

ASSESSING THE IMPLEMENTATION OF THE FOURTH STRATEGIC PLAN (2011-
2015) OF THE UNIVERSITY OF NAMIBIA

A THESIS SUBMITTED IN PARTIAL FULFILMENT OF THE REQUIREMENTS

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ABSTRACT

The primary purpose of this study was to assess the implementation of the Strategic Plan (2011-2015) of the University of Namibia. It was also the objective of this study to establish what measures were put in place to ensure the implementation of the strategic plan and to provide recommendations on improving the implementation of the strategic planning process.

The case study applied the mixed methods research approach. The study utilised the survey method for the quantitative approach and interviews for the qualitative approach. The population of the study was 689 and the sample size was 239, which was selected using MEDLAB computer software sampling technique. The purposive or judgemental sampling technique was used by the researcher to select key informants.

The study revealed that even though there is a Strategic and Physical Planning Unit spearheading the strategic planning activities at the University of Namibia the process was not fully participatory. It also revealed that the strategic plan could not be effectively implemented due to too many unplanned activities, a high workload for staff, lack of strategic leadership, lack of commitment, lack of funding, lack of support and engagement of stakeholders, as well as the absence of a performance management system.

The study recommends the establishment of a strategic planning committee at the institution to co-ordinate and communicate the strategic planning process. The study recommends the development of a communication plan that will include all staff members as well as stakeholders.

Also recommended in the study is that the Strategic and Physical Planning Unit consider holding faculty/centre/unit-specific workshops to ensure carefully designed participation and periodic inputs at all levels.

In addition, adequate resourcing and funding of the university by the Government of Namibia as well as the creation of a third income stream to reduce the burden on the government in terms of finances is recommended. Furthermore, University Management should provide strategic leadership to empower staff members to ensure the successful implementation of the strategic plan.

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DEDICATION

I dedicate this work to my husband, Eugene Gustav Biwa and my three children, Geogina Tsuses, Calvin Tsuseb and Alicia Ayanda Biwa.

DECLARATIONS

I, Anna-Marie Biwa, hereby declare that this study is my own work and is a true reflection of my research, and that this work, or any part thereof has not been submitted for a degree at any other institution. No part of this thesis/dissertation may be reproduced, stored in any retrieval system, or transmitted in any form, or by means (e.g. electronic, mechanical, photocopying, recording or otherwise) without the prior permission of the author, or the University of Namibia in that behalf.

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LIST OF ABBREVIATIONS AND ACRONYMS

APC	-	Academic Planning Committee
BSCF	-	Balanced Scorecard Framework
ETSIP	-	Education and Training Sector Improvement Programme
FB	-	Faculty Board
GRN	-	Government of the Republic of Namibia
NDPs		National Development Plans
NDP 1	-	National Development Plan 1
NDP 2	-	National Development Plan 2
NDP 3	-	National Development Plan 3
NDP 4	-	National Development Plan 4
R.A.C.E.		Ready, aim, communicate, evaluate
SWOT	-	Strengths, weaknesses, threats and opportunities
UCPS	-	University of Namibia Centre for Post-graduate Studies
UNAM	-	University of Namibia
UREC	-	University of Namibia Research and Ethics Committee

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CHAPTER 1: INTRODUCTION

1.1. Introduction

This chapter introduces the study by providing the background of what prompted the study, the problem statement, research objectives of the study, significance of the study, limitation of the study as well as the outline of the study.

1.2. Orientation of the Study

Soon after independence in 1990, the Namibian Government developed a framework that clearly defined where the country was, where it wanted to be by 2030 and how it was to get there as a nation. To define this framework, the Namibian Government developed a national policy, named Vision 2030, to reach the goal of future development and to align the goals with the fourth National Development Plan (NDP4).

Vision 2030 was finalised and launched, spelling out the role tertiary institutions are expected to play in the transition of Namibia from a developing country to a fully-fledged industrialised nation. In order to support Vision 2030, the Government of the Republic of Namibia (GRN) issued a policy on the Education and Training Sector Improvement Programme (ETSIP) directing tertiary institutions to undertake certain changes and innovations. This then required the University of Namibia (UNAM) to step back and take stock of the new challenges it faced to become more relevant to a fast-changing national and global situation. Therefore, this study endeavoured to assess the implementation of the fourth strategic plan (2011-2015) considering UNAM as the case study.

According to Hayward, Ncayiyana and Johnson (2003), the fundamental purpose of strategic planning in higher education is to provide an on-going process of examination and evaluation of an institution's strengths, weaknesses, goals, resources requirements and future prospects, as well as to set out a coherent plan to respond to the findings and build more effective institutions. Strategic planning, therefore, strengthens and enhances the performance and quality of an institution. Goodstein, Nolan and Pfeiffer (1993) define strategic planning as "the process by which the guiding members of an organisation envision the future and develop the necessary procedures and operations to achieve that future" (p. 89). A strategic plan, sometimes called a corporate or institutional development plan, details measures that the institution intends to take to achieve its mission. Its aim is to give the institution guidance and direction (Sallis, 2002).

Hayward et al. (2003) further state that strategic planning in higher education assumes even greater importance today than it did a decade ago. The changing needs of higher education and society, the growth of information technology, the communications revolution, fluctuations in access to financial and human resources and the rapid pace of change in other aspects of the environment in which higher education operates give strategic planning added urgency. However, in the prevailing environment of fierce competition for outstanding students and resources, strategic planning is about positioning, defining or discovering the institution's niche and seeking to be the best in what it does.

Universities around the globe play a major role in national development, the advancement of new knowledge and the development of human resources. In Africa, universities are expected to adapt to African and country-specific stances such as producing human capital, promoting

economic development and championing ethical and moral values of society while fostering teaching and research.

1.3. Contextual Background

This study was conducted at UNAM located in Windhoek, the capital of Namibia. UNAM was established by an Act of Parliament on 31 August 1992, as recommended by the Commission of Higher Education. Under this Act, UNAM has the following objectives and functions: To provide higher education and undertake research, to advance and disseminate knowledge, to provide extension services and to encourage growth and the nurturing of cultural expression within the context of the Namibian society. In addition, UNAM seeks to contribute to the social and economic development of Namibia and to foster relationships with any person or institution, both nationally and internationally.

UNAM is the largest and leading national institution of higher education in the country and is a diverse institution, with a student population coming from all over the African continent and beyond. Although relatively young, UNAM has grown to support a student population of 16 000 during the 2017 academic year. The university consists of eight faculties and three schools with 12 campuses in nine regions where academic programmes are offered (<http://www.unam.edu.na>). Like any other institution of higher learning, UNAM needs to develop a proper strategic plan in order to achieve its objectives and also to respond to development challenges that affect the Namibian nation (Nghihangwa, 2007).

