial year. Therefore, the issue of insufficient pay continues to be a great draw back in the reform of civil service (Opio 2004), (Olum 2003).

## **2.6 AN OVERVIEW OF THE MINISTRY OF PUBLIC SERVICE.**

Based on the above description of the public administration in Uganda’s Public Service, government ministries fall under the Executive arm of government since they are headed by a cabinet minister. The Ministry of public service in Uganda is comprised of four major departments namely:

- a) Directorate of Human Resources management;
- b) Directorate of Efficiency and Quality Assurance;
- c) Directorate of Research and Development;
- d) Finance and Administration Department.

The ministry is headed by a minister who is appointed by the president and the overall mission of the ministry is “to attract, develop and retain a competent and motivated public service workforce that delivers timely, high quality and appropriate service to the people at the least cost to the nation (Ministry of public service, 2008)”

The mandate of the ministry is to develop HR policies, systems and structures that provide for an effective and harmonized public service; supported by a well developed and motivated human resource that delivers timely and cost effective public services affordable by the Ugandan government and responsive to the needs of the people (Ministry of public service, 2008).

In order to deliver on this mandate, the Ministry of public service had laid out its strategic objectives as below (Ministry of public service, 2008):

- a) To ensure that the Public Service attracts, develops and retains high caliber staff;
- b) To develop and maintain a competent, innovative and motivated Human Resource for the Public Service;
- c) To develop appropriate organisational systems and structures for the public service that is responsive to the needs of the people;
- d) To spearhead, coordinate, monitor and evaluate the public service reform programme;
- e) To ensure good governance, accountability and transparency in the public service;
- f) To promote harmonious working relationships in Ministries, Departments, Agencies and Local Governments (Ministry of public service, 2008).

## **2.7 SUMMARY**

The PSRP recommendations and objectives provide the mandate on which management of public service human resources in Uganda is based. The literature review presented in this chapter has therefore provided the ground on which one can further develop one's understanding of Uganda's public service performance management in order for one to proceed with the discussion on human resources performance management in Uganda's public sector. Understanding the turbulent political history of Uganda through this chapter illuminates the inconsistency, stagnation in the development of public sector service delivery and growth, and the need for public sector reforms in Uganda's public service.



Although this chapter has indicated some of the successes of the public service reform programme, it is imperative to note that more work is still required in implementation of public service reforms in Uganda. The chapter that follows comprises of the theoretical foundation of performance management and its various stages and principles.

## **CHAPTER 3**

### **A THEORETICAL FRAMEWORK OF PERFORMANCE MANAGEMENT AND PERFORMANCE APPRAISAL**

#### **3.1 INTRODUCTION**

Performance management is a relatively new concept to the field of management. This is most especially the case in the public service. For purposes of this research, this chapter will focus on understanding performance management and its different views and approaches in human resources management. This chapter will therefore be the foundation on which human resources performance management in Uganda's public service in the consequent chapter will be discussed. The first part of the chapter will define the term performance management followed by an understanding of the various steps required in implementing a performance management system. It is important to note that any successful performance management plan should be buffered by an appraisal system. The chapter will therefore also give attention to performance appraisal as a technique of performance management before proceeding to chapter four where human resources performance management in Uganda's public sector will be discussed in detail.

#### **3.2 WHAT IS PERFORMANCE MANAGEMENT?**

According to Manning and Worland (2005: 6), there are two main strands of thinking in human resources management. The first strand is referred to as the 'hard' variant of human resource management and it focuses on cost reduction and containment, links with strategy and the role of HRM in furthering the competitive advantage of the organisation.

The second strand is known as the 'soft' variant of HRM. It builds on human relations traditions and stresses the importance of people as a means of furthering employee satisfaction and a range of related humane objectives that are achievable from the insights of systematic studies within HRM (Manning and Worland, 2005: 6). Performance management as a tool with HRM could be linked to both strands of thinking since it is widely used a measure in identifying areas of cost reduction as well as an aid to identify means of furthering employee satisfaction. The following discussion on performance management helps one to understand the vital place it takes in human resources management.

According to McNamara (2008:181), defining performance management should typically start out with defining the term "performance". Wordnet 2006 defines performance as "the act of doing something successfully, using knowledge as distinguished from merely possessing it."

Mc Namara (2008: 181 -183) further asserts that supervisors conducting performance appraisals, employees attending training sessions, and organisation members working long hard hours does not automatically translate into results. He points out that processes, such as planning, budgeting, sales and billings have been carried out for years in organisations but all too often, these activities are done mostly for the sake of doing them and not for contributing directly to the preferred results of the organisation. The above evaluation hence illustrates that, performance management is a key reminder that being busy is not the same as producing results and that training, strong commitment and lots of hard work alone is not results (Mc Namara 2008: 181-183).

The major contribution of performance management is its focus on achieving results, useful products and services for customers inside and outside the organisation. In a nutshell, performance management redirects employee efforts towards effectiveness (Mc Namara 2008: 181-198).

Organisations are faced with challenges that have to be addressed continually. Increasing competition from businesses across the world has meant that all businesses must be much more careful about the choice of strategies in order to remain competitive. Everyone in the organisation must be doing what they are supposed to be doing to ensure strategies are implemented effectively (Swanson 1999).

The situation explained above therefore highlights the need to put more emphasis on effectiveness that systems and processes in an organisation are applied in the right way to the right things in order to achieve results. All of the results across the organisation must be aligned to achieve the overall results desired by the organisation for it to survive (Swanson 1999).

Based on the above, comprehensively performance management in this chapter will be defined as “a strategic and integrated approach to delivering sustainable success to organisations by assisting in improving the performance of the employees and the employers and by developing the capabilities of the teams or individual contribution to the organisation (Armstrong *et al*, 1998: 22).”

A comprehensive, performance management system should be focused on, the organisations departments, processes, programs, products or services to internal or external customers, projects, teams or groups organized to accomplish a result for internal or external customers (Armstrong *et al*, 1998). Focus on the above domains should be steered towards achieving maximum performance. However, Mc Namara (2008: 181 -198) argues that there is no standard interpretation of what achieving maximum performance means or what it takes to get it.

Accordingly, there are several views but one should be aware of the various views and be able to choose their own in order to achieve maximum performance (Mc Namara 2008: 181 -198). Below is a brief description of what is entailed in achieving maximum performance.

Organisational effectiveness is commonly referred to when discussing organisations that have achieved maximum performance. One of the best overviews of the concept of organisational effectiveness is provided by Herman & Renz (2000: 146 -160). In their article, they identify some fundamental propositions about organisational effectiveness. The propositions are most relevant to this discussion and to the public service since they were written about nonprofit organisations. Some of their propositions state that organisational effectiveness is always a matter of comparison is multi-dimensional and is a social construction (Herman & Renz 2000: 146 -160). Since performance management is multi-dimensional, Mc Namara (2008: 181-198) suggests that improved performance might result from improvements in one or more of the following four aspects:

1. Organisational stability. In regard to whether services are consistently delivered and the organisation survives.
2. Financial stability. Based on short-term survival, for example the ability to pay its bills. Financial stability is often ignored as an area of importance during capacity building.
3. Program quality. Based on indicators of impact, including adequate research about effective programs and an outcomes management system.
4. Organisational growth. Based on attracting resources and providing more services (Mc Namara 2008: 181-198).

### **3.3 THE GOAL OF PERFORMANCE MANAGEMENT**

The overall goal of performance management is to ensure that the organisation and all of its subsystems are working together in an optimum fashion to achieve the results desired by the organisation. Since performance management strives to optimize results, and align all subsystems to achieve the overall results of the organisation, any focus of performance management within the organisation should ultimately affect overall organisational performance management as well (McNamara 2008: 181-198; Swanson 1999).

Achieving the overall goal requires several ongoing activities, including identification and prioritization of desired results, establishing means to measure progress toward those results, setting standards for assessing how well results were achieved, tracking and measuring progress toward results, exchanging ongoing feedback among those participants working to achieve results, periodically reviewing progress, reinforcing activities that achieve results and intervening to improve progress where needed (Eisenhower 2000).

These general activities are similar to several other major approaches in organisations, for example, Strategic Planning, Management By Objectives (MBO), Total Quality Management (TQM), etc (McNamara 2008: 181-198). Performance management brings focus on overall results, measuring results, focused and ongoing feedback about results, and development plans to improve results. The results measurements themselves are not the ultimate priority as much as ongoing feedback and adjustments to meet results (Eisenhower 2000).

