IMPLEMENTATION OF RESULTS BASED MANAGEMENT AT THE MINISTRY OF IMMIGRATION AND REGISTRATION OF PERSONS

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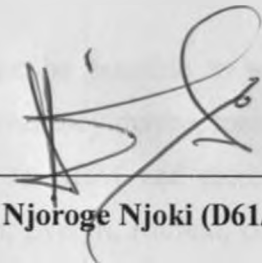
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A RESEARCH PROJECT SUBMITTED IN PARTIAL FULFILLMENT OF THE REQUIREMENT FOR THE AWARD OF THE DEGREE OF MASTER OF BUSINESS ADMINISTRATION, SCHOOL OF BUSINESS, UNIVERSITY OF NAIROBI

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STUDENT'S DECLARATION

I, the undersigned, declare that this is my original wok and has not been submitted to any other college, institution or university other than the University of Nairobi for academic credit.

Signed: _____ Date: 11 , 11 , 2011

Anthony Njoroge Njoki (D61/P/8998/04)

This project has been presented for examination with my approval as appointed supervisor.

Signed: _____ Date: 15/11/2011

Prof. Evans Aosa

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DEDICATION

To Ann, Njoki and Edu for the joy you bring to my life.

ABSTRACT

The implementation of strategy is not nearly as clear and understood, as is the formulation of strategy. Andrews (1971), Ansoff (1987) and Chandler (1962) contend that the scope of research on strategy implementation has remained quite narrow. Noble (1999) has further noted that there is a significant need for detailed and comprehensive conceptual models related to strategy implementation. To date, implementation research has been fairly fragmented due to a lack of clear models on which to build.

Results Based Management (RBM) approach is a key integrative strategy and mechanism, linking employees' goals and responsibilities to the objectives of the organization, and integrating major interventions such as appraisal, rewards, and overall service delivery and organizational performance thereby facilitating strategic fit.

The objectives of this study will be to establish how Results Based Management approach was implemented at the Department of Immigration. The challenges encountered and lessons learnt. This study adopts a case study methodology where the face to face structured interview with top level managers at the Department of Immigration was adopted.

The findings of the study indicate that various strategies were adopted including internal strategies such as personnel strategies, structure and systems strategies, tasks and work strategies, people strategies, technological strategies and organizational culture. Respondents cited Rapid Results Initiative (RRI), Performance Appraisal, Performance Contracting, and commitment of top management as being critical to attainment of a paradigm shift that is Results Based Management.

Key recommendations of the study include the need to link employee reward system to their performance as a key mechanism of sustaining RBM. There is need to put in place an effective strategy communication mechanism to enable managers achieve optimum results when engaged in strategy implementation.

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CHAPTER ONE   INTRODUCTION

1.1   Background of the study

Strategy implementation represents a disciplined process of logical set of connected activities that enable an organization to take a strategy and make it work. Without a carefully planned approach to implementation, strategic goals cannot be attained. Developing such a logical approach, however, is a formidable challenge to management. The Department of Immigration has embarked on the implementation of Results Based Management (RBM) approach to address its various performance challenges.

As part of the government's public sector reform initiative, implementation of Results Based Management (RBM) systems in the Public Service has been mooted as the ideal management system in the drive to public sector reforms initiatives. RBM is a broad management strategy aimed at achieving important changes in the way institutions operate, while improving performance and achieving results as the central orientation. This research paper endeavours to study how Results Based Management concepts has been implemented in the Kenya public service as the ideal management approach to guide the public sector change management. This will be undertaken in the context of the Ministry of Immigration and Registration of Persons drawing largely from the experience of the Department of Immigration.

1.1.1   Strategy Implementation

Strategy implementation represents one of the critical phases of strategic management. Drawing on Bryson (2005) strategy implementation is a management activity that seeks to convert strategic plans into actionable programmes with achievable results so as to actualize the strategic plan. This entails the "how" of achieving the desired objectives of the broader strategic plan for the whole organization. The entire strategic management and planning cycle is inherently geared towards implementation, therefore implementation is one of the most critical components of the cycle of strategic planning and management.

Managing strategy implementation is operations oriented. It is a hands-on activity to make things happen. Here activities by managers are aimed at shaping the

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performance of an organization's core business in a strategy oriented manner. This process of strategic management essentially entails a host of interlinked activities ranging from staffing, budgeting, using industry best practices, developing policies and processes that facilitate achievement of the organization's objectives.

Strategy implementation represents a disciplined process of logical set of connected activities that enable an organization to take a strategy and make it work. Without a carefully planned approach to implementation, strategic goals cannot be attained. Developing such a logical approach, however, is a formidable challenge to management. This is because for a manager to convert strategic plans into actions and results he/she must be able to direct organizational change, motivate people, build competences and capacities that are supportive for the desired strategic change (Thompson et al 2005).

The road to successful implementation is full of obstacles that must be overcome. One basic problem is that managers know more about strategy formulation than implementation. They are trained to plan, not to implement plans. Ideal strategy implementation involves creating strong fits between strategy and organizational capabilities, between strategy and reward structure, between strategy and organization's internal operating systems culture.

In the opinion of Freedman (2003), thinking strategically about implementation and developing an effective implementation plan are important tasks towards the achievement of the desired results. Implementation of a strategy usually takes longer than formulation of the strategy. Whereas planning may take weeks or months strategy implementation is usually played out over a much longer period of time. Implementation is a process. It is the result of a series of integrated decisions and actions over time it is not the result of a single decision or action.

Reviews of the challenges of strategy implementation (Bryson 2005; Fogg 1999; Pettigrew 1991; and Thompson et al 2005) reveal the typical challenges hindering effective strategy implementation. Strategic inertia is one of them. This is the typical inaction for getting things started. Many executives resist change or fail to give strategic change initiatives due priority. Secondly, lack of stakeholder commitment occurs when middle level managers are not taken on board the implementation

process because they erect barriers to progress. Thirdly, strategic drift occurs when the organization loses focus of its destination where the CEO is not keen on implementation, when there is a change in CEO, or even when there is lack of discipline throughout the organization to effect implementation. Eventually strategic dilution sets in when things seem to move but there is lack of a decisive driving force because the top management are not committed and do not totally own the process.