UNAM has articulated a set of strategic objectives to guide its growth and development for the next five years. However, objectives derived from the strategic plan need to be implemented, monitored and evaluated. In the absence of an implementation, monitoring and evaluation programme, having a strategic plan is the same as moving without a sense of direction. A

previous study done by Nghihangwa (2007) found that the strategic planning process and management at UNAM lacked an implementation agent. However, the aforementioned study was done almost 10 years ago, hence there is a need to establish how effective the implementation of strategic planning is at UNAM, at the present time. With this in mind, this study aimed at assessing the effectiveness of the implementation of the fourth strategic plan (2011-2015) of UNAM.

1.4. Statement of the Problem

UNAM, as an institution of higher learning, is expected to maintain an exceptionally high standard of performance to survive and thrive in a competitive environment. The development of strategic plans was a direct response to the ever-changing environment, public demands and the advancement of information and communication technologies (Nghihangwa, 2007).

As stated by Nghihangwa (2007), the first strategic plan (1995-1999) was developed with minimal consultation, as it was basically aimed at positioning the University within the community it serves. However, the second plan (2001-2005) could not be launched and the implementation thereof was not completed. Consequently, the second plan was only kept as an internal document for the university management. The study further discovered that the planning and management of the second strategic plan (2001-2005) could not be implemented due to the absence of an implementation agent and a framework, lack of proper monitoring and evaluation as well as inadequate communication and information sharing. The third strategic plan (2006-2010) was developed, but there is no documentation that reflects the evaluation of the effectiveness of the implementation process of the strategic plan. This is, therefore, a knowledge gap which this study addresses.

UNAM's fourth strategic plan (2011-2015) under investigation was developed using the performance management system also known as the Balanced Scorecard Framework (BSCF). BSCF was applied in view of its capability to translate the UNAM strategy into operational objectives that drive both performance and behaviour (UNAM, 2011). The aforementioned plan (2011-2015) has ended and the institution is in the process of developing its fifth strategic plan.

UNAM has a proficient initiative of developing strategic plans but the problem has been the implementation and monitoring of the objectives in each plan. It is very costly to develop strategic plans, therefore, it is important to check the effectiveness of each strategic plan. Gaps in implementation can be identified and the new strategic plans can be developed in a way that will avoid loopholes. The primary purpose of this study, therefore, was to assess the implementation process of strategic planning at UNAM. It was also the objective of this study to establish what measures were put in place to ensure the implementation of the strategic plan and to provide recommendations on improving implementation of the strategic planning process.

1.5. Research Objectives

The study was guided by the following objectives, which were to:

- 1.5.1 Assess the effectiveness of coordination and communication during the planning process;
- 1.5.2 Establish the role UNAM's stakeholders played during the implementation of the strategic plan (2011-2015);
- 1.5.3 Assess how monitoring and evaluation was developed to ensure effective and efficient implementation of the strategic plan;

1.5.4 Establish the adequacy of capacity building and growth in support of the strategic planning process; and to.

1.5.5 Recommend improvement on the implementation of the strategic planning process at UNAM.

1.6. Significance of the Study

There are very few studies of this kind, not only at UNAM, but also in Namibia. Therefore, the results may contribute towards the body of knowledge in understanding the importance of strategic plans and the implementation thereof within institutions of higher education, such as UNAM. The research could help to identify gaps in the 2011-2015 strategic plan. The research findings might also inform recommendations to the University management, which would be beneficial to the implementation of the fifth strategic plan and other future plans.

1.7. Limitations of the study

The strategic plans are developed for the university as a whole. However, the focus of this study was limited to the main campus only, leaving out the other centres/campuses which may have different factors impacting on the implementation by virtue of their distance and local environment.

1.8. Operational definitions

Monitoring: A systematic process of collecting, analysing and using information to track a programme's progress towards reaching its objectives and to guide management decisions. Monitoring usually focuses on processes, such as when and where activities occur, who delivers them and how many people or entities they reach (Gage & Dunn 2009).

Evaluation A systematic assessment of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or institution's performance. Evaluation focuses on expected and achieved accomplishments, examining the results chain (inputs, activities, outputs, outcomes and impacts), processes, contextual factors and causality, in order to understand achievements or the lack of achievements. Evaluation aims at determining the relevance, impact, effectiveness, efficiency and sustainability of interventions and the contributions of the intervention to the results achieved (Gage & Dunn, 2009).

Effectiveness: refers to the extent to which the activities in stated objectives have been met (European Union Accession, 1998).

Capacity building: is an evidence-driven process of strengthening the abilities of individuals, organisations and systems to perform core functions sustainably, and to continue to improve and develop over time (UNDP Capacity Development Practice Note, 2008).

Academic staff: includes personnel whose primary assignment is instruction, research, or public service. This includes staff personnel who hold an academic rank with titles such as professor, associate professor, assistant professor, instructor, lecturer, or the equivalent of any of these academic ranks. The category includes personnel with other titles, for example, dean, director, associate dean, assistant dean, chair or head of department. (UNESCO, 2001, p. 45).

Administrative staff: staff members involved in management functions of planning, leading, organising and coordination (UNESCO, 2001, p. 45).

1.9. Outline of the thesis

The thesis is divided into five chapters. Chapter 1 introduces the context of the study. This chapter provides information pertaining to orientation of the study, the statement of the problem, the research objectives, significance of the study, limitation of the study and operational definitions. Chapter 2 presents a conceptual framework and reviews existing literature on strategic plan implementation as well as identifying gaps in that area. Chapter 3 discusses the research methodology that was adopted and employed to conduct the study. The research methodology aspects include research design, population of the study, sample, research instruments and procedure used in collecting data as well the methods used to analyse data and the observed ethical considerations. Chapter 4 focuses on data presentation and analysis of findings. Lastly, Chapter 5 presents the discussions, conclusions and recommendations of the study.

1.10. Chapter summary

This chapter introduced the importance of strategic planning in higher education with specific references to the Namibian context. It explained the development of strategic planning at the UNAM which was prompted by the objectives of the national development policies such as National Development Plan (NDP) (1, 2, 3, 4 & 5) and Vision 2030 to respond to the development challenges that affect the Namibian nation. This chapter further clarified previous studies on the same topic which were conducted at UNAM and found that a number of strategic plans were developed by the university but were not implemented due to a lack of implementation agents. The next chapter focuses on the review of literature on strategy implementation.

CHAPTER 2: LITERATURE REVIEW

2.1. Introduction

The literature review was guided by the objectives of this study, which were to: assess the effectiveness of coordination and communication during the planning process; establish the role UNAM's stakeholders played during the implementation of the strategic plan; assess how monitoring and evaluation was developed to ensure effective and efficient implementation of the strategic plan; and establish the adequacy of capacity-building and growth in support of the strategic planning process. In this chapter, the researcher explored existing literature to develop a conceptual understanding of strategic management and planning process, strategic implementation, monitoring and evaluation.