The steps in performance management are also similar to those in a well-designed training process, when the process can be integrated with the overall goals of the organisation (McNamara 2008: 181-198).

Various authors propose various steps for performance management. The typical performance management process includes some or all of the steps that will be outlined in the section below. Whether in performance management of organisations, subsystems, processes, etc, the steps are carried out in a differing manner and can vary widely, depending on the focus of the performance efforts and who is in charge of carrying it out. For example, an economist might identify financial results, such as return on investment, profit rate, etc. while an industrial psychologist might identify more human-based results, such as employee productivity (McNamara 2008: 181-198).

### **3.4 THE TYPICAL PERFORMANCE MANAGEMENT STEPS**

McNamara (2008:183 -188) suggests fourteen (14) steps as the typical performance management steps. They are generally followed in sequence, but rarely followed in exact sequence.

Results from one step can be used to immediately update or modify earlier steps. For example, the performance plan itself may be updated as a result of lessons learned during the ongoing observation, measurement and feedback step. These steps occur in a wide context of many activities geared towards performance improvement in an organisation, for example, activities such as management development, planning, organizing and coordinating activities.

The typical steps in a comprehensive performance management system as suggested by McNamara (2008: 183 -188) are numbered as below:

1. Review organisational goals to associate preferred organisational results in terms of units of performance, that is, quantity, quality, cost or timeliness.

2. Specify desired results for the domain as guidance; focus on results needed by other domains.
3. Ensure the domain's desired results directly contribute to the organisation's results.
4. Weight, or prioritize, the domain's desired results.
5. Identify first-level measures to evaluate if and how well the domain's desired results were achieved.
6. Identify more specific measures for each first-level measure if necessary.
7. Identify standards for evaluating how well the desired results were achieved (for example, below expectations, meets expectations and exceeds expectations).
8. Document a performance plan including desired results, measures and standards.
9. Conduct ongoing observations and measurements to track performance.
10. Exchange ongoing feedback about performance.
11. Conduct a performance appraisal or performance review.
12. If performance meets the desired performance standard, then reward for performance.
13. If performance does not meet the desired performance standards, then develop or update a performance development plan to address the performance gap.



14. Repeat steps 9 to 13 until performance is acceptable, standards are changed, the domain is replaced, management decides to do nothing, etc.

McNamara (2008: 181-198) however mentions that inadequate performance does not always indicate a problem on the part of the domain. Performance standards may be unrealistic or the domain may have insufficient resources. Similarly, the overall strategies or the organisation, or its means to achieving its top-level goals, may be unrealistic or without sufficient resources.

### **3.5 WHY PERFORMANCE MANAGEMENT: BENEFITS?**

Any process that does not have benefits should ideally not be worth the effort. Organisations that implement a well founded performance management system should be able to reap all or some of these primary benefits of performance management that are suggested below:

a) Performance management focuses on results, rather than behaviors and activities. A common misconception among supervisors is that behaviors and activities are the same as results. An employee appearing extremely busy may not be contributing at all toward the goals of the organisation. For example, an employee who manually reviews completion of every form and procedure, rather than supporting automation of the review. The supervisor may conclude the employee is very committed to the organisation and works very hard, thus, deserving a very high performance rating (Mc Namara 2008: 181-198).

b) It aligns organisational activities and processes to the goals of the organisation. Performance management identifies organisational goals, results needed to achieve those goals, measures of effectiveness or efficiency (outcomes) toward the goals, and means (drivers) to achieve

the goals. This chain of measurements is examined to ensure alignment with overall results of the organisation (Mc Namara 2008: 181-198).

c) Performance management cultivates a system-wide, long-term view of the organisation. An effective performance enhancement process must follow a systems-based approach while looking at results and what drives them. Otherwise, the effort produces an imperfect picture. For example, laying off people will likely produce short-term profits. This may not be the fact since the organisation may eventually experience reduced productivity, resulting in long-term profit loss (Swanson 1999), (Mc Namara 2008: 181-198).

d) It also produces significant measurements. These measurements have a wide variety of helpful applications. They are helpful in benchmarking or setting standards for comparison with best practices in other organisations, they provide a consistent basis for comparison during internal change efforts, they indicate results during improvement efforts, such as employee training and management development, and they help ensure equitable and fair treatment to employees based on performance (McNamara 2008; Maheshwari 2002: 480-498). In addition to the above, Mc Namara (2008) also mentions some of the secondary benefits of implementing a good Performance Management system in an organisation. These secondary benefits are listed as below:

- a) Performance management helps one think about what results one wants.
- b) It depersonalizes issues since supervisor's focus on behaviors and results, rather than personalities.
- c) It validates expectations.
- d) It helps to ensure equitable treatment of employees because appraisals are based on results.

- e) It optimizes operations in the organisation because goals and results are more closely aligned.
- f) It cultivates a change in perspective from activities to results.
- g) It supports ongoing communication, feedback and dialogue about organisational goals. Also supports communication between employee and supervisor.
- h) Performance is seen as an ongoing process, rather than a one-time event.
- i) It provokes focus on the needs of customers, whether internal or external.
- j) Performance management cultivates a systems perspective by focusing on the relationships and exchanges between subsystems.
- k) It helps to correct several myths by continuing focus and analysis on results.
- l) It produces specificity in commitments and resources.
- m) Provides specificity for comparisons, direction and planning.
- n) Redirects attention from bottom-up approaches to top-down approaches (McNamara 2008: 181-198).

### **3.6 SUMMARY**

This chapter introduced the subject of performance management based on the views of McNamara (2008) and other authors on the topic of performance management. It therefore sets a precedent for unveiling the subject of performance management in Uganda's Public service. It is important to note that as identified in this chapter, any successful performance managements system should follow an organized procedural process. An organized procedural process begins with planning and ends with a thorough review of the activity performed as well as a reward or correction step to the activity performed. The theoretical framework

established in the discussion above is the foundation for an ideal or typical performance management system. The consequent chapter four, which focuses on the implementation of performance management in the Ministry of public service, will discuss how performance management in the Ugandan public service has been implemented as a result of the Public Service Reform Programme. Proper implementation of a performance management system should be able to yield the benefits that were discussed in Chapter three.

## **CHAPTER 4**

# **PERFORMANCE MANAGEMENT AND APPRAISAL IN UGANDA'S PUBLIC SERVICE WITH SPECIFIC REFERENCE TO THE MINISTRY OF PUBLIC SERVICE**

### **4.1 INTRODUCTION**

This chapter presents and discusses the analyzed research data in relation to the research objectives that were mentioned in chapter one. The chapter on the whole details the findings on the implementation of performance management in the Ministry of public service under the PSRP recommendations. In order to incorporate a scientific approach to research on performance management in the Ministry of public service, the chapter draws upon the performance management theoretical framework discussed in chapter 3. This provides a backbone to analyze the prescribed performance management system of the Ministry of public service. In other words, the core of chapter four incorporates the findings of the research with the pre-established theoretical framework, linking them to the research objectives. The discussion commences by establishing the approach that the PSRP uses in addressing performance management in Uganda's public service with specific to the Ministry of public service. The literature attained from the Ministry of public service revealed that under the recommendations of the PSRP, the Ugandan public service subscribes to a six step framework of managing performance. This framework is known as the Integrated Performance Management Framework (IPMF). The proceeding subheadings in the chapter discuss implementation of performance management in the Ugandan Ministry of public service based on the key elements of the Integrated Performance Management Framework (IPMF).

## 4.2 THE INTEGRATED PERFORMANCE MANAGEMENT FRAMEWORK

Public Service regulations serve as a primary guide to government ministries in developing and implementing their Performance Management systems. The regulations require of each executing authority to determine a system for performance management and development for employees in that ministry. The Ministry of public service however through the recommendation of the PSRP provides guidance on how to manage performance in the public sector (MOP 2008). This guidance is based on the Integrated Performance Management Framework and is also articulated in the 2007 Ministry of public service guidelines for Performance Management (MOP 2007). Through the recommendations of the Public Service Reform Programme, the Ministry of public service approaches performance management through the implementation of the IPMF for the Ugandan Public service (MOP 2008).