Fogg (1999) argues that an effective strategy implementation plan is built around some keys. First management has to develop the following measures: accountability system, strictly assigning realistic measurable objectives to employees; developing measurable action plans within cross functional teams and priority action plans; negotiate individual accountabilities towards tasks and objectives with key managers then changing organizational structures based on future competences beside changing the people to fill leverage positions with top performers and clear way of resisters.

1.1.2   Kenya's Public Sector

The public sector comprises the part of the economy concerned with providing basic government services. The composition of the public sector varies from country to country, but in most countries the public sector includes such services as the police, military, public roads, public transport, education, healthcare among others. The public sector might provide services that non-payer cannot be excluded from services which benefit all of society rather than just the individual who uses the service such as public education, and services that encourage equal opportunity. Public services are publicly provided and publicly financed, and for social and political reasons they are usually subject to regulation and scrutiny going beyond that applying to most private sector organizations.

The Kenya public sector is composed of ministries, state corporations, government agencies, departments and local governments. The public sector or civil service in Kenya compliments and carries out the mandate of the executive branch of government in the day to day management of the affairs of the state. Ministries form the bulk of the core public service while public corporations tend to be utility-based organizations that the government controls in the pursuit of delivery of essential public services. Local government authorities are autonomous government bodies

based at all the different grassroots parts of the country where the provision of essential services by the central government is not practicable. They provide sanitation services, education, water services, among other services. On the other hand, government agencies are permanent or semi-permanent organizations in the machinery of government that are responsible for the oversight and administration of specific functions, such as intelligence, police, security agencies, regulatory bodies, among others.

The space for public management is defined and delimited by the political mandates applied by ministers, and the processes and delegations prescribed by law. However, over the last decade the government has attempted to bring about change in the manner in which public sector agencies are governed. From the time of independence to the present day Kenya has witnessed a phenomenal increase in the demand for goods and services as the population has continued to rise. The challenge in this regard has been and still remains the quality of services delivered and the efficiency with which they are delivered. This is the context that is driving change in management of public sector agencies in Kenya today.

As part of the government's public sector reform initiative, the Public Service Reform and Development Secretariat (PSR&DS) Cabinet Office was established in 2004 to spearhead the implementation of Results Based Management (RBM) in the Public Service and coordinate all public service reforms. PSR&DS identified five pillars to address key policy, strategy and structural concerns in the public service. The policy priorities for PSR&DS were, first to introduce and institutionalize Results Based Management systems in the Public Service.

A previous review of the PSR&DS indicated that, most of the public sector policies and programs are target oriented, their implementation is process based as opposed to performance and results based; the management of the agencies in this sector is largely not based on performance or results. The mismatch between plans and their implementation is occasioned by constraints in human resources management for instance; job design in the public service is not backed by clear duty schedules for officers in ministries/departments. There is inadequate human resources planning, compensation and benefits policy is not tied to results, career management is

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dominated by rigid schemes of service, which suffer from a bias towards time-serving as opposed to results (Public Sector Reform and Development Sectretariate 2006).

In reaffirming its commitment to the adoption of lasting strategic change in public service management, the Kenya Government through Personnel Circular Ref. No: Op. CAB. 58/4A of 6 April 2005 adopted the Results Based Management (RBM) approach to improve public sector performance. RBM, including performance contracting seek to establish uniformity and consistency in how to set targets, monitor and measure public service performance accurately and objectively as well as how to use that information to enhance individual and institutional performance. (Public Sector Reform and Development Secretariat 2006).

1.1.3 Ministry of Immigration and Registration of Persons

The Ministry of State for Immigration and Registration of Persons is the context within which this study seeks to examine the implementation of Results Based Management approach, more specifically at the Department of Immigration. The Ministry of State for Immigration and Registration of Persons was created in February 2005 through the Presidential Circular Number 1 of 2005. It draws its functions from the mandates of the four departments, which include Department of Immigration, National Registration Bureau, Refugee Affairs, and Civil Registration Bureau.

The present Department of Immigration was established in 1950 vide the Immigration Ordinance of 1948, which was revised in 1962 and 1964 when the Ordinance was renamed the Immigration Act. This Act and other accompanying Acts and statutory instruments have been rendered obsolete over the years. This has severely hampered the operational effectiveness and efficiency of the Department. Since its inception in 1950, the Department of Immigration has operated without a government policy on migration. The Government did not consider it a priority perhaps due to the low number of persons leaving and entering the country and failure to link migration with national security and socio-economic development (International Organization for Migration 2009). This is evidenced by the fact that unlike other security organs of the Government that are established under Acts of Parliament, the Department of Immigration was created administratively in 1950.

Inadequate legislative provisions in terms of statutes such as Immigration Act, Aliens Restriction Act and the Citizenship Act as currently constituted do not sufficiently address the emerging transnational immigration challenges such as human trafficking, terrorism, drug trafficking, human smuggling. Where legislation exists the punitive measures remain minimal due to lack of revision and are thus not deterrent enough. Kenya's borders are expansive and porous which makes it difficult to man and thus susceptible to criminal elements and abuse. There is also lack of adequate technical capacity for performance of duties such as surveillance, patrol, fraud detection just to mention but a few.

The vision of the Department of Immigration is: "to be among the best providers of immigration services in the world". While its mission reads: "to contribute to safety, security and socio-economic development of Kenya by facilitating international travel and regulating entry, exit, residency and citizenship." (Ministry of Immigration and Registration of Persons 2006 pp. 22). Services offered by Department of Immigration include, issuance of travel documents, regulation of residence of aliens in the country through the issuance of residence and work permits, enforcement of the Immigration Act and other Acts related to entry, residence and exit of aliens to and from Kenya.