2.2. Strategic Management

Ehlers and Lazenby (2010) state that strategic management is the process whereby all the organisational functions and resources are integrated and coordinated to implement formulated strategies, which are aligned with the environment in order to achieve the long-term goals of the organisation and, therefore, gain a competitive advantage through value for stakeholders and communities (p.3). Ehlers and Lazenby (2010) further emphasise on the important term in the definition, which is "competitive advantage" where advantage is the edge that an organisation has over others, and could be achieved through strategies like lower costs, a wider range of products/services (differentiation) or a focus on a specific niche market segment. However, for an organisation to achieve competitive advantage, it needs to meet the needs of the stakeholders, require adding value to the products or services that the competitor and customers cannot do themselves.

Luthans and Doh (2009) postulate that strategic management is the process of determining an organisation's basic mission and long-term objectives and then embedding a plan of action for pursuing this mission and attaining these objectives (p.20).

According to Louw and Venter (2006), strategic management encompasses more than the management of the strategic decision-making process. The success of an organisation is mainly determined by the effectiveness and efficiency of its management (p.30). In the words of Drucker (1997), efficiency is concerned with doing the right things. Louw and Venter (2006) state that strategic management is concerned with the overall effectiveness and choice of direction with a dynamic, complex and ambiguous environment. Strategic management is not concerned with strategic planning only, but also must ensure that the strategy is implemented. Sanchez and Heene (2004) describe strategic management as referring to the management processes that define the organisation's goals for value creation and distribution, and design the way the organisation will be composed, structured and coordinated in pursuing its goals for value creation and distribution. According to Rowe et al. (as cited in Salmela & Spil, 2002), strategic management is the process by which organisations determine what value is needed and how to add that value. It means ensuring that organisations can cope effectively with the myriad demands placed on them from within and without. Louw and Venter (2006) perceive strategic management as concerned with:

- (a) Effective strategies that balance the organisation's resources and capabilities, values and goals with its external environment. In so doing, strategic managers are responsible for establishing a clear direction for the organisation and a means of getting there, which requires the creation of strong competitive positions, and
- (b) The implementation of a strategy in such a manner that all organisational architecture and activities are synergistically integrated to achieve effective performance.

Louw and Venter (2006) further stated that strategic management per se based on past and current success will not guarantee continued prosperity and success. Constant organisation-wide learning, visioning of the future, strategic flexibility to deliver, and a team approach towards employees and stakeholders, would, however, assist in sustaining prosperity and establishing a sustained competitive advantage. The primary objective of strategic management is to achieve a competitive advantage for the organisation because above-average returns or superior profitability will follow (ibid). However, this can be achieved only if the strategy is formulated and implemented properly (Thompson & Martin, 2010, p.67).

2.3. Strategic Management Process

Wheelen and Hunger (2012) define the term “strategic management process” as a set of managerial decisions and actions that determine the performance of a corporation in the long term. These managerial decisions may occur during the planning, implementation or control phases. It follows that these decisions have to do with internal and external environmental scanning, strategic planning, implementation and control, which constitute the phases of the strategic management process.

In today’s world, organisations operate in the business environment where competition is harsh without any mercy shown on the organisations. Therefore, organisations are required to plan for the future and prepare themselves for any unforeseen circumstances. The world organisations operate in has radically changed in the past few decades, such that the factors and competencies that made organisations successful and were the norm, might not be applicable today. Therefore, it is important that the managers of organisations ensure that

they cope in this changing environment and prepare for the future, through developing strategic plans/management.

Louw and Venter (2006) state that the strategic management process includes an understanding of the organisation's purpose, strategic analysis, strategy development, strategy implementation and future perspective. Therefore, a process which is a combination of commitment, decisions and actions is required for an organisation to achieve strategic competitiveness and earn above-average returns. The strategic management process model is further explained below and depicted in Figure 2.1.

2.3.1. Strategic intent and purpose

According to Louw and Venter (2006), strategic intent is essentially concerned with the direction in which an organisation wants to go, the type of organisation it aspires to be, and how it proposes to get there. It is determined by the extent to which an organisation pursues its mission and ambitious objectives and focuses all its resources, capabilities and competitive action towards the organisational position, achieving competitive advantage and winning in the marketplace. Therefore, strategic intent is a combination of vision and mission.

The organisation's vision must:

- Be clear and easily understood by everyone;
- Be compelling and excite people;
- Serve as a unifying focal point of effort;
- Act as a catalyst for team spirit;
- Have a clear finish line;
- Apply to the entire organisation; and

- Should perhaps have only a 50% to 70% probability of success but the organisation must believe that it can reach the goal anyway (Collins & Porras, 1996).

Mission reflects core areas regarding how the organisation is going to get to its destination, which comprises purpose, strategies, values and behaviour standards (Collins & Porras, 1996, p. 73). This is supported by Hinton (2012), who states, “The vision statement is an institution’s clear description of what it intends to become within a certain timeframe. The vision statement defines the institution’s strategy position in the future and the specific elements of that position with relationship to the mission statement” (p. 10).

2.3.2. Strategic analysis

According to Louw and Venter (2007), strategy analysis consists of analysing and evaluating the strategic link between the organisation’s external environment opportunities and threats (outside-in perspective) and its internal strengths and weaknesses (inside-in perspective).

The internal environment: the organisation identifies opportunities in the external environment (social, economic, environmental, political, social, and legal aspects).

The internal environment refers to the organisation’s strategic capability as determined by creating customer value and building a competitive advantage (Louw & Venter, 2007, p. 30). In support of this, Rowley and Sherman (2001) state that the basic strength of strategic planning are its abilities to align the organisation with its environment (that set of internal and external forces that can positively or negatively affect the activities of an organisation).

2.3.3. Strategy development

Strategy development involves understanding the underlying options for the corporate level, business level, and global strategy development, in terms of direction and methods of development (Louw & Venter, 2007, p. 30). In support of this, Sallis (2002) emphasizes that a strategy for the institution needs to be developed in such a way that the institution can defend itself against competition and maximise its attractiveness to its customers.

2.3.4. Strategy implementation

The strategies chosen and developed must be implemented. Successful strategy implementation is dependent upon strategic leadership, as the key driver of implementation and a sound organisational architecture (Louw & Venter, 2007, p. 31). Harrison and John (1998) support this statement by Louw and Venter (2007) by that strategy implementation requires strategic leadership skills in the organisation.