Diamond (2005: 1) states that, “developing a comprehensive performance management system requires resolving a number of issues.” In relation to the above statement, it was first and foremost vital to confirm that the Ministry of public service does have a performance management system in place. The research findings indicated a 90 % affirmative response that the performance of staff members within the ministry is rated. According to the Ministry of public service (MOP 2008), the IPMF is a results oriented approach to performance management with the following six elements:

1. Performance planning and budgeting
2. Performance reviews
3. Reward and recognition of performance
4. Capacity enhancement and Training
5. Standard setting and client charters
6. Monitoring and Evaluation

The above mentioned approach is diagrammatically represented by the Ministry of public service as in the figure 4.1 below.

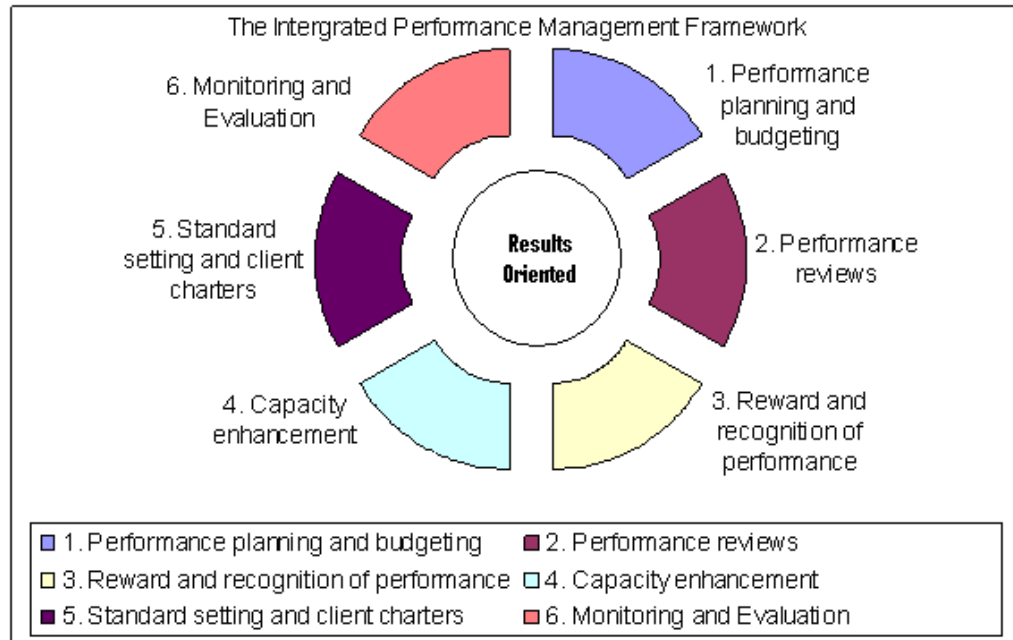


Figure 4.1 The Integrated Performance Management framework (MOP 2008: 02)

The IPMF as illustrated above is the basis of the performance management system employed by the Ministry of public service in managing the staff performance. It is important to note that the processes embedded in the steps of performance management as applied by the Ministry of public service are driven by results. Results Oriented Management (ROM) is key in performance management in the public service (MOP 2008). Results Oriented Management aims to achieve maximum results based on clear and measurable agreements made upfront between the manager and the employee. Schouten and Beers (1996) define ROM as, “a management style that assumes people work enthusiastically if; they know what is expected of them, they are involved in establishing the expectations, they are allowed to determine how to meet these expectations and if they obtain feedback about their performance (Schouten & Beers 1996).”

In simplicity ROM as depicted in the public sector endeavors to translate the goals of the public service to ministerial, departmental and individual goals through a top down and bottom up process (Schouten & Beers 1996).

Based on the above approach, the discussion that follows is an elaboration of performance management in the Ministry of public service as practiced through the IPMF recommended by the PSRP. Although not all the steps are followed consequentially in the practical performance management set up, the research endeavored to uncover the practice of each of the steps starting with performance planning, budgeting and objective setting and ending with monitoring and evaluation.

#### **4.2.1 Performance Planning, Budgeting and Objective setting**

The performance management framework as suggested by the PSRP begins with a process of performance planning, budgeting and setting objectives. The objectives set thus create the basis on which staff will be appraised (MOP 2007).

Prior to the discussion on planning and setting objectives it is important to highlight the role performance plays in budgeting. In order to avoid wasteful spending on projects that do not improve staff performance, one of the most important factors to note while developing a performance management framework is the link between performance management and budgeting. Since the public sector and the government operate under a fixed budget each year. It is necessary for the performance management framework in place to act as a measure of results achieved and also act as guidance to where more funds are needed in personnel management for the next financial year (Maheshwari 2002: 366-367).



Diamond (2005: 4-6), reiterates the above by emphasizing that the ultimate objective of introducing a comprehensive performance management system is, “to put in place a system that matches costs with activities, to measure performance of these activities, to develop standards of performance and compare costs and performance levels with agreed standards (Diamond 2005: 4-6).” Therefore, the Ministry of public service is challenged to link performance information with the process of budgeting and resources allocation. Until this happens, performance management is just a mere reporting rather than being relevant to personnel management and budgeting (Diamond 2005: 4-6).

### The Concept of Performance in Budget Systems.

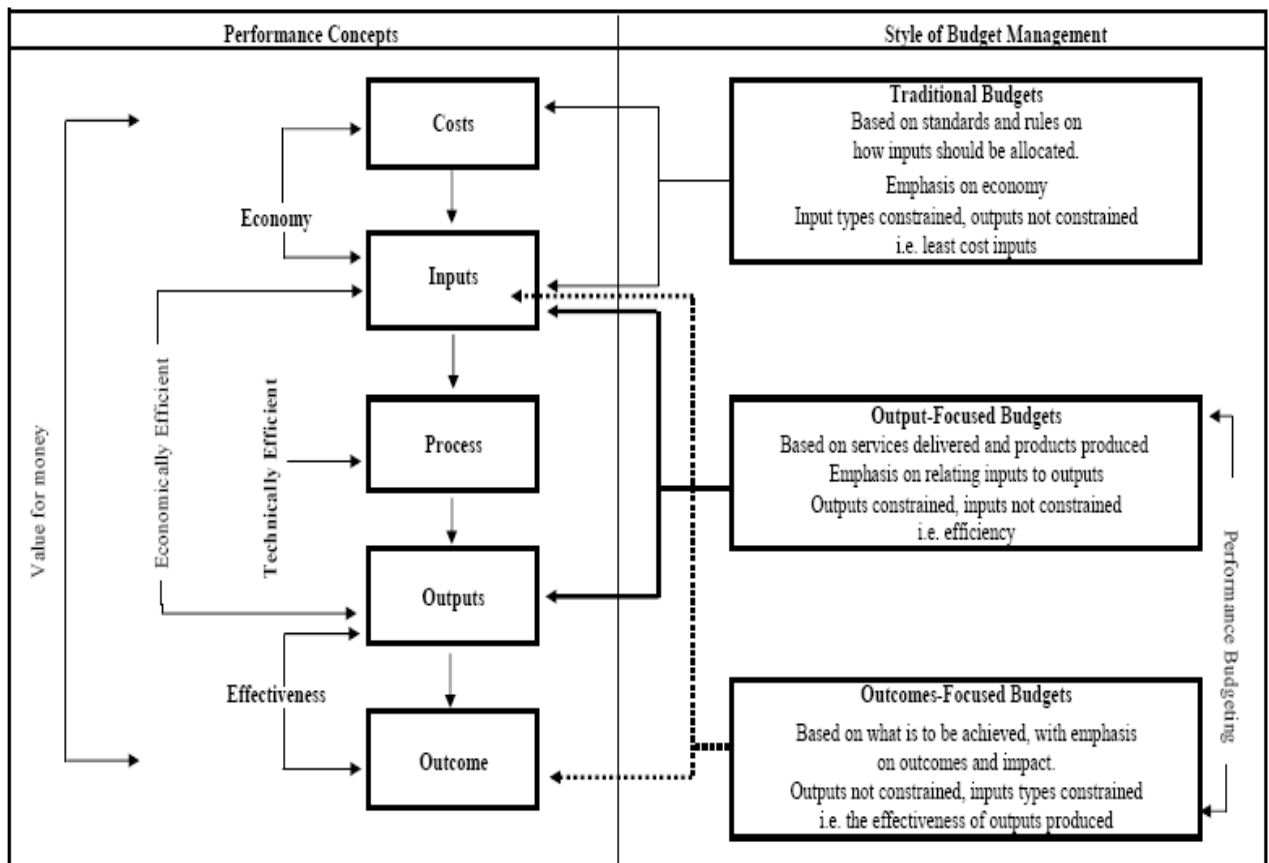


Figure 4.2 The Concept of Performance Budget Systems (Diamond 2005: 5)

Adopted from Diamonds (2005: 5) IMF working paper, figure 4.2 above is an illustration of a government's production process based on three different styles of budget management. The process commences from the cost of acquiring inputs, the use of these inputs in a production process, to the production of outputs that have an outcome, in the sense of meeting the objectives of government policy (Diamond 2005: 5).