There have been several attempts to assess the performance of the Department of Immigration. Although the financial measures have been impressive over the years the general public feeling about the performance of the Ministry has been pathetic at best. Hence, it can be deduced that planning at the Ministry has fallen short of strategic focus and orientation hence the disparity between the financial performance and service delivery.

An assessment by the Kenya Anti Corruption Commission revealed deep-seated corruption tendencies at all levels of the Department of Immigration. Several recommendations were made ranging from making the Department a semi autonomous state agency at the structural level to operational re-organization. The general verdict on the performance at the Department of Immigration was not favourable and can fairly be described as wanting and below expected levels. It has been associated with sleaze, corruption, ineptitude and inefficiency.

A survey by Government Justice, Law and Order Sector (GJLOS 2008), identified corruption, ineffective service delivery systems and processes, archaic procedures that do not add value, lack of public confidence in the Department of Immigration as some strategic issues pertaining to service delivery. This survey was done under the guise of citizen score card where the public was invited to give feedback about the quality of service they received especially at travel document centres, border posts, airports etc. From the foregoing it is apparent that the Department is far from achieving its vision of being the best provider of immigration services in the world.

Other initiatives have been of lesser magnitude and scope. Though aimed at improving general service delivery capacity of the Ministry, their orientation has not been of strategic nature. For instance, the Ministry organized various workshops to brainstorm on improving levels of service delivery and addressing issues arising from the general day-to-day operational challenges. Through such initiatives the Ministry came up with Service Charters on whose basis the standards for service delivery where set.

Public Service Reform and Development Secretariat (PSR&DS) developed Results Based Management (RBM) implementation tools such as the Rapid Results Initiative (RRI), Performance Appraisal Systems (PAS) and the Management Accountability Framework (MAF). These have been adopted by the MIRP as strategies to improve service delivery and conform to the government directive for adoption of RBM by all ministries. The Results Based Management approach, including performance contracting seek to establish uniformity and consistency in how to set targets, monitor and measure public service performance accurately and objectively as well as how to use that information to enhance individual and institutional performance (Public Sector Reform and Development Secretariat 2006).

1.2   Research Problem

The implementation of strategy is not nearly as clear and understood, as is the formulation of strategy. Much more is known about planning than doing, about strategy making than making strategy work. Andrews (1971), Ansoff (1987) and Chandler (1962) contend that the scope of research on strategy implementation has remained quite narrow. Noble (1999) has further noted that there is a significant need for detailed and comprehensive conceptual models related to strategy implementation. To date, implementation research has been fairly fragmented due to a lack of clear models on which to build.

Results Based Management (RBM) approach is a key integrative strategy and mechanism, linking employees' goals and responsibilities to the objectives of the organization, and integrating major interventions such as appraisal, rewards, and overall service delivery and organizational performance thereby facilitating strategic fit. It is also a broad management strategy aimed at achieving important changes in the way institutions operate, with improving performance and achieving results as the central orientation.

The Department of Immigration is faced with the task of implementing a transformation of its management strategy from the current process-oriented management system to one based on results and accountability to address its various performance challenges. The link between organizational effectiveness and employee performance has largely been lacking in Kenya public service organizations including the Department of Immigration. At the Department of Immigration, Results Based Management is expected to focus on the operational systems in both financial and human resources arrangements with more emphasis on results and not mere adherence to activities, processes and procedures. The shift to results orientation entail a transformation of current procedures and practices focused on processes to those focused on achieving results.

Various studies have been done on challenges of implementation of strategies in the public sector in Kenya, such as (Kimithi 2006; Mugenda 1999; Ochanda 2005). No

documented study has focused on strategy implementation in Ministry of Immigration and Registration of Persons. (Kobia and Mohammed 2006) researched on the impact of performance contracting strategies in enhancing public sector reforms in performance management. However, their research was largely general in orientation and focused largely on performance contracting as a performance management strategy in the public sector.

Timimy (2008) studied the challenges of change management at the Department of Immigration. His work delved on the aspects of managing resistance to change focusing on internal reforms and modernization programmes. This however, was not far reaching in scope in as far as organizational performance is concerned. Murithi (2010) sought to highlight the link between internal reforms and the improved service delivery at the Department of Immigration. His study investigated the influence of internal reforms on service delivery. However, the study of the effectiveness of implementation of performance management strategies such as Results Based Management approach in the Department of Immigration of Kenya has never been documented. How was Results Based Management approach implemented at the Department of Immigration? What are the challenges that were encountered in the process of implementing RBM at the Department of Immigration?

1.3   Objectives of the Study

This study had two objectives which were:

- To establish how Results Based Management approach was implemented at the Department of Immigration.
- The challenges encountered and lessons learnt in the implementation of Results Based Management approach at the Department of Immigration.

1.4   Value of the Study

The study will provide invaluable propositions for the theory, policy and practice of strategy implementation. Given the limited amount of research in this field this study endeavours to add on to the knowledge and theory of strategy implementation in the context of public sector agencies in developing countries such as Kenya.

Secondly, this study will provide invaluable policy propositions in Public Sector change management policies as well as practical management challenges facing administrators and practitioners in implementing strategic change.

The study will also provide a platform for further research in the area of strategy implementation in particular the practices that contribute to successful uptake of Results Based Management in Kenya Public sector with the Department of Immigration as a case study.

CHAPTER TWO   LITERATURE REVIEW

2.1   Introduction

This chapter highlights the theoretical foundations of Strategic management with emphasis on strategy implementation. A review of pertinent literature in the field of strategy implementation will be reviewed as well as the conceptual frame work of Results Based Management approach. Important definitions, concepts and frameworks are described.

2.2   Strategic Management

According to Thompson (2005) strategic management is a combination of strategy formulation and strategy implementation. In the opinion of Pearce (2005) strategic management reflects the firm's awareness of how, when, and where to compete against whom it should compete and for what purpose it should compete. It combines the activities of the various functional areas of a business to achieve organizational objectives. Strategic management therefore, provides overall direction to the enterprise.