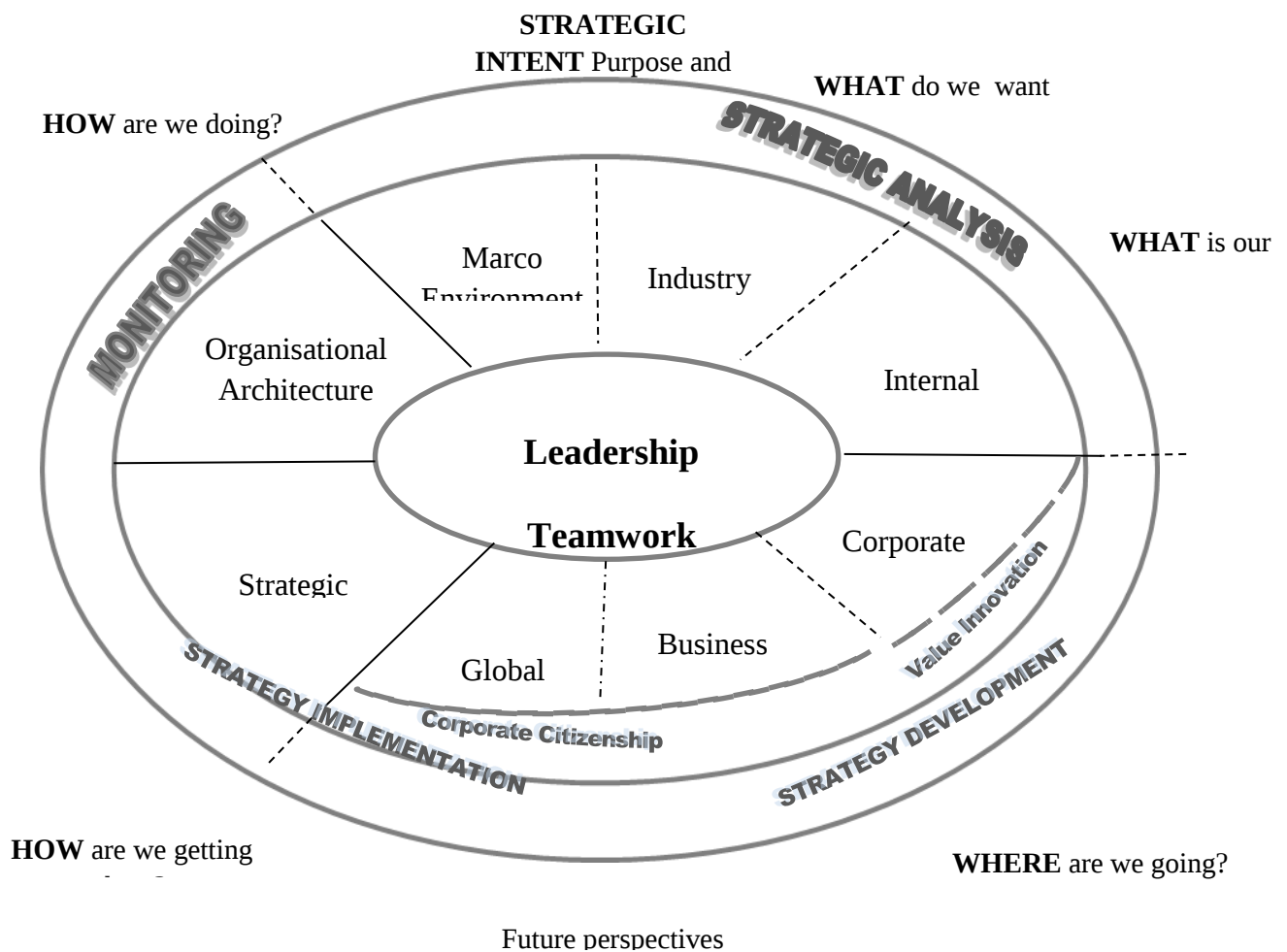


Figure 2.1: Strategic management process model

(Adapted from Louw & Venter, as cited in Ehlers & Lazenby, 2007)

The strategic management process is further explained by Coulter (2010) as the process that entails sequential and interrelated activities of situation analysis, strategy formulation, strategy implementation and strategy evaluation. Figure 2.2 depicts the strategic management process.

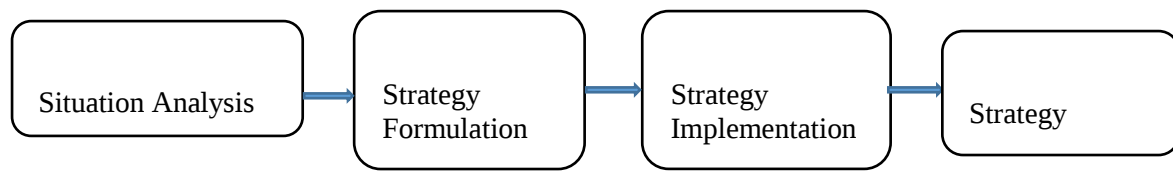


Figure 2.2: Strategic Management process
(Adopted from Coulter, 2010, p. 7)

2.4. Strategy analysis

A situation analysis involves scanning and evaluating the current organisational context, external environment, and organisational environment (Coulter, 2010, p. 7). Wheelen and Hunger (2003) describe strategic analysis as environmental scanning which involves the process of monitoring, evaluation and disseminating information from the external and internal environments to key people within an organisation with a view to identifying external and internal strategic factors that can have a profound influence on an organisation's operations (p. 214).

According to Thompson and Strickland (2003), strategic management involves the monitoring and evaluation of external opportunities and threats in light of the organisations strength and weaknesses (SWOT). Opportunities are positive environmental trends or changes that will help the organisation to improve its performance. Strengths are resources that the organisation possesses and capabilities that the organisation has developed, which can be exploited and developed to attain a sustainable competitive advantage. Weaknesses are resources and capabilities that are lacking or deficient, which prevent the organisation from developing a sustainable competitive advantage (Thompson & Strickland, 2003, p. 7).

Wheelen and Hunger (2003) maintain that environmental scanning is the monitoring, evaluation and dissemination of information from the external and internal environments to key people within the corporation. Its purpose is to identify strategic factors – those external and internal elements that will determine the future of the organisation. Environmental scanning is done through SWOT analysis. SWOT is an acronym used to identify strengths, weaknesses, opportunities and threats for a particular organisation (p. 215).

Coulter (2010) further postulates that situation analysis consists of external and internal environments. The external environment comprises opportunities and threats that are outside the organisation and are not within the short-run control of top management. This environment is composed of all the dimensions in the broader society that influence an industry and the organisation within it. For organisations to achieve strategic competitiveness, they must be aware of and understand all the dimensions of the external environment (p.7).

It is also important to understand that the elements of the external environment not only influence the environment and the decision-making of the managers of organisations, but also one another. This results in continuous changes in the environment in which organisations operate and compete. An organisation's external environment is divided into three major areas – macro, industry and market environments while the internal environment comprises strengths and weaknesses that are within the organisation (Coulter, 2010, p.7).

According to Ehlers and Lazenby (2007), an organisation and the environment in which it operates are not closed systems because they influence each other. The organisation thus cannot be successful if it is not in step with its environment. The fact that the organisation interacts with its environment means that it is acting as an open system and will both affect and be

affected by the environment. The external environmental analysis focuses on identifying and evaluating trends and events beyond the control of a single organisation, and also reveals key opportunities and threats confronting the organisation that could have a major influence on the firm's strategic actions (p. 103).

2.5. External environment

For an organisation to understand the present and predict the future, an integrated understanding of the external and internal environments is essential. An organisation's external environment is divided into three major areas – the macro, industry and market environments (Ehlers & Lazenby, 2007, p. 103), which are explained below.