- a) Traditional budget systems focus on inputs, the amount of resources actually used. The key concept is economy, or the aggregate control of input costs at the margin.
- b) In output-focused budget systems, inputs are related to an agency's output to produce indicators of efficiency or productivity.
- c) In outcome-focused budget systems, an agency's outputs are related to the achievement of its ultimate goals producing indicators of effectiveness. In such systems, often costs are compared with the final outcomes attained to give measures of cost effectiveness, or sometimes termed value-for-money indicators (Diamond 2005: 6).

In performance budgeting, there are a number of ways that spending can fail to meet expected "performance," and it is important to differentiate the source of this performance failure in order to provide a remedy (Maheshwari 2002: 366-367). Performance failures could either be technical inefficiencies or economical inefficiencies. Technical inefficiency arises from resources not being employed in the technically best way to produce a given output or service level. The attainment of technical efficiency implies that it is impossible to reduce the physical level of any input without reducing the level of output. It can be resolved by improving and changing the internal functioning of organisations and the units that comprise them. On the other hand, economical inefficiency arises from

resources not being employed in the most economically efficient way, so that a higher return in the form of a higher provision of service can be obtained without increasing costs by switching spending between resources. The attainment of economic or allocative efficiency implies that it is impossible to substitute one input for another without increasing total costs of a given output or service level (Diamond 2005 :4). The discussion that follows stipulates the implementation and role of planning in performance management in the Ministry of public service.

#### **4.2.1.1 Initiating and structuring the Performance Plan**

The Ministry of public service recommends that a staff member's performance plan should establish the employees' commitments for the period in which they are being assessed. The plan should reflect the record of the individual performance outputs, indicators and targets that contribute to the achievement of the ministry's overall goals (MOP 2007).

Performance plans in turn offer the basis or framework against which an individual's performance achievement is measured. The Ministry of public service policy on performance management requires every public servant in the Ministry of public service to have an individual performance plan, which focuses on the overall goals of the ministry. According to the ministry policy, the performance plan should be developed and agreed between the staff and their managers.

However, the findings of the research indicate that on several occasions the staff member under appraisal did not have the opportunity to agree on a performance plan with their managers. Asked whether staff create their performance objectives together with their supervisors, 80 percent of the Ministry of public service research respondents indicated that this does not happen all the time.

Only 20 percent of the respondents were positive that between them and their supervisors, performance plans are developed jointly at the beginning of each performance cycle.

All public servants are required to develop a performance plan at the beginning of the assessment period that follows the annual planning and budget cycle of the Ministry. However, new recruits are expected to develop one within two weeks from the date of assumption of duty (MOP 2007).

Eisenhower (2000) suggests that while developing an individual performance plan, the public employee should give consideration to the elements that relate to his or her area of responsibility, the strategic objectives of the department in which they work and the available resources.

With relation to the MOP, once the individual performance plan is developed by the employee, it is then discussed and agreed upon with the manager (MOP 2007). It is of ultimate importance for staff to know what is expected of them prior to drawing out their work plans.

In the questionnaire issued to the Ministry of public service staff, there was a wide variance in responses regarding whether staff members know what is expected of them. Noticeably, majority of the staff responded by saying that they do not understand the objectives of their jobs. Without a clear understanding of ones objectives in relation to the overall objectives of the Ministry, a performance management system is compromised in its initial stages.

#### 4.2.1.2 The key elements of a performance plan and the elements of the key outputs

The Ministry of public service generally recommends that staff incorporate the key elements below when constructing a performance plan (MOP 2007):

- (a) Job descriptions
- (b) Outputs
- (c) Performance indicators
- (d) Performance targets
- (e) The signatures of both the appraiser and appraisee

The outputs in the performance plan should (MOP 2007):

- (a) Meaningfully fit into the mandate and annual performance plan of the Ministry for that particular year
- (b) Not be more than ten (10) and not less than five (5)
- (c) Reflect the obligations of the job and not the activities or duties
- (d) Contain key words that describe results
- (e) Meet the **SMART** criteria (Diamond 2005: 10).

The **SMART** criterion is simply a recommendation that objectives should be specific, measurable, achievable, realistic and time bound (Harvard Business School 2007). This can be elaborated as below:

**S** - Specific – answers who, what, where, when, why, and how.

**M** - Measurable – establish concrete criteria. Ask questions like “how much? How many?” express the output either quantitatively or qualitatively so that achievement of the measure can be determined.

**A** - Achievable – the measure is challenging yet realistic and is within your capacity to accomplish. You have the responsibility, authority and resources to be accountable for the results.

**R** - Realistic or Result Oriented - the measure is stated primarily in terms of end results or outcomes, not just activities.

**T** - Time bound – must contain a time frame in which you desire a result.

A comprehensive performance plan includes performance indicators and targets. The indicators measure the progress of an individual or organisation over time towards achieving output while the target is the benchmark or standard expected to be derived from the performance plan (Armstrong & Baron, 1998). It is important to state targets that are measurable in terms such as volume, time, units, cost, clients handled, reports, meetings etc (Armstrong & Baron, 1998).

The Ministry of public service allows for a performance plan to be amended at any time during the appraisal process as a result of some changes in the staff member job (MOP 2007). Furthermore, the policy on performance plan setting in the MOP suggests that disagreements between the staff and manager resulting from the amendment to the performance plan are always referred to the supervisor of the manager appraising or the Head of Department (MOP 2007).

The research data on the other hand showed most respondents indicating that they don't have regular meetings with their supervisor's throughout the year in order to discuss their performance. Without these meeting it becomes harder to establish if ones performance plan requires any form of amendment.

#### **4.2.2 Performance Review and Appraisal**

A comprehensive performance review as denoted by McNamara (2008: 181-198) and Maheshwari (2002: 366, 370-371) is also commonly embraced as a staff performance appraisal in the Ugandan Public service. Staff Performance Appraisal is part of the Performance Management System for the Ministry of public service in Uganda. It is used as a management tool for establishing the extent to which set targets and goals of the staff are achieved (MOP 2008). Through staff performance appraisal, performance gaps and development needs of an individual employee are supposed to be identified (Ministry of public service, 2008).

Ideally, the appraisal process should offer an opportunity to the staff and their managers to dialogue and obtain a feedback on performance. This calls for a participatory approach to the appraisal process and consistence in the use of guidelines by all public servants in completing the appraisal form attached as Annex II in this research.

Based on the appraisal guidelines by the Ministry of public service and Swanson (1999), during a performance appraisal, several steps should be put into place in order to obtain the required information to determine whether reward should be given to encourage good performance or correctional measures be taken to improve poor performance (Swanson 1999).

According to Olum 2003, performance appraisal within the Ugandan Public service should be based on outputs or outcomes. The rationale for measuring performance is varied and includes the principle of accountable public institutions to ensure that money has been spent as agreed and in accordance with procedures, and efficient use of resources. To operationalise accountability, there is need to establish how money was spent, comparing costs to ensure efficiency and relating effectiveness to

intended objectives and outputs (Olum 2003). The power of performance measurement is expressed in the slogan which states that “what is measured gets done as measuring makes people responsive to change in their values in the work place. It clarifies goals that make organisations accountable to the public about their service expectations (Eisenhower 2000).”

Another important aspect of performance measurement in the Ugandan public service is that if results are not measured, it is difficult to tell success from failure. In fact, it is dangerous for the Public Service to keep on spending the hard earned public expenditure budgets without an idea, especially by the executives who are the major decision-makers, about how success or failure in the achievement of the expenditure objectives entails for the institution (Eisenhower 2000).

The research findings indicate that Performance Appraisal as documented by the Ugandan Ministry of public service should essentially take place as below (MOP 2007):-

- (a) Once every year by 15 June in the case of confirmed staff;
- (b) Every six months with effect from the date of assumption of duty for staff serving on probation;
- (c) Once at the end of each calendar year, for teachers by 15 December;
- (d) At the end of a period of twelve months for staff serving on contract terms of appointment.