Dawson (1994) opines that strategic management is the art and science of formulating, implementing and evaluating cross-functional decisions that enable an organization to achieve its objectives. The purpose of strategic management is seen as exploitation and creation of new and different opportunities for the future. A graphic representation of strategy making and implementation process is depicted in figure 1.

Fig 1 Strategy-Making, Strategy-Executing Process
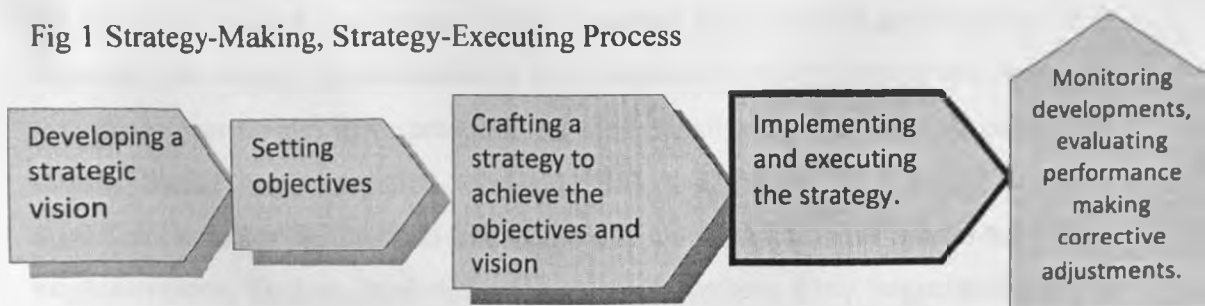
Adopted from: Thompson, A.A, Strickland, A. J and Gamble E.J (2005). *Crafting and Executing Strategy: Text and Readings*. McGraw-Hill Irwin. Boston.

2.2.1 Strategy Implementation

This is the allocation and management of sufficient resources (financial, personnel, time, technology support), establishing a chain of command, assigning responsibility of specific tasks or processes to specific individuals or groups. The implementation of strategy is not nearly as clear and understood, as is the formulation of strategy. Much more is known about planning than doing, about strategy making than making strategy work.

The implementation of strategy, directly or indirectly, relates to all aspects of management. Therefore, it is essential to follow a holistic approach when analyzing and evaluating complex issues of implementation. However, research in this area is still limited. Most research on strategy implementation has been done in other fields of business management and little in the public sector.

Scholars and practitioners alike have identified strategy implementation as a critical area needing further empirical research. "...the issue was not a poor understanding of environmental forces or inappropriate strategic intent. Without exception, they knew what they had to do; their difficulties lay in how to achieve the necessary changes". (Bartlett 1987 p.8). Okumus (1999) contends that while there are models and frameworks such as SWOT, industry structure analysis and generic strategies for researchers and practicing managers in the areas of strategy analysis and formulation. There is no agreed-upon and dominant framework in strategy implementation.

Despite the widespread acceptance of strategy's role in mediating an organization's interaction with its environment (Andrews 1971; Ansoff 1987; and Chandler 1962), the scope of research on strategy implementation has remained quite narrow. It is apparent that strategy implementation fails because practicing executives, managers and supervisors do not have practical, yet theoretically sound, models to guide their actions during implementation. Noble (1999) has further noted that there is a significant need for detailed and comprehensive conceptual models related to strategy implementation. To date, implementation research has been fairly fragmented due to a lack of clear models on which to build. Concisely, there is no definitive framework

that has been developed for strategy implementation in the field of strategic management.

Johnson (2006) summarized some key elements or factors that he proposed as critical to strategy implementation success. These factors presented in a systematic process that include quantifying the vision into unambiguous corporate hopes with concrete tangible targets. Secondly planning for results not activities in the SMART analogy denoting specific, measurable results-based action-oriented targets. Thirdly, use mantras to communicate. Fourthly, plan what not to do, and then integrate performance with strategy through fundamental measurement to reshape individual performance assessment. Sixth, automate progress management and measurement. Lastly evaluate the implementation of strategy continuously.

2.2.2 Strategy Implementation Framework

Based on research and consultancy work of Waterman (1980) many academicians and practitioners have argued that effective strategy implementation is essentially attending to the relationship between the following seven factors: strategy, structure, systems, style, staff, skills, and subordinate goals. While the authors thought that other variables exist within complex organizations, the variables represented in their model are considered to be of crucial importance to managers and practitioners (Peters 1982).

In their conceptual studies, (Alexander 1991; Judson 1995; Miller; 1996 and Thompson et al 1999) discussed and referred to similar implementation factors. Some of these factors include strategy formulation, organizational structure, culture, people, communication, control and outcome. A further framework developed by Miller (2002) for managing strategic change consists of five factors: environmental assessment, leading change, human resources, linking strategic and operational change and coherence.

Morrison (1991) identified six factors, which they argued should each be designed specifically in order to implement strategies. These factors are: coordination, managerial philosophy, configuration, formalization, centralization, and integrating mechanisms. They found that when there was a proper alignment between strategy,

administrative mechanisms and organizational capabilities, it was much easier to implement the strategy and achieve the desired objectives. They therefore suggested that the administrative systems and capabilities of the organization should be readjusted if the intended strategy was to achieve its aims.

2. 3   Results Based Management (RBM).

The concept of RBM is not really new. Its origins date back to the 1950's. Drucker (1954) introduced for the first time the concept of "Management by Objectives" (MBO) and its principles: cascading of organizational goals and objectives, specifying objectives for each member of the organization, participative decision-making, among others. (Drucker 1954).

A simple explanation is that RBM is a broad management strategy aimed at changing the way institutions operate, by improving performance, programmatic focus and delivery. It reflects the way an organization applies processes and resources to undertake interventions to achieve commonly agreed results. It is designed to improve service delivery and strengthen management effectiveness, efficiency and accountability. In a nutshell, RBM aims at shifting the focus from activities, projects and programmes linked in broad terms to an organization's mandate to the achievement of clear expected results derived from that mandate. (Public Sector Reform and Development Secretariat 2006).