2.5.1. Macro environment

According to Coulter (2010), the macro environment consists of the following environmental segments: political, governmental and legal forces, economic forces, social, cultural and demographic forces, technological forces, as well as ecological forces. On the other hand, Ehlers and Lazenby (2007) group the macro environment into five environmental segments, that is, political, economic, socio-cultural, technological and ecological. These factors are sometimes called the PESTLE (political, economic, social, technological and ecological) analysis. Ehlers and Lazenby (2007) further state that all factors relevant to the PESTLE analysis can also be applied to the analysis of the global environment. The above factors are depicted in Figure 2.3.

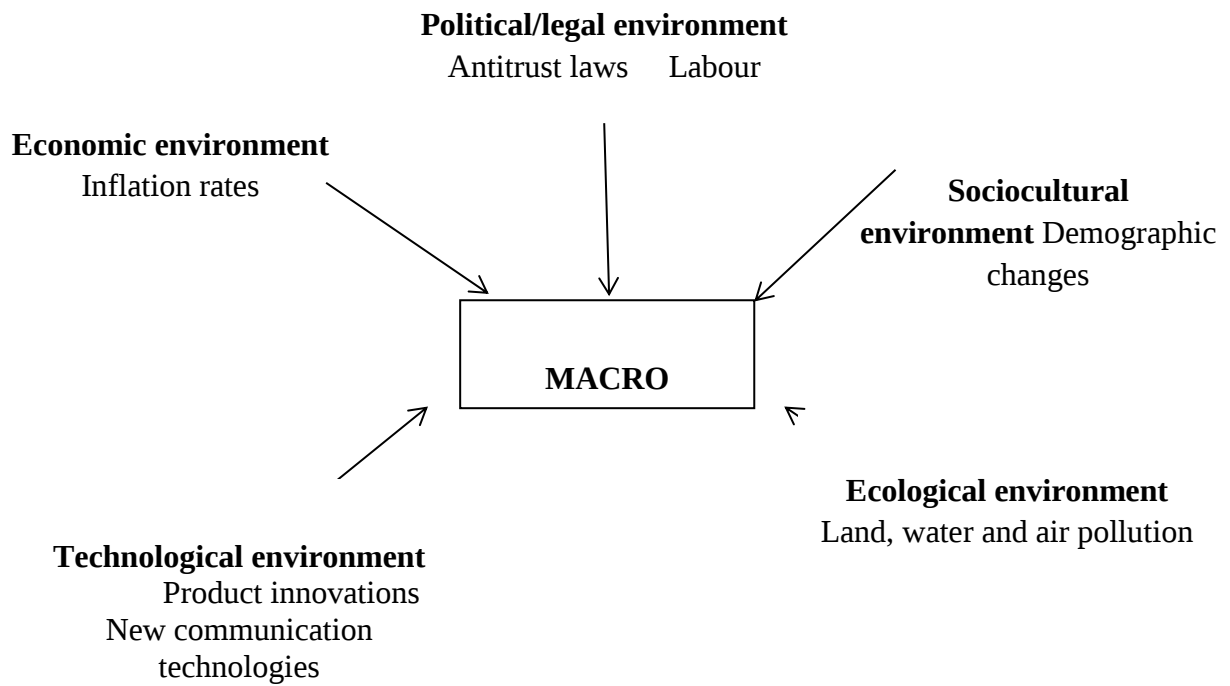


Figure 2.3: Some of the elements of the macro environment

Source: Adapted from Hitt, Ireland & Hoskisson (2003, p. 42) by Ehlers & Lazenby

2.5.1.1. Political environment

The political environment includes the parameters within which organisations and interest groups compete for attention, resources and a voice in overseeing the body of law and regulations that guide the interactions between the organisation and the environment. Political, governmental and legal factors can thus represent key opportunities or threats for both small and large organisations (Ehlers & Lazenby, 2007, p. 107).

2.5.1.2. Economic environment

Economic factors have a direct impact on the potential attractiveness of various strategies and consumption patterns in the economy and have significant and unequal effects on organisations in different industries and locations (Ehlers & Lazenby, 2007, p. 108).

2.5.1.3. Socio-cultural environment

The socio-cultural environment is concerned with a society's attitudes and cultural values. The opportunities and threats arising from changes in social, cultural and demographic variables challenge small, large, profit-making and not-for profit organisations in all industries (Ehlers & Lazenby, 2007, p. 109).

2.5.1.4. Technological environment

Technological changes affect many aspects of society. These effects occur primarily through new products, processes and materials and, to avoid obsolescence and promote innovation, an organisation must be aware of technological changes that might influence its industry (Ehlers & Lazenby, 2007, p. 109).

2.5.1.5. Ecological environment

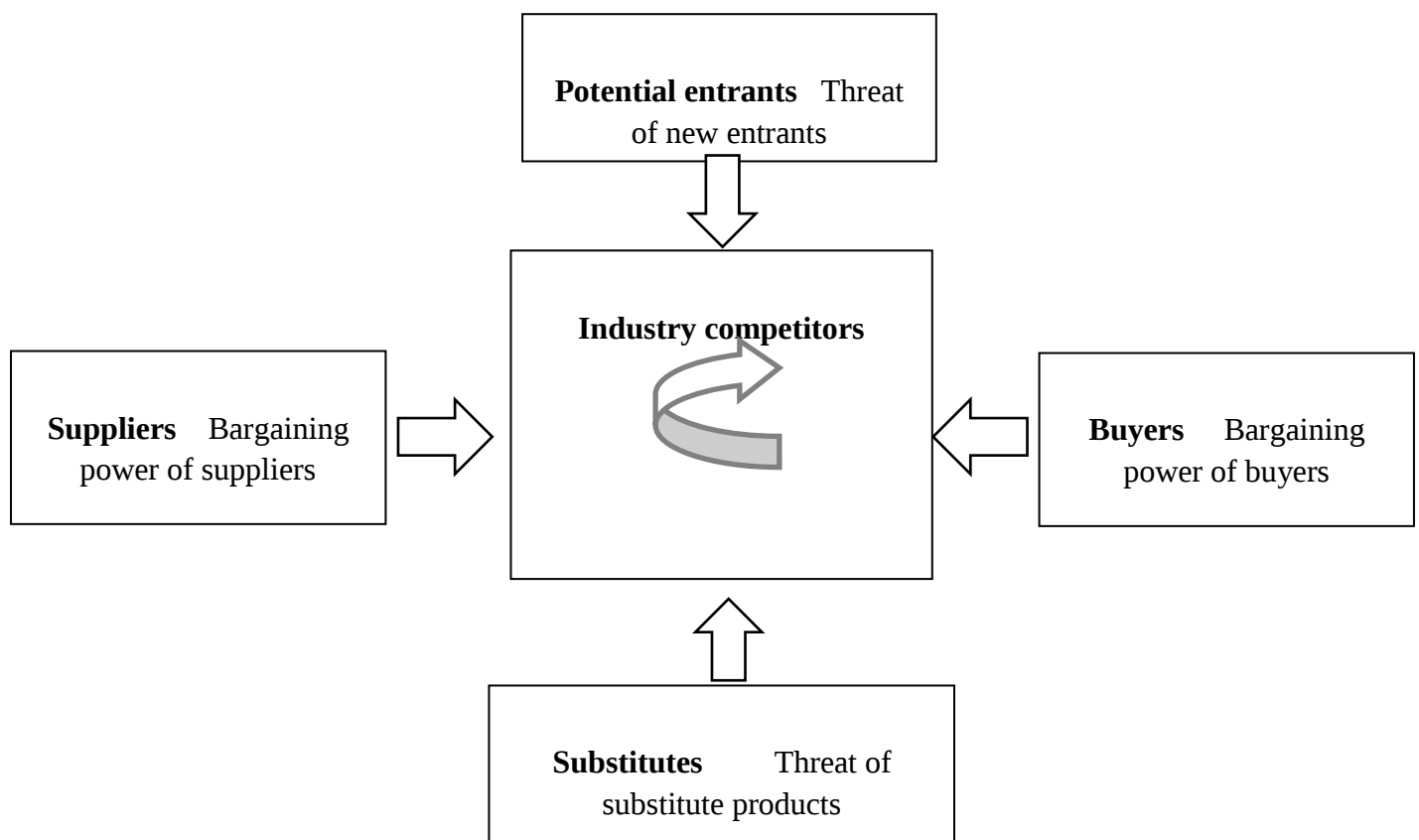
The ecological environment refers to the relationship between human beings – and thus organisations – and the air, soil and water in the physical environment (Ehlers & Lazenby, 2007, p. 110).