At least 75% of the research respondents from the Ministry of public service indicated that their performance appraisal is done once every financial year.



However, out of the above respondents, a minority 10% indicated that they do not know how their performance is rated or appraised. This still leaves a gap that needs to be addressed by the Ministry of public service.

Further still, it is important to note that most of the lower level staff seem to have been more ignorant about issues regarding their performance appraisal as compared to the senior staff. The research revealed that the majority of the ministry staff at the levels of office attendant, telephone operator, security officer, secretary and cleaner were more unaware that they were being appraised or how they are appraised.

#### **4.2.2.1 Competencies measured in the Uganda public service appraisal**

According to the Ministry of public service guidelines for performance management, the process of performance appraisal is initiated by the staff member completing section “A” and “B1” of the Performance Appraisal Form at the end of the Assessment period. A sample of this performance Appraisal Form is attached as Annex 1 to this research. The performance appraisal focuses on measuring the extent to which the major competencies listed below have been portrayed by the staff member (Annex 1) (MOP 2007):

- Leadership
- Professional knowledge
- Planning, organizing and coordinating
- Decision Making
- Human Resource Management
- Training and mentoring
- Financial Management
- Team work

- Initiative
- Innovation
- Communication
- Management
- Time Management
- Customer care
- Loyalty
- Result Orientation
- Integrity

#### **4.2.2.2 Major Objective's principles and benefits of Staff Performance appraisal in the Ugandan Public service.**

The major objectives of Staff performance Appraisal in the Ugandan public service are to (MOP 2007):

- (a) Determine the extent to which set performance targets are achieved;
- (b) Identify the development needs of the appraisee with a view to developing their potential;
- (c) Increase the motivation of the staff members;
- (d) Provide constructive feedback on performance;
- (e) Improve staff performance.

In order to promote an open performance appraisal process, the Ministry of public service advocates for four basic principles in staff performance appraisal. These principles are namely; fairness, transparency, objectivity and openness and participatory (MOP 2007).

To promote fairness, the appraisal system is guided by impartial and reasonable judgments or actions taken by the staff and managers devoid of personal biases. The system is also tailored to be as open as possible giving room for explaining the reasons for the actions and inactions in order to foster transparency. Objectivity has also entailed decisions on performance being based on facts and professional predictions rather than opinion. Lastly, openness and participatory allows for an open and interactive process to promote full involvement of the staff member being appraised (MOP 2007). As long as the above is in place and the performance appraisal process is well implemented in the public service, the following benefits are anticipated;

- (a) Creation of a relational foundation between public service objectives and the staff responsible for implementing them
- (b) The public service institutions should be enabled to identify current skills and actual performance gaps thus designing appropriate interventions
- (c) Increased staff motivation, commitment to work and performance as a result of increased involvement and interaction between the staff and their managers
- (d) The staff and manager should be enabled to review past performance and plan for the future<sup>3</sup>
- (e) An opportunity is offered to the staff to dialogue and obtain a feedback on performance
- (f) Opportunity is given to obtain objective information on performance which can be used in assignment of duties, promotion, training or rewarding good performers and remedial action for poor performance
- (g) Finally the staff is provided with an opportunity to openly discuss with the manager on the training and development requirements and other areas where further assistance is needed (MOP 2007).

Whereas, the above is the ideal expectation according to the Ministry of public service policy on performance management, an evaluation of the staff responses in what could be done to improve performance management indicated that majority of the staff members felt they were not receiving fair treatment. Approximately 60% of the staff mentioned that managers should stop favoring some staff members over the others. This research finding was qualified basing on the fact that majority of the staff that felt they were not being appraised fairly and in openness also responded by saying that only their supervisors are involved in the process of their appraisal. The staff also further indicated that their performance appraisal ratings do not reflect their true performance.

#### **4.2.3 Reward and Recognition of Performance**

Once the performance measurement methods are in place and an appraisal has been conducted, the information may be used in one or all of the three ways listed below (Armstrong & Baron 1998):

- a) Institutions are able to link pay to performance orientation.
- b) Use of information as a management tool to continually improve their results.
- c) Tying spending to results and outcomes instead of inputs and reduced costs.

According to Armstrong & Baron (1998), it is said that, “if you can’t measure it, you can’t manage it” and “what gets measured gets done.” Certainly, performance cannot be improved upon until one knows what the present performance is in order to anticipate the future.

As determined in chapter three under the theoretical framework, the process of managing performance begins by defining expectations in terms of targets, standards and capability requirements. This can however only be achieved if there are agreed upon and reliable performance measures (Mc Namara 2008: 181-183).

Measurement is an important concept in performance management. It is the basis for providing and generating feedback, it identifies where things are going well to provide the foundation for building further success, and it indicates where things are not going so well, so that corrective action can be taken (McNamara 2008: 354). In general, measurement provides the basis for answering two fundamental questions (McNamara 2008: 354):

- a) Is what is being done worth doing?
- b) Has it been done well, or if not well, why so?'

Generally, the most common performance enhancement strategy has been some merit or bonus system for high performing individual and groups. The traditional approach was Management by Objectives (MBO) based on importance of financial incentives to improve performance in productivity, i.e. performing more with less (Bach & Sisson 2000: Maheshwari 2002: 311-312).

The research identified that the public service reform management programme has endeavored to addresses the issue of reward and recognition in performance management through a reform of pay schemes and linking them to performance (MOP 1997).

The objectives of the PSRP include providing equitable pay and conditions that are sufficient to attract, retain and motivate employees of the right caliber and which are affordable to government, and to provide employees with an adequate standard of living (MOP 1997).

A ten year pay reform strategy was implemented in 2002 and it provides the framework for implementing a transparent and equitable pay structure for the public service. According to Opio (2004), with the implementation of the pay reform strategy, the public service has reasonably been in a position to fairly recruit and retain competent and well motivated personnel (Opio 2004).

Contrary to the ideals of the pay reform strategy, the research findings from the Ministry of public service indicated that approximately only 35 % of the respondents agree that the public service has a system of rewarding good and exceptional performance. In response to the question whether the organisation has a reward system for good performance, 30 out of the 48 respondents answered “never.” On the same grounds, majority of the respondents also indicated that the ministry does not apply corrective action to employees that are not performing their job. However, it should be noted that in principle, the public service does have a policy on training staff in order to improve poor or under performance.

#### **4.2.4 Capacity Enhancement and Training**

Capacity enhancement in the public service ranges from issues that concern management and staff development, staff selection and monitoring, procurement, modern management information and communication, records and archives development (Opio 2004).

For the purposes of the research in relation to performance management in the Ministry of public service, capacity enhancement's relevance mainly relates to staff development and training (Maheshwari 2002: 480-498). Capacity enhancement in Uganda's public service performance management system would largely depend upon availing training opportunities to public employees in order to encourage staff development and in turn improved performance (MOP 2006).

Several organisations experience pressure to make fundamental improvements in the way they operate in order to keep pace with the constantly changing technological, economic, social, political and other advances (Mc Namara 2008:181-198). The Ministry of public service acknowledges that staff training plays a key role in assisting organisations meet this challenge (MOP 2006). Training staff improves performance by enhancing skills, improving attitudes, and increasing job satisfaction and motivation which in the long run would encourage good performance (Maheshwari 2002: 480-498). Through training, staff are capacitated to develop the skills that would enable them to adapt to the changing environment and also improve their skills and competencies and hence their performance. As a foundation to improving staff performance through training, the Ministry of public service in Uganda has instituted a training policy for public servants (MOP 2006:1-11).

The training policy established by the Ministry of public service provides a practical framework within which all government officials and public servants acquire the necessary competencies to perform their duties with creativity, efficiency, and effectiveness and due diligence, in accordance with the government's commitment to improve service delivery (MOP 2006:1-11).

The policy was designed to introduce changes in the way public officials are trained, and how the training function is managed in the public service, with emphasis on a demand driven approach. Notwithstanding the benefits of training, the policy seeks to control training by striking a perfect balance between times spent on training and on official duties, so that implementation of government programmes is not disadvantaged by training (MOP 2006). Below are some of the objectives of the training policy as documented by the Ministry of public service.