RBM seeks to overcome what is commonly called the "activity trap", i.e. getting so involved in the nitty gritty of day-to-day tasks that the ultimate purpose or objectives are forgotten. This problem is pervasive in many organizations: activity/project/programme managers frequently describe the expected results of their activity/project/programme as "We provide policy advice to the Ministries of Education", "We train journalists for the promotion of freedom of expression", "We do research in the field of fresh water management" etc., focusing more on the type of interventions undertaken rather than on the ultimate changes that these interventions are supposed to induce, in relation to a certain group of beneficiaries (UN Bureau of Strategic Planning 2010 p. 5).

Experts caution against turning RBM into a bureaucratic process in itself. RBM has to be translated into improved programming and service delivery for the end users in order to escape the "activity trap" and justify investments deployed in it by organizations. As a management approach RBM focuses on achieving results; it has holistic management focus aimed at changing the way agencies operate, with improving performance (achieving results) as the core objective. Key RBM implementation techniques include: Formulating objectives (results), selecting indicators to measure progress towards each objective, setting explicit targets for each indicator to gauge performance, reviewing, analysing and reporting actual results vis-à-vis the targets and finally using performance information for purposes of accountability, learning and decision-making. (Organisation of Economic Co-operation and Development (OECD) 2000).

It should also be understood that the implementation of RBM is by no means a one-time event. It is rather a process that needs to be undertaken gradually, though in a coherent manner. Implementing RBM requires a fundamental change in management culture. A prerequisite for this change is a commitment at all levels to this management system. Such a commitment should be reflected through the interaction between the main parties and translated into precise tools and mechanisms to put RBM into action.

Key success factors for implementation of RBM may include: A clear conceptual framework, most organizations have recognized, albeit at different stages of the process, the need for strategic frameworks that provide vision and overall direction to the organization in the long-term. Secondly, alignment of programmes with the organization's long-term objectives by making results fit together and add up into major outcomes for the organization as a whole. Thirdly, Accounting for results is at the heart of the shift to results-based management in any organization. Therefore, harnessing the organization's resources to achieve its desired objectives, and demonstrating the linkage between resources and results, is essential for an effective RBM system. Performance evaluation and monitoring is critical to successful implementation of RBM. Performance evaluation and monitoring systems track and alert management as to whether actual results are being achieved as planned. Lastly internalizing results-based management ensures that management and staff, at all

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levels of the organization, are fully familiar with its concepts and conscious of its requirements in relation to their own work. There is a growing awareness among the organizations about the need for embracing knowledge management as a key management support tool, which can be used to reinforce and complement RBM since both have the ultimate goal of making organizations more effective, thus improving their performance. (Implementation of Results Based Management in the United Nations Organization 2004).

CHAPTER THREE RESEARCH METHODOLOGY

3.1 Introduction

This chapter dwells on the research methodology adopted in this study. It describes in brief what the methodology is and justifies its adoption by the researcher. Besides the research methodology this chapter also elucidates on how field data was collected, tools used as well as how the data was analyzed and presented.

3.2 Research Design

A case study research design focusing on the Department of Immigration was used. Young (1960) opines that a case is a very powerful form of qualitative analysis that involves a careful and complete observation of a social unit be that unit a person, a family, an institution, a cultural group or even the entire unit community. It is a method of study that drills down rather than casts wide. The research framework was descriptive in nature. A descriptive study is preferred to simple data as the researcher is able to investigate the relationship between two or more variables (Peterson 1982).

Case study research method is an empirical inquiry that investigates a contemporary phenomenon within its real-life context; when the boundaries between phenomenon and context are not clearly evident and in which multiple sources of evidence are used (Yin 1994). Case study methods involve an in-depth, examination of a single instance or event. It also provides a systematic way of looking at events, collecting data, analyzing information, and reporting the results. As a result the researcher may gain a sharpened understanding of why the instance happened as it did, and what might become important to look at more extensively in future research.

3.3 Data Collection

Primary data was obtained in the form of interviews with five key members of the senior management involved in policy formulation, including the Director of immigration Services, Permanent Secretary Ministry of Immigration and Registration of Persons, Assistant Director of Immigration Services, Technical, Human Resources Head and PSR&D Secretariat. Together with five individuals involved in key reform initiatives as well as implementation of important management change policies. These

included staff in administration, passport section, visa section, enforcement, and border management sections. Interviews were conducted in semi-structured format using an interview guide (appendix 1).

This approach was chosen because of questions flexibility, ease with which the researcher could go into more depth, enabling to test the limit of the correspondent knowledge and allowing the interviewer to make a more reliable assessment of what respondent really believes.

3.4   Data Analysis

Being descriptive and explanatory in nature content analysis method was used to analyze collected data. This method was chosen because of its strength in compressing lengthy interviews and conversations. It is also a good method where inferences were made.

Data was classified into various themes for ease of analysis. Through this method inferences were made by systematically and objectively identifying specified characteristics of information collected. Content analysis was used to categorize phrases, describe the logical structure of expressions and ascertain associations, connotations, denotations, elocutionary forces and other interpretations (Mugenda 1999).

CHAPTER FOUR DATA ANALYSIS, RESULTS AND DISCUSSION

4.1 Introduction

This chapter presents the findings and analysis of the study as set out in the research methodology. The study findings are presented to establish how the Department of Immigration implemented Results Based Management systems and the challenges faced. The data was gathered exclusively from the interview guide as the research instrument. The interview guide was designed in line with the objectives of the study. A summary of theoretical linkages between the findings and the other empirical studies in the same field and context is also presented.

The objectives of this study were to establish how RBM approach was implemented at the Department of Immigration within the Ministry of Immigration and Registration of Persons, the challenges encountered by managers as well as lessons learnt. The findings include key strategy implementation pillars or initiatives that were adopted and an outline of challenges faced by management.