2.6. Industry environment

Wheelen and Hunger (2003) define an industry as a group of firms producing similar goods and services. Thorough examination of the important stakeholder groups such as suppliers, and customers, in a particular corporation's task environment is part of industry analysis. Ehlers and Lazenby (2007) maintain that a group of organisations that produce products that are close substitutes for one another, or which customers perceive to be substitutable for one another and which influence one another in competition, is known as an industry. Porter (1980), an

authority on competitive strategy, contends that a corporation is concerned mainly with the intensity of competition within the industry.

Porter's five forces of competition influence the intensity of industry competition and the industry's profit potential and consist of threats posed by new entrants, the bargaining power of suppliers, the bargaining power of buyers, product substitutes, and the intensity of rivalry among competitors. These five forces are illustrated in Figure 2.4 below.



The Five Forces model for industry analysis

Figure 2.4: The Five Forces model for industry analysis

Source: Adapted from Pearce & Robinson (2003, p. 70) by Ehlers and Lazenby

2.6.1. Threat of new entrants

It is important to identify new entrants, as they can threaten the market share of existing competitors by bringing additional production capacity to the industry. This force does refer to the possibilities that profits of established organisations in the industry may be reduced by the entrance of a new competitor organisation. Some of the barriers to entry are: economies of scale, product differentiation, capital requirements, switching costs, access to distribution channels, cost disadvantages and independent scale (Ehlers & Lazenby, 2007, p. 112).

2.6.2. Bargaining power of suppliers

Suppliers can exercise power over competing organisations by increasing their prices and /or reducing the quality of their products, thereby reducing the profitability of an organisation that is unable to recover the cost increase in its own prices. It is thus possible for suppliers to squeeze the profitability of organisations in an industry to such an extent that they will be unable to recover the cost of the raw material inputs. (Ehlers & Lazenby, 2007, p. 115).

2.6.3. Bargaining power of buyers

Buyers are customers of the organisation. There is always a conflict between the objectives of customers and those of organisations. Organisations want to maximum their sales and profits, while buyers want to buy products and services at the lowest possible prices. Buyers bargain for higher quality, lower prices and better services to reduce their costs. If buyers do have a high bargaining power, they can force the prices of products and services down (Ehlers & Lazenby, 2007, p. 115).

2.6.4. Threat of substitute products

If a product or service from another industry can be used to perform similar functions as a product or service in the industry, it is considered a substitute product or service. Substitute products are those products that appear to be different but can satisfy the same need as another product. Substitutes limit the potential returns of an industry by placing a ceiling on the prices that the industry can profitably charge (Ehlers & Lazenby, 2007, p. 116).

2.6.5. Rivalry among competing organisations

This is the strongest of all the forces. The organisations in a specific industry are direct competitors and take actions that will invite competitive responses. Corporations in most industries are mutually dependent. A competitive move by one firm may cause retaliation or counter efforts by the competitors (Ehlers & Lazenby, 2007, p. 117). Porter (1980) states that intense rivalry is related to the presence of several factors, which include the number of competitors, rate of industry growth, product or service characteristics, amount of fixed costs, capacity, height of existing barriers and diversity rivalry.

2.7. Strategic Planning

Strategy comes from the Greek word *strategos*, which means a general and the leader of the army. According to Byars (1991, as cited in Tsiakkiros & Pashiardis, 2002), today this word “is used to describe the steps taken by an organisation in achieving its objectives and missions”. In addition to this, Dobson and Starkey (1994, as cited in Tsiakkiros & Pashiardis, 2002), point out that the mission is the first step of the strategy process that defines the long-term vision of the organisation if an organisation does not have a vision, then there is no reason for existing.

According to Fidler (1996), strategic planning is the process of responding to future events and planning how to implement it.

In support of Fidler (1996), Wilkinson et al. (2007) state that strategic planning focuses on the awareness of the present and the future situation, it is anticipatory decision-making. The thrust of strategic planning is for the institution to be opportunistic and prepared to seize the moment as events present themselves. Therefore, without a clear understanding of an institution's core beliefs and values, decision-making has no underpinning and consistency (p.53).

Tsiakkios and Pashiardis (2002) state that one of the solutions successful organisation use to cope effectively with the challenges of the competitive world is strategic planning (p.8). According to Mintzberg (1994), formalised strategic planning grew out of budget exercises in the America of the 1950s and spread rapidly. By the mid-1960s and throughout the 70s, strategic planning (in many forms) was occurring in most large corporations. Strategic planning at that time was about notions such as strategic niche; competitive position; shareholder values; strength, weakness, opportunity and threat analyses; and core competencies (p. 151).

Historically, strategic planning's roots are in the arena of large-scale military operations. Most literature on strategic planning has concentrated on the military, national-international statesmanship, and the corporate world until the past 30 years or so (Mintzberg, 1994).

In academic institutions, strategic planning is about identifying some common directions for the department, division, school or college based on the needs of the external and internal stakeholders (Taylor & Miroiu, 2002). On the other hand, Bassa and Ranganathan (2013) state that in higher education, improving one's institution includes hiring better faculty staff,

recruiting stronger students, upgrading facilities, strengthening academic programmes and student services, and acquiring the resources needed to accomplish these things (p.14).

Most institutions of higher education share a similar mission and compete for these same objectives, and an essential part of strategic planning involves shaping the institution in ways that ensure mission attainment by capturing and maintaining a market niche in the quest for resources, faculty staff and students (Dooris, Kelley & Trainer, 2004, p.5).