#### **4.2.4.1 Objectives of the Training Policy**

The specific objectives of the policy include the following (MOP 2006:3):

- a) To put in place a strategy for keeping government Officials abreast with up to date professional knowledge, skills and attitudinal orientation for best performance.
- b) To ensure efficient and effective utilisation of resources spent on training in the Public Service.
- c) To establish a framework for institutional arrangements, procedures and practices that will ensure a systematic approach to training in the Public Service.
- d) To ensure fairness in the management and administration of training opportunities.
- e) To ensure that all government officials have opportunities to develop and progress in their career and that all professions have identified training milestones and job competencies.
- f) To encourage the increased use of non-conventional training techniques in the Public Service.
- g) To promote the concept of a learning organisation (MOP 2006:3).



#### **4.2.4.2 Training Categories**

The Ministry suggests that training of public servants should cover the entire life cycle of a staff member's service with the public service. In order to improve staff performance in the public service training is grouped into four categories, namely (MOP 2006: 6-7):

- a) Induction training for new staff
- b) Performance improvement
- c) Professional development and
- d) Pre-retirement training.

The different categories of training are elaborated in the discussion that follows. Induction training is intended for all public servants to be inducted into their new jobs in order to orientate them to the culture of the public service as well as the challenges of their new responsibilities (MOP 2006: 6-7).

Performance Improvement Training is mandatory for every public servant. Every public servant is required to undergo at least one performance improvement training programme once in every three years. This training includes courses of short duration targeted towards improving general or specific aspects of a given Job (MOP 2006: 6-7).

Professional Development Training is offered through short or long term training programmes at different levels within an employee's career. This training can be of a full or part time nature (MOP 2006: 6-7).

Lastly, Pre-retirement training is the responsibility of the Ministry of public service. It is geared towards preparing the staff member for life after active public service (MOP 2006: 6-7).

The questionnaire research data indicated that staff members from the Ministry of public service valued training as the key component to the improvement of one's performance within the Ministry. Majority of the respondents chose training over staff recognition and improvement of work environment as measures that could be fostered to enhance their performance. In the public service overall, and according to statistics from the Ministry of public service, training has largely facilitated performance in the Ugandan public sector. It is recorded that in 2008, the public service reported training of 85 senior officers including 16 permanent secretaries, 17 directors, 32 chief administrative officers in order to initiate and lead the change management process of the public service (MOP 2008).

#### **4.2.5 Standard Setting and Client Charters**

According to the recommendations of the PSRP, the fifth stage of the IPMF in the Ugandan public service is standard setting and establishing of client charters (MOP 2008). Once staff members have been appraised and corrective action has been taken, it is vital to set standards and client charters within the performance cycle in order to establish whether performance is acceptable or unacceptable (UCSF 2009). In basic terms, standard setting and client charters could be understood as policies which list what each of the counterparts in the appraisal process should expect from the other. The Ministry of public service policy on standard setting opts to take a client approach to performance management in order to attain the highest levels of performance (MOP 2008). This can be achieved once the staff members and their appraising managers adopt the concept of a client as one who seeks support from the other. Taking the client approach in standard setting ensures commitment to providing the best service, communicating effectively and maintaining levels of service above pre-determined service expectations in order to meet the needs of the other (UCSF 2009).

Setting and clearly communicating performance standards and expectations would enable the public service to achieve the best results through the performance management system. Similar to step one of the IPMF (Planning and Objective setting), setting standards enables appraisal of staff members and providing feedback with less ambiguity (UCSF 2009). Written performance standards allow for comparison of the staff members performance with mutually understood expectations. However, since standards identify a baseline for measuring performance, they exist whether or not they are discussed or put in writing.

Below are the suggestions put forward as advantages of instituting effective performance standards (MOP 2008). Effective performance standards (USCF 2009):

- a) Serve as an objective basis for communicating about performance;
- b) Enable staff members to differentiate between acceptable and unacceptable results;
- c) Increase job satisfaction because staff members are made aware of tasks that are performed well;
- d) Inform new staff members of the expectations about job performance;
- e) Encourage an open and trusting relationship between the staff members and their appraisers.

Once standards have been established, the Ministry of public service recommends a process of Monitoring and Evaluation in order to complete the performance management process in the public service. This will be discussed in the subheading below.

#### **4.2.6 Monitoring and Evaluation**

Performance management improves the quality of management by aiding public officials in the decision making process and facilitating in the resources allocation process (Diamond 2005:4). Therefore monitoring and evaluation through quantified performance facilitates taking timely corrective action (Diamond 2005: 4). Monitoring plays key roles in determining the next step in any performance management system. It is important to monitor in order to establish the strengths and weaknesses of the system and to lay a basis for change if required or strengthening what ever is working well (MOP 2008).

In the Ugandan public service, the manager is tasked with the responsibility of monitoring performance on a continuous basis throughout the year to ensure that activities in line with the agreed performance plan are on track and to provide advice and take remedial action in case of need. The staff is encouraged to seek guidance in case of doubt. Critical events or outputs over the assessment period are noted, by recording them (MOP 2007).

In addition to continuous monitoring, the manager should organise quarterly reviews to discuss the work progress, competences, personal developments and any other issues related to performance (MOP 2007).

In order to ensure that managers keep track of individual performance, Quarterly Review Forms have been suggested as the documents to use in order to document all the results. A sample of this quarterly review form is attached as Annex II. In the form, incidents related to the Performance that stand out and contribute in a big way to the achievements of the goals are recorded. At the end of the assessment period, the manager and staff use the results obtained to make a final assessment (MOP 2007).

Performance Appraisal files can be used to record critical performance outputs. During the quarterly review, the staff starts by giving an oral self assessment of the progress. The staff is required to explain how he/she has used the competencies to achieve the agreed goals. In case of any differences the staff should explain the reasons responsible for this and suggest possible solutions. The manager then gives their view of the staff's progress. There after, both the staff and the manager discuss and agree what learning and development plans are needed to improve performance (MOP 2007).

Whereas, the above is again seen as the suggested process in the performance management system, it relatively differed from the research data collected in the questionnaire. The research data showed most respondents indicating that they don't have regular meetings with their supervisor's throughout the year in order to discuss their performance. With this finding, one would conclude that monitoring and evaluation is not strictly implemented through the quarterly reviews as suggested by the performance management system of the Ministry.

### **4.3 SUMMARY**

Based on the findings documented above and the objectives of the research, one would say that the research was a success. It is noticeable that while various performance management initiatives are being implemented in Ministries, departments and local governments in piecemeal and in a disjointed manner, the integrated performance management framework being implemented emphasizes the need for best practice human resources management in order to improve service delivery. As such, it is important to ensure that all the phases or steps mentioned in the framework are carefully implemented in order to reap the benefits of the performance management system in place.

An overall conclusion on the findings indicates that there's a big deviation between the policy on performance management in the Ministry of public service and the actual implementation of the policy. Based on the discussion above on performance management in the Ugandan public sector with reference to the Ministry of public service, the chapter that follows will give an appraisal of the process of implementation of the performance management system in the Ugandan public service commending its strengths and also offering recommendations for what could be put in place to improve the system.

## **CHAPTER 5**

### **RECOMMENDATIONS AND CONCLUSION**

#### **5.1 RECOMMENDATIONS**

Public Service Reform is considerably a social and political phenomenon driven by human behaviour and local circumstances. It is a long and difficult process that requires public servants to change fundamentally, the way they regard their jobs, their mission and their interaction with citizens. Long-term success of Public Service Reform depends on a significant degree of cultural change in the public service.

Based on the above foundation, it is noticeable that while implementing performance management in Uganda's public sector as recommended by the PSRP, the Ministry of public service is faced with several challenges.

Some of the challenges identified include; inadequately trained leadership to implement performance management in the public sector, insufficient accountability within the public sector and therefore making it hard for performance appraisals for staff to be tracked, unclear chains of command which make it difficult for staff to determine which managers are responsible for their appraisals and finally failure to translate the goals of the public service into goals achievable by the staff.

Besides the above shortcomings, managing performance in the public service in Uganda is generally challenged by the issue of performance measurement. Measuring performance requires the public service organisation to clearly identify their objectives which will form the core on which performance is measured. Unless these objectives are identified, performance can not be measured.

As depicted in the historical and political background of Uganda where a strong leadership vision is faint, it is evidently difficult for the public service to clearly define its objectives. Therefore the first step of the performance management process in itself is complicated and sometimes tends to become inconsequential.