4.2 RBM Implementation Strategies

The leadership of the Department of Immigration realized the need to change its business model from process orientation towards results focus (RBM) as propagated by the Public Sector Reforms and Development Secretariat (PSRDS). This change was realized through the use of several implementation strategies such as: Transformative leadership, Rapid Results Initiative (RRI) strategies, Performance Contracting and appraisal, automation and administrative reforms.

4.2.1 Transformative Leadership

The study established that the Director of Immigration Services is responsible for all change initiatives and part of his performance contract forms the basis for most of the implementation initiatives undertaken by the Departmental Management Committee. The Director signs his performance contract with the Permanent Secretary of the Ministry of Immigration and Registration of Persons who is the overall accounting officer for the Ministry. The performance targets and mandates emanate from the broader government strategic objectives broadly guided by among others Vision

2030. In the case of RBM implementation, the overarching body was the Public Sector Reform and Performance Contracting Secretariat (Transformation Department) within the office of the Prime Minister.

4.2.2 Rapid Results Initiative (RRI)

RRI was the single most effective strategy that the Department used in implementing all short term and medium term strategies to achieve successful RBM systems implementation. Between 2004 and 2006 various development partners such as the US Department of Homeland Security and European Union sponsored Government Justice Law and Order Sectors (GJLOS) reform initiatives partnered with the Department to implement automation of border management. The Personal Identification Secure Comparison and Identification Evaluation System PISCES was introduced at all major airports and a few border control points.

The GJLOS initiative sought to entrench improvement in service delivery through enhanced performance management systems targeting easy win changes. This was carried out jointly with the PSRDS in the form of 100 days RRI targeting simple process reforms. Officers at the operating levels were invited to give their initiatives on how change could be achieved without involving major budgetary allocations or structural changes. The passport section was chosen due to the negative publicity associated with the passport issuance system.

Major changes on the processes and procedures in place were undertaken with surprising success. Various processes were questioned and eliminated, merged or side stepped altogether. The success in reduction of passport processing period at the Nairobi headquarters was duplicated in Mombasa as well as in Kisumu. Other strategic achievements attributable to RRI include the review of work schedules for officers where flexible work schedules and signage were introduced to speed up protocol. Previously all employees worked between 8.00am and 5.00pm. The new schedule has a shift option of either between 7.00am – 2.00pm or 2.00 – 8.00pm. This enabled officer to work over lunch hour and late in the evening to facilitate speedy issuance of documents. A long term proposal to decentralize passport issuance to five (5) major towns was also adopted.

As part of the 100 days RRI programme the Department launched a massive public awareness campaign to educate the public through print media and electronic media in 2008. Regular advertisements were made in print media while electronic media hosted regular radio and TV talk shows in national languages. The same information was transmitted through vernacular FM stations using local languages. The same information was relayed by service charters strategically placed. The purpose was to inform citizens of their rights and requirements for services and products in a bid with 100 days to demystify the Department which was an anathema to citizens.

4.2.3   Performance Contracting and Performance Appraisal

In August 2003, through legal notice no. 93 all government agencies were required to comply with the strategies of Performance Contracting. A Performance Contracting manual as well as training manual were developed and the link between performance contracting and strategic management and planning was particularly emphasized. Through development of work plans and cascading of performance contracting, performance management was enhanced at the Department of Immigration. Performance contracting was cascaded to the level of officers in job group J and above.

Performance appraisals have now become the norm in performance management at the Department of Immigration because of the emphasis that has been placed on the role of appraisal to employee development and career progression. Performance appraisal at the Department of Immigration is done on quarterly basis with the annual performance appraisal being the benchmark for target setting and evaluation. The uptake to this strategy in success of RBM cannot be gain said.

4.2.4   Automation

Most respondents attributed improved service delivery and successful implementation of RBM to the adoption of computerization in the operations of the Department of Immigration. A Computerization Steering Committee was formed to analyze the manual operating systems and determine the shortcomings related to service delivery. This internal desire for planned change formed the basis of future planning and reforms in ICT policy.

By 2008, the Department of Immigration had adopted use of technology in most sections. For example the Kenya Passport Issuing System (KPIS) for passport section provides real time information on status of applications to officers and even applicants can track the status of their passport application by Short Messaging Services (SMS) from their cell phones. Personal Identification Security Comparison and Evaluation System (PISCES) has been installed at all international airports and some borders to assist officers in identifying undesirable elements and tracking entries and departures. It is noteworthy that both Kenya Passport Issuing System (KPIS) and Personal Identification Security Comparison and Evaluation System (PISCES) have inbuilt employee performance management components that have enhanced the uptake of RBM among employees.

4.2.5 Administrative Reforms

Beside computerization a more comprehensive taskforce was formed in 2004 to review and address the shortcomings/inadequacies of departmental laws, operations, structure, service delivery systems and resources. This taskforce came up with some recommendations among them; decentralization of services to regional offices, districts and missions abroad, increase the number of immigration officers from under 300 to 1758 officers and computerization of operations including; records management and operational processes and finally develop human resources in the department through training and motivation.

The Department of Immigration was highly centralized with issuance of documents centred in Nairobi. Passports issuance was partially decentralized with regional passports offices at Kisumu and Mombasa. The Department Restructuring Program of 2004 aimed to decentralize services by creating regional and district offices to render services to Kenyans. Kenyan mission abroad were to be increased from current 15 to 37 to offer consular services. Borders were to be increased by 24 new ones to reduce the porous nature of the border by increasing service access and control points. Some existing border control points had to be moved to the actual border line. To deliver better services to Kenyans, four Regional offices were opened at Garissa, Eldoret, Embu and Nakuru to offer services closer to the people and reduce congestion at the existing offices at Nairobi, Kisumu and Mombasa.