Strategic planning requires strategic thinking, which involves taking a broad set of facts and information into consideration as an organisation strives to understand the present situation and circumstances. Strategic planning identifies future trends and formulates future possibilities. It decides on the organisation's core value proposition and develops or firm up the organisation's mission and vision. It determines the means that will be employed to attain the vision and accomplish the mission and identifies ways to mitigate or address challenges or obstacles likely to impede progress or sub-optimize overall success (Simerson, 2011, p.22).

One researcher emphasised that strategic planning creates a broad decision-making group by actively involving middle and operational levels of management. By pushing decision-making down, a system for strategic planning can help the organisation maintain a core purpose during times of changing leadership (Simmons & Pohl, 1994).

A strategic plan provides helpful information, communicates the aims, objectives, aspirations and philosophy of the university, and strengthens external links and/or breaks down barriers (Taylor & Miroiu, 2002).

Harvey, Leybourne and Newbold (1998) state that the strategic planning process is a series of three distinct steps, all of which must be accomplished to enhance the likelihood of plan success, that is, implementation, formulation, and evaluation and control. Additionally, Harvey

et al. (1998) state that a strategic plan begins with the formulation, that is, the development of a vision of the organisation with its objectives and goals. The implementation step involves the development of action plans, the creation of budgets for them, and the specification and execution of procedures to carry them out, while the evaluation and control step measures actual performance and corrects deviation from the plan if necessary (p. 121).

In universities, a strategic plan is a means to the creation of a corporate identity with a sense of common purpose bringing together all staff and students. By setting future direction and goals, it generates a sense of “stretch” and ambition within an institution (Taylor & Miroiu, 2002). Higher education and the institutions that represent it cannot maintain the status quo and expect to service, let alone prosper (Wilkinson et al., 2007, p.11). Regarding the importance of strategic planning in higher education institutions of the current era, Hayward et al. (2003) explain that strategic planning in higher education assumes greater importance today than it did a decade ago. The changing needs of higher education and society, the growth of information technology, the communications revolution, fluctuations in access to financial and human resources, and the rapid pace of change in other aspects of the environment in which higher education operates, give strategic planning an added urgency.

More than this, however, in the prevailing environment of fierce competition for outstanding staff, students and resources, strategic planning is about positioning, defining, or discovering the institution’s niche, and seeking to be best in what it does. Therefore, an understanding of future direction and environmental scanning, and the ability to anticipate events prior to their occurrence are important elements of strategic positioning for the success of higher education institutions in their ever changing internal and external environments (Ramsden, 1998; Levine, 2006; Gumpert, 2000).

Sallis (2002) argues that in a competitive market for education, the production of a strategic plan assumes considerable importance. Without it, the institution lacks direction. The real significance of a strategic plan is that it directs senior managers' attention away from day-to-day issues and forces the re-examination of the main purpose of the institution and its key relationship with its customers.

2.8. Strategic planning process

Johnson and Scholes (1993) developed a useful model which is used widely in the strategic planning process. It consists of three main elements of strategic analysis, strategic choice and strategy implementation presented in a triangular form. Each of these elements has three major domains with its own activities. These elements are interlinked and depicted in Figure 2.5.

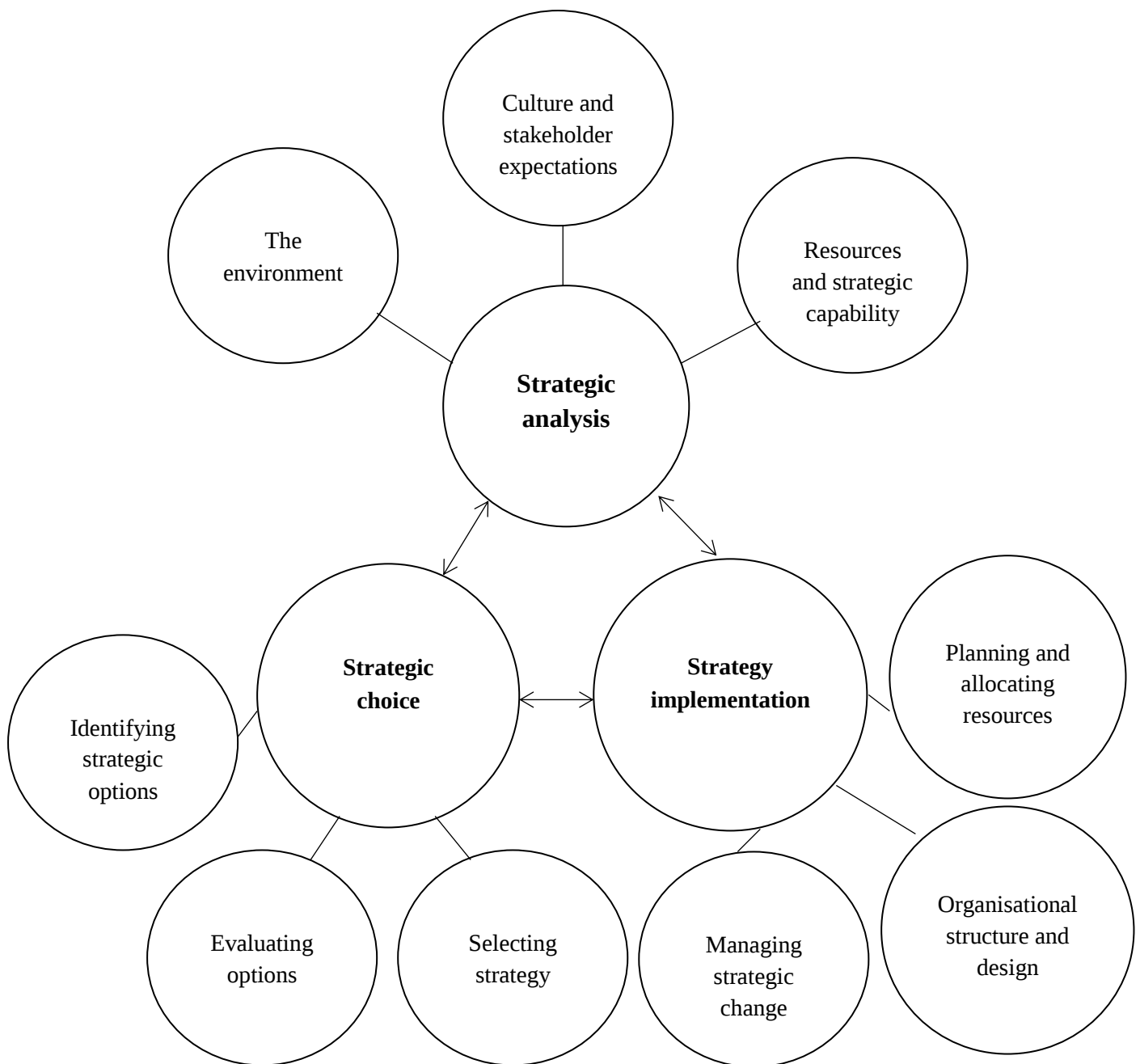


Figure 2.5: Johnson and Scholes model

Source: Johnson and Scholes (1993, p. 23)

2.9. Strategy analysis

According to Johnson and Scholes (1993), strategic analysis is the starting point where management takes a close look into the culture, stakeholders' expectations, resources, strategic capacity and the environment.