As can be recommended, from the above discussion it is clear that development of core leadership competencies is essential for the success of performance enhancement reforms in the public service. The top managerial leadership must have the capacity to develop a strategic vision and to galvanise their colleagues to translate that vision into tangible outcomes. The challenges that must be overcome in this process include generating broad consensus on the leadership competencies that must be developed for different individuals, mobilizing sufficient resources and partnerships to successfully undertake leadership development.

As much as majority of the research respondents were positive about the fact that their performance is rated and there's a performance management system in place, further investigation in the research questionnaire issued tends to indicate that staff members at the junior officer level are not fully satisfied or are unaware of the appraisal system in place. The researcher therefore recommends that the Ministry of public service increases focus on managing performance and educating senior staff about the importance of fully indulging their subordinates in the appraisal process.

The research also revealed that there are not enough incentives to the good performers and this creates their regress in performance in the consequent cycles. The Ministry of public service should become more vigilant on rewarding exceptional performance in order to encourage continuous exceptional performance. On the other hand under performers



should also be indulged in performance improvement plans. The Ministry of public service was indentified to have a clear and satisfactory training performance improvement plan. It is therefore important for this training to be culminated into a reality instead of remaining on paper.

The public service is still relying on the generic performance managements system whereby the employee only receives feedback from their manager. However, with the later developments in human resources performance management, it is suggested that employees receive what is known as 360 degree feedback. I would recommend that the public sector adopts the best practice. This feedback method would provide each public sector employee with the opportunity to receive performance feedback from his or her supervisor and four to eight peers, reporting staff members, coworkers and customers. With this feed back system in place public employees will get to understand how their effectiveness as an employee, coworker, or staff member is viewed by others and in turn the employee is able to understand their strengths and weaknesses and use these to contribute insights into aspects of their work needing professional development.

It can also be recommended that the Ministry of public service adopt an electronic system of completing performance appraisals for public servants. Creating an electronic central platform on which staff can complete their appraisal forms helps to better improve the way in which appraisal history is kept in order to track continuous improving performers to be marked for reward and also to track under performers for whom corrective measures need to be taken. This technologically friendly way facilitates easier storage of appraisals in compliance with promoting a greener environment through paper reduction and also improves on consistency in managing and analyzing of performance management data.

From the questions issued, public officials indicate that the government has not been keen on financially investing in its human resources. It is therefore suggested the human resources as a portion of the public service be considered more in the concurrent budget years in order to improve monitoring of performance and to increase on the financial reward techniques of the excellent performers.

Public officials also strongly recommend a linkage between performance management in the public sector and staff career development. Promotions in the public sector are widely based on attaining more and more academic credentials whereas, excellent performers who may not have necessarily attained more academic credentials are ignored. It is therefore important for the public service to create a balance between the career development based on academic credentials and career development based on excellent performance coupled experience.

It is noticeable that the Integrated Performance Management Framework in Uganda's public service is pivoted on the Results Oriented Management (ROM). However, it is important for the public service to adjust attention from ROM as borrowed from the public sector and gear focus towards service delivery.

## **5.2 CONCLUSION**

It ought to be noted that it takes a long time to achieve fundamental reform of any public sector. Those involved in Public Service Reform need to adopt a long-term perspective based on fundamental change demands sustained effort, commitment and leadership over many generations. Mistakes and setbacks are normal and inevitable parts of the process. The big challenge is to seize upon mistakes as learning opportunities rather than use them as excuses for squashing reform. The PRSP suggests a

well structured foundation of performance management in Uganda's public sector. However, the onus of ensuring that the success of this structure is realized in the public sector largely depends on how the various government institutions implement the recommended performance management techniques. The research indicated that the Ministry of public service has a well documented performance management system and policy in place although its implementation has not been fully administered in the Ministry. From the findings of the research, one can conclude that while it is noticeable that the function of performance management in the public sector may not have been wholly adopted by most public servants, some remedies have however been put in place to improve performance management in the public sector.

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**Annex I - Performance appraisal form (6 Pages)**

**PS FORM 5**



**STAFF PERFORMANCE APPRAISAL FORM FOR THE PUBLIC SERVICE**

Uganda Government Standing Orders Section A-c

**Preamble**

Staff Performance Appraisal is part of the Performance Management System for the Public Service of Uganda. It is used as a management tool for establishing the extent to which set targets within overall goals of the organization are achieved. Through staff performance appraisal, performance gaps and development needs of an individual employee are identified. The appraisal process offers an opportunity to the Appraisee and Appraiser to dialogue and obtain a feedback on performance. This therefore, calls for a participatory approach to the appraisal process and consistence in the use of guidelines by all Public Officers in filling the form.

The Appraiser and Appraisee are therefore, advised to read the detailed guidelines before filling this form.<sup>1</sup>

Period of Assessment: From 

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| DD                   | MM                   | YY                   |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |

 To 

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| DD                   | MM                   | YY                   |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |

**SECTION A: PERSONAL INFORMATION (To be filled by the Appraisee)**

Name of the Appraisee .....

Date of Birth 

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| DD                   | MM                   | YY                   |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |

Job Title/Rank ..... Salary scale .....

Date of present appointment 

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| DD                   | MM                   | YY                   |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |

Terms of employment (Probation, Permanent, Contract).....

Name of the Appraiser .....

Job Title/Rank ..... Salary scale .....

Ministry/ Department/ Local Government/Institution .....

Department ..... Division.....



**SECTION B: ASSESSMENT OF THE LEVEL OF ACHIEVEMENT**

This section should be filled by both the Appraiser and the Appraisee. At the beginning of each assessment period, the Appraiser and Appraisee will agree on the key outputs for the assessment period. The means by which performance shall be measured (Performance Indicators) and the minimum level of performance (performance targets) for each output shall be agreed upon. If in the course of the assessment period, other activities are assigned to the Appraisee, the outputs related to the new activities should be agreed upon and included immediately or at least before the end of the assessment period. It is recommended that the maximum number of outputs for each assessment period should not exceed 10.

At the end of the assessment period, an appraisal meeting should be conducted by the Appraiser. The Appraisee completes part B (1), before the appraisal meeting, by indicating the key outputs, performance indicators and targets agreed upon in the performance plan at the beginning of the assessment period. The Appraiser should complete part B (2), after the appraisal meeting. The assessment should reflect the jointly agreed position.

The assessment of the Individual outputs shall be reflected as a performance level under section B(2), this will be supported by relevant comments on performance under the same section. The performance levels shall be described as Excellent, Very Good, Good, Fair and Poor. In order to quantify the assessment the performance levels shall be awarded scores namely: 5 for excellent, 4 for Very Good, 3 for Good, 2 for fair and 1 for Poor. Right after the table below is a detailed description of the performance levels.

| Key Outputs | B(1)<br>Agreed Key Outputs, Performance Indicators and Targets |  | B(2)<br>Agreed Assessment of Performance between the Appraiser and the Appraisee |                         |
|-------------|--|--|--|-------------------------|
|             | Performance Indicators<br>(How will results be measured)       | Performance targets (An agreed minimum level of performance) | Performance Level  | Comments on Performance |
|             |  |  |  |                         |

**Definition of the Performance Levels**

- Excellent (5):** The Appraiser has exceeded the agreed targets and has consistently produced results of excellent quality and demonstrated a high level of productivity and timeliness. The Appraiser is a model of excellence in both the results achieved and the means by which they are achieved.
- Very good (4):** The Appraiser achieved all the agreed outputs in line with the agreed targets. The Appraiser consistently meets expectations for the outputs achieved and the means by which they are achieved.
- Good (3):** The Appraiser achieved most, but not all the agreed outputs in line with the agreed targets, and there is no supporting rationale for not meeting the other commitments.
- Fair (2):** The Appraiser has achieved minimal outputs in line with the agreed targets and without a supporting rationale for inability to meet the commitments.
- Poor (1):** The Appraiser has not achieved most of the agreed targets and without supporting rationale for not achieving them.

**Overall Assessment of Performance**

Overall assessment of performance should be derived by adding the scores at each performance level and the total divided by the total number of outputs. The average of the scores obtained shall be the overall assessment.