4.4   RBM Implementation Challenges

The study found out that the following are the major challenges faced in the implementation of RBM at the Department of Immigration: resistance to change and inadequacy of piecemeal changes or reforms.

4.4.1   Resistance to Change

The leadership at the Department of Immigration realized the need to change its orientation from being process based to being results oriented as early 2001. The need to overcome resistance to change was anticipated, various initiatives such as staff sensitization campaigns were undertaken and the leadership of the department made it clear that there was no turning back on reforms. This was not easy because these change initiatives were entrusted to the same people who were used to the old model of operating.

Since the initiatives came from outside the Department, there was a perception that some senior managers felt threatened yet they were expected to lead the reforms initiatives. The change of modus operandi to RBM was seen as a threat to the old and familiar way of doing business hence sabotage was experienced in a few instances.

4.4.2   Inadequacy of Piecemeal Changes

The drive for adoption of RBM was externally driven and the need for drastic structural changes in the management or bureaucratic structure of the Department was not addressed. Some respondents felt that this resulted in piece meal adoption of change that was not far reaching enough to be self sustaining. For instance the change to Results Based Management orientation did not foresee the role of corruption in forestalling change. The failure to deal decisively with corruption threatens the very foundations the reforms at the Department of Immigration.

Inadequate coordination and sequencing of implementation initiatives undermined their individual and collective effectiveness. It also means that in order to retain, motivate and attract talented and dedicated officers the Department required profound change in current human resource policies, development and remuneration. This involved the development and implementation of a results-based performance for monitoring systems, common public service measurement standards and service

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delivery action plans. There is no link between employee results or output and their pay or reward system which seems to de-motivate officers.

4.5   Lessons Learnt

Respondents felt that the following were the key lessons learnt while implementing RBM at the Department of Immigration, first lack of a solid legal framework, which sets out the basic premises and the status performance contracts, may avoid ad hoc and fragmented solutions to issues arising. The current arrangements lack legal enforcement capacities so much so that these local arrangements are not legally binding and can be challenged in court.

Secondly knowledge of strategic planning, development of work plans and monitoring capacities among the staff is central to the success of RBM and the management support and their technical knowledge is crucial. RBM implementation should be accompanied by performance-oriented change in the organization structure and management culture management instruments, focusing on performance and cost in the field of human resources and financial management should be developed in an integrated manner.

4.6   Discussion

The implementation of strategy, directly or indirectly, relates to all aspects of management. Therefore, it is essential to follow a holistic approach when analyzing and evaluating complex issues of implementation. While there are models and frameworks such as SWOT, industry structure analysis and generic strategies for researchers and practicing managers in the areas of strategy analysis and formulation. There is no agreed-upon and dominant framework in strategy implementation.

Johnson (2006) summarized some key elements or factors that he proposed as critical to strategy implementation success. These factors presented in a systematic process that include quantifying the vision into unambiguous corporate hopes with concrete tangible targets. Secondly planning for results not activities in the SMART analogy denoting specific, measurable results-based action-oriented targets. Thirdly, use mantras to communicate. Fourthly, plan what not to do, and then integrate performance with strategy through fundamental measurement to reshape individual

performance assessment. Sixth, automate progress management and measurement. Lastly evaluate the implementation of strategy continuously.

Immigration Department is no exception and it implemented RBM in tandem with the views held by various scholars. Accordingly, the Department of Immigration adhered to the reforms phases as outlined by Bryson (2005), though not strictly as outlined in the model. In the Department of Immigration, the operating environment was transforming rapidly in social economic and political arena with agitation for more freedoms and rights, demands for accountability and transparency were in vogue as democratic space had rapidly expanded.

However, despite the capacity challenge in strategy implementation the results of their work speak volumes. For instance service delivery standards improved tremendously for example passport processing turnaround time improved from thirty working days prior to 2008 to ten days in 2010. The Department also recorded the least number of customer complaints according to Public Complaints Report (2010). There is higher employee satisfaction and reduced supervision of lower cadre staff resulting from extensive training, better work environment, and recruitment of additional officers among other measures.

The finding of this study compare well with other empirical studies for instance, Tamimy (2008), argues that the Department like other public sector players was faced with both external and internal challenges ranging from political, technological, legal, social and widening informal sector advancement of technology, economic and regional integrations and other global challenges. Tamimy (2008) contends that internally the Department lacked managerial cohesiveness since sections were operating independently with personal approach to customer needs was missing hence corruption became rampant leading to an outcry. It is against this background that RBM approach ideal were implemented.

Murithi (2011) opined that, for change to be implemented in the public service, the organizations have to adequately respond to both internal and external factors. External factors may include government policy, influence of pressure groups, customer demands and technological changes. The internal strategies include

personnel strategies, structure and systems strategies, tasks and work strategies, people strategies, technological strategies and organizational culture. He further contends that change of behavior is important and it can be enforced by: leadership training, coaching, counseling, appraisal and training programs, and imposition of sanctions and provision of suitable rewards. As in the case of RBM implementation, the change was externally driven and challenges of resource allocation and internal communication and coordination were encountered as revealed in this study.

CHAPTER   FIVE SUMMARY, CONCLUSION AND RECOMMENDATIONS

5.1   Introduction

This chapter concludes the findings of the study by summarizing the key data derived from the respondents as highlighted in chapter four based on the objectives of the study. The objectives of the study were to establish how Results Based Management approach was implemented at the Department of Immigration and the challenges faced by managers. Recommendations to stakeholders include areas for further research in strategy implementation while conclusions are derived from the objectives of the study as set out in chapter one.

5.2   Summary of Findings

The Department of Immigration initiated various strategy implementation initiatives including transformative leadership, Rapid Results Initiative (RRI), Performance Appraisal, and Performance Contracting, and the commitment of top management as being critical to attainment of a paradigm shift that is Results Based Management. There was an urgent need to transform the Department of Immigration from a service plagued with inefficiency, wastage and citizen aloofness to one that was geared towards creating a performance legacy, by making it citizen centered, results oriented, efficient, effective, ethical and equitable.