**Overall Performance Level**

**Tick the relevant box**

|                          |                          |                          |                          |                          |
|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Excellent<br>5           | Very Good<br>4           | Good<br>3                | Fair<br>2                | Poor<br>1                |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

**SECTION C: ASSESSMENT OF CORE COMPETENCIES**

This section should be filled by the Appraiser after joint discussions between the Appraiser and Appraiser. The assessment will help establish any areas where some training or development is necessary. The Appraiser should be rated only in areas, which are relevant to his/her job. The maximum points per competence are 5, where 5 is for Excellent, 4 - Very Good, 3 - Good, 2 - Fair, 1 - Poor, N/A - Not Applicable. The Appraiser should give work related examples under comments, to justify their rating.

| COMPETENCE  | ASSESSMENT<br>Performance level attained<br>(Please tick) |   |   |   |   |     |  | COMMENTS |
|---|---|---|---|---|---|-----|--|----------|
|   | 5   | 4 | 3 | 2 | 1 | N/A |  |          |
| <b>Professional knowledge/skills</b><br>Draws on own experience, knowledge and expertise to demonstrate good judgment; relates professional knowledge to work.  |   |   |   |   |   |     |  |          |
| <b>Planning, organizing and coordinating</b><br>Prioritizes own work, develops and implements plans; rationally allocates resources, builds group capacity for effective planning and executing of work. Has ability to meet deadlines. |   |   |   |   |   |     |  |          |

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
| <p><b>Leadership</b><br/>Keeps people informed; models and encourages personal accountability; uses power and authority fairly; demonstrates credible leadership, champions new initiatives; reinforces and communicates a compelling vision for change.</p>   |  |  |  |  |  |  |  |  |  |
| <p><b>Decision Making</b><br/>Makes logical analysis of relevant information and factors; develops appropriate solutions and takes action, generates ideas that provide new insight; provides reasons for decision or actions, is objective.</p>   |  |  |  |  |  |  |  |  |  |
| <p><b>Team work</b><br/>Works cooperatively and collaboratively; builds strong teams; shares information and develops processes to improve the efficiency of the Team.</p>   |  |  |  |  |  |  |  |  |  |
| <p><b>Initiative</b><br/>Shows persistence by addressing current problems; acts proactively, plans for the future and implements comprehensive plans.<br/>Is open to new ideas; curious about and actively explores new possibilities; identifies how to create more value for customers; takes action on innovative ideas and champions innovation.</p>   |  |  |  |  |  |  |  |  |  |
| <p><b>Communication</b><br/>Actively listens and speaks respectfully; seeks to send clear oral and written messages; understands the impact of messages on others.</p>   |  |  |  |  |  |  |  |  |  |
| <p><b>Result Orientation</b><br/>Takes up duty willingly and produces results.</p>   |  |  |  |  |  |  |  |  |  |
| <p><b>Integrity</b><br/>Communicates values to others, monitors own actions for consistency with values and beliefs, takes pride in being trust worthy; is open and honest and provides quality services without need for inducements.</p>   |  |  |  |  |  |  |  |  |  |
| <p><b>Human Resource Management</b><br/>Works effectively with people to achieve organizational goals. Motivates the supervisees, focuses on the knowledge, skills and attitudes and the general work environment that affects their efficiency and effectiveness. Trains, mentors, coaches, inspires, motivates the supervisees, delegates effectively and are able to build a strong working team.</p> |  |  |  |  |  |  |  |  |  |
| <p><b>Financial Management</b><br/>Knows the basic financial policies and procedures; familiar with the overall financial management processes.</p>  |  |  |  |  |  |  |  |  |  |
| <p><b>Management of other resources (equipment &amp; facilities)</b><br/>Effectively and efficiently uses resources to accomplish tasks.</p>   |  |  |  |  |  |  |  |  |  |
| <p><b>Time Management</b><br/>Always in time and accomplishes tasks in time required and maximizes the use of time to achieve set targets.</p>   |  |  |  |  |  |  |  |  |  |

|   |  |  |  |  |  |  |  |
|---|--|--|--|--|--|--|--|
| <b>Customer care</b><br>Responds well and attends to clients. Reflects a good image for the Public service.               |  |  |  |  |  |  |  |
| <b>Loyalty</b><br>Complies with lawful instructions of Supervisor and is able to provide on going support to Supervisors. |  |  |  |  |  |  |  |
| Any other relevant Competence   |  |  |  |  |  |  |  |

**SECTION D: ACTION PLAN TO IMPROVE PERFORMANCE**

The Action Plan shall be jointly agreed during the performance appraisal meeting, taking into consideration the Appraisee's required job competences and the identified performance gaps.

The action plan to improve performance may include; Training, Coaching, mentoring, attachment, job rotation, counseling and or provision of other facilities and resources.

Where the plan (s) involves formal training of the Appraisee, the record should be forwarded to the Training Committee.

| Performance Gap | Agreed Action | Time frame |
|-----------------|---------------|------------|
|                 |               |            |
|                 |               |            |
|                 |               |            |
|                 |               |            |
|                 |               |            |
|                 |               |            |
|                 |               |            |

**SECTION E: COMMENTS, RECOMMENDATIONS (IF ANY) AND SIGNATURES**

This section is to be completed by the Appraisee, Appraiser and the counter signing Officers. It is a confirmation that the appraisal meeting took place and that there was agreement or if there was disagreement, it was resolved. It is also confirmation that the action plan to improve performance was discussed and agreed upon. The Appraisee / Appraiser / countersigning officer should use this section to comment about the job, career and any other relevant information.

**COMMENTS OF THE APPRAISEE**

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 .....

Signature ..... 

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| MM |  |  |
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| YY |  |  |  |
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**COMMENTS OF THE APPRAISER**

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Signature ..... 

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| MM |
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| YY |  |  |
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**COMMENTS OF THE COUNTERSIGNING OFFICER/SUPERVISOR OF APPRAISER**

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Name of Countersigning Officer .....

Job Title .....

Signature ..... 

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| DD |
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| MM |
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| YY |  |  |
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**COMMENTS OF THE RESPONSIBLE OFFICER**

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Name .....

Job Title .....

Signature ..... 

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**Annex II - Quarterly review form**

**QUARTERLY REVIEW FORM**

Period of Assessment.....

Name of Appraisee.....

Name of Appraiser.....

| Output | Performance Indicator | Targets | Progress made since the last meeting | Consensus/<br>Areas for Improvement |
|--------|-----------------------|---------|--------------------------------------|-------------------------------------|
|        |                       |         |                                      |                                     |

Signature of Appraisee..... Date.....

Signature of Appraiser..... Date.....

## Annex III - Questionnaire

### Research Questionnaire

Please be informed that all information provided from your offices will strictly be used for educational purposes only and will not be published in any way for public use. Please return completed form to research coordinator or email to [43085385@mylife.unisa.ac.za](mailto:43085385@mylife.unisa.ac.za)

Please check (X) all the appropriate boxes.

Male  Female

Grade or Level (Optional):  Top Management  Middle Management  
 I rather not say  I don't know

1. Is your performance rated?

Yes  No

---

2. How Often is your performance appraised?

Quarterly  Every Six Months  Once a Year   
Beyond one year  Never

---

3.

Do you understand how your performance is rated?

Yes  No

---

4. Who is involved in the process of ranking/ grading your performance?

Only myself  Only My Manager/ Supervisor  My Manager and I

---

5. Do you get feedback on your performance after appraisal?

Sometimes  All the times  Never  I don't Care

---

6. How long does it take to get feedback on your performance after appraisal?

Immediately  Less than a week  Less than one month   
More than one Month

7. Do you have regular meetings with your supervisor throughout the year to discuss your performance?

Sometimes  All the times  Never  I don't Care

---

8. The Performance Appraisal reflects my performance.

Never  Sometimes  All the times  I don't care

---

9. How can your performance be enhanced?

Training  Improved Work environment  Staff Recognition   
None of these

---

10. I would prefer using an electronic system to complete my appraisal form.

Yes  No

---

11. Is there a reward system for good performance?

Sometimes  All the times  Never  I don't Care

---

12. Are there any corrective action principles applied to employees when they are not performing their job?

Sometimes  All the times  Never  I don't Care

---

13. What motivates you to perform better?

Pay Increase  Other Non monetary recognition  Nothing

Any form of recognition  I don't care

---

14. Do you create your performance objectives together with your supervisor?

Sometimes  All the times  Never  I don't Care

---

15. I understand the objectives of my job.

Sometimes  All the times  Never  I don't Care

---

16. Does your performance appraisal ask questions about employee attitudes?

Sometimes  All the times  Never  I don't Care

---

17. Was the performance appraisal system created in the last 2 years?

Yes  No  I don't know

---

18. In your opinion, what have been the challenges in implementing the Performance Management System in the public Sector?

19. What can be done to improve the Public Service Performance Management system in your organisation?

Thank you very much for your responses.