The study established that the key challenges in implementation of the RBM systems included poor communication of intended change among employees, lack of link between individual performance and organizational performance in so far as reward and promotion are concerned. Some respondents felt that there was inadequate human resources planning, compensation and benefits policy are not tied to results, and top management still suffer from a bias towards time-serving as opposed to results.

5.3   Conclusion

Though managers at the Department of Immigration did not have a clear strategy implementation model or conceptual framework on which to base their RBM implementation agenda, they succeeded in implementing the same so much so that

they have been cited as a success model by among others the Commonwealth Association for Public Administration and Management (CAPAM (2011) and the Kenya Institute of Administration (KIA 2010). In endeavouring to maintain and sustain continuous improvement, the Department has embarked on an aggressive campaign to achieve ISO certification by setting the bar to improvement even higher.

The attainment of ISO certification by the department will further boost the morale of the Department in sustaining and consolidating as well as celebrating their achievements. For example the use of Information Communication and Technology (ICT) still provides endless possibilities for further innovation.

5.4   Recommendations

There is need for the management at the Department of Immigration to seek a way out of the box within which the Department finds itself core public service. As much as there is so much more that can be achieved in way of implementing and transforming the Department in the model of RBM, there are limitations that hinder further transformation. These limitations are structural in nature.

Employee reward structure cannot be changed to reflect the aspiration of RBM as well as enforcement of respect for result achievement in promotion and reward as well as demotion and reprimand. This is due to the structural alignment that hinder or limit appreciation of excellent performance.

Further research in strategy implementation in the public sector need to be undertaken especially in the sphere of long term and large project/programmes needs to be documented given that a lot of planning and research papers are developed and yet little is achieved in terms of implementation.

5.5   Limitations of the Study

The scope of the study was how RBM was implemented by the Department and the challenges faced. Service delivery scope covered the influence of RBM initiatives on service delivery in terms of speed of service delivery, quality of services, access to services and customer satisfaction in general manifested in reduced complains.

The limitations in this study included the strategic use of information in the organizations which make it very difficult for its release. In government, classification of information and an oath to keep information secret by civil servants makes it very difficult for anybody to release it without authorization. Public service organizations, of which the Department of Immigration is one of them, experience poor information storage methods. This makes timely access to reliable information very difficult. The researcher also faced constraints of inadequate time and resources to carry out a comprehensive study.

The researcher also encountered problems in eliciting information from the respondents as the information required was subject to areas of transparency, and confidentiality which could not be accurately quantified and/or verified objectively. The researcher encouraged the respondents to participate without holding back the information they have as the research instruments would not bear their names. The study gathered dated from immigration officers, since as permanent staff; they had the institutional memory and the capacity to provide accurate information on influence of reform initiatives on service delivery. However, officers serving in missions abroad were excluded from the survey due to envisaged logistical problems.

5.6   Suggestions for further Research

There is need for more research to be undertaken on the success of implementation of various reforms, transformation and other change initiatives such as Results Based Management in the Kenya public service. This cannot come at a more critical moment when the winds of change are blowing in all sectors of governance in the country. There is limited literature and knowledge of how innovation can be harnessed to bring about incredible results as witnessed in the case of the Department of Immigration.

The field of Public sector change management and more so implementation in Kenya can be considered to be relatively unexplored. There exists immense data and information that if harnessed can add on to the body knowledge of management.

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APPENDICES

APPENDIX 1:   INTERVIEW GUIDE

PART I

General Information

1.   Job Title and responsibilities in the Department.

2.   Are you aware of the strategic changes that the Department of Immigration is undertaking? [Yes/No]

3.   If Yes to 3, is Results Based Management strategy one of them? [Yes/No]

4.   Describe how the management style in the Department of Immigration is influenced from outside?

5.   In your opinion, what have been the drivers of reform and change in the Department?

6.   In view of 6 above, what specific strategies have been employed to ensure effective implementation of Results Based Management approach?

Part II: Strategic factors in RBM implementation at the Department of Immigration.

1.   Had the Department anticipated the changes within the wider Public Sector to affect its management policy and style? [Yes/No].

2.   Was the need to transform from a process based management style anticipated within the top management team? [Yes/No].

3.   Has Performance Contracting been effective as an RBM strategy? [Yes/No]

4.   In your opinion has Performance Appraisal been effective in realizing the RBM approach strategy? [Yes/No].

5.   What specific programs have been put in place to ensure the successful implementation of RBM?

6.   What specific challenges have been experienced in the process of implementing the management strategy shift to RBM?

7.   What are the specific challenges of implementing Performance Appraisal at the Department of Immigration?

8.   How has RRI been initiated and sustained as a key RBM implementation strategy?

9. What specific examples of RRI successes can be cited as being effective in the implementation of RBM?

10. What specific organizational changes can be attributed to Rapid Results Initiatives (RRI)?

11. In your opinion what specific performance improvements can we attribute to the introduction of service charters?

12. How effective was the introduction of service charters at the Department of Immigration in the realization of RBM approach?

13. In your opinion do you think the implementation of RBM has been effective in realizing the improved performance of the Department of Immigration in its key mandate?

14. How effectively has change/reform initiatives such as RBM been communicated to members of staff and the public?

15. Describe how the implementation of RBM is monitored and evaluated. Is there a monitoring and evaluation system in place?

Structured Questionnaire:

1. What factors drove the Department of Immigration to seek to change its management system to Results Based Management approach?

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2. What were the key challenges faced by managers at the Department prior to implementation of Results Based Management?

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3. What were the key challenges faced by managers at the Department during the implementation of RBM?

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4. Describe approaches and innovation adopted to implement of RBM at the
   Department.

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Highlight the key success indicators of success in RBM implementation at the
Department of Immigration.

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5. What are the key strategic interventions that led to successful RBM
   implementation?

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6. Q: Describe the Monitoring and evaluation strategies adopted for sustained
   success RBM approach.

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