2.9.1. Strategic choice

Strategic choice is the second point where management makes strategic options, evaluation the options and selecting of the strategy (Johnson & Scholes, 1993). This is in line with assertions by Fidler (1996) that strategic choice involves “generating options and evaluating options, to make a choice” (p.167).

2.9.2. Strategy implementation

Johnson and Scholes (1993) further state strategy implementation as the third point in the planning process, which includes planning and allocation of resources, organisational structure and design and management of strategic change. The scholars alluded to various problems experienced during this stage, therefore, management needs to be aware and to plan how to handle them. Ehlers and Lazenby (2010) support the elements indicated by Johnson and Scholes (1993) by emphasising that drivers of implementation are organisational structure, organisational culture and resource allocation.

2.10. Benefits, challenges, coordination and communication during the planning process

2.10.1. Benefits of strategic planning

According to Bryson and Alston (2005) and Bryson (2004), strategic planning is intended to enhance an organisation’s ability to think, act and learn strategically, through dialogue and conversation among key players. It leads to improved decision making, enhanced efficiency as better results are achieved with less enhanced effectiveness of broader societal systems, and empowerment and commitment of people involved by enabling them to fulfil their roles and responsibilities. Furthermore, it leads to improved understanding, better learning and enhanced organisational capabilities as the organisation understands its situation far more clearly,

improved communication and public relations, and a heightened sense of teamwork and increased political support.

Additional benefits of strategic planning, according to Mintzberg (1994) and Ehlers (2007), include: high productivity and profitability, improved coordination of activities; better resources and time management, and it also enables the organisation to take the future into account, to be rational and to control. Paris (2003) agrees that a major benefit of strategic management in higher educational institutions is that it becomes stable despite constant changes of the leadership.

2.10.2. Challenges of strategic planning

According to Rowley and Sherman (2001), whether colleges and universities are in highly industrialised or developing nations of the world, the strategic planning process is fraught with challenges (p. 1). As suggested by Rowley et al. (1997), campuses often do strategic planning that is not really strategic planning. It is a short-term planning or problem-solving planning. In addition, many college and university campuses do it for the wrong reasons. They do it because it is fashionable or because they know how successful it has been in business settings. They do not understand that strategic planning in colleges and universities is necessarily different from the process that business uses (p. 2). However, it is widely understood that strategic planning is becoming more and more important for colleges and universities due to the rapid changes in the world economy, technology, transportation and communication (Rowley, Lujan & Dolence, 1998, p .2). On the other hand, Paris (2003) argues that organisations underestimate the time, money and effort that is required in strategic planning. Therefore, in higher education many authors agree that strategic planning is a costly and complex system and that

implementation is seldom successful (Simmons & Pohl, 1994; Paris, 2003; Taylor & Miroiu, 2002; Bassa & Ranganathan, 2013).

Rowley and Sherman (2001) further state that an additional challenge with strategic planning is the widespread inability of a college or university to implement its plan once that plans is in place. While there is a variety of reasons for this, the fact remains that many higher education institutions go through a time-consuming, and often expensive and disruptive, process in developing a strategic plan only to see it shelved and ignored as anything truly useful (p. 2). In addressing this issue, Rowley and Sherman (2001) suggest a variety of choices that strategic planners and campus leaders can choose from, such as using a reward system to foster and support change, faculty and staff development, and using the budget to fund strategic change etc.

2.10.3. Coordination and communication during strategic planning

According to Simerson (2011), effective communication and coordination are some of the keys to successful strategic planning. Coordination among different stakeholders is essential to receive valuable feedback on successful efforts and on areas that require improvement.

2.10.3.1. Strategy communication

Communication in strategic planning is crucial as it is the vehicle through which relevant information is transferred (Ivancevich, Szilagyi & Wallance, 1997). It provides information necessary for decision-making and motivating commitment to organisational objectives. Without knowledge between strategic plan, formulation and implementation, communication is broken because implementers will not know what specific action plans to carry out, and hence, strategic planning will fail to attain long-range objectives (Lederer & Mendelow 1987).

According to Peng and Litteljohn (2001), studies have paid scant attention to the role of organisational communication in the process of strategy implementation and often fail to fully address issues related to organisational communication in diverse, dynamic and complex contemporary organisations.

To implement strategies, communicating the strategies is of utmost importance. This is cemented by Miniace and Falter (1996), who used the R.A.C.E. (ready, aim, communicate, evaluate) communication system to communicate the strategies of managed care. Miniace and Falter (1996) believe that the system has proven to be a highly valuable approach in a wide variety of situations and, therefore, can serve as a tool for organisations, regardless of size or industry. They further state that the system helps to prepare before communicating within an organisation and requires top-down, bottom-up communication. Figure 2.6 describes the four steps in the system.

The R.A.C.E system

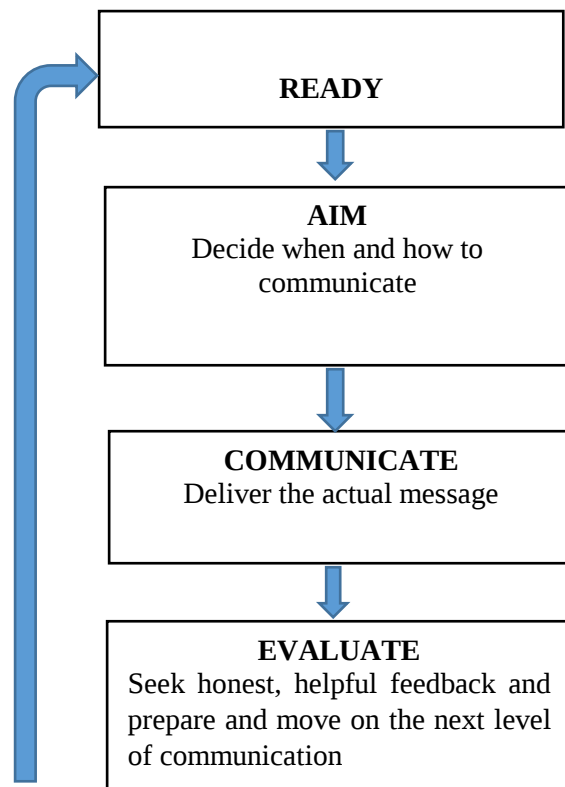


Figure 2.6: The R.A.C.E Communication system (Miniace & Falter, 1996)

In support of Miniace and Falter (1996), Raps (2005) states that managers mistake strategy implementation due to the top-down approach. To curb this, strategic management should shift emphasis by moving from 90:10 concern with strategy foundation relative to implementation to a minimum of 50:50 proportion (Grundy, 1998). To overcome and improve on these difficulties, Raps (2005) compiled 10 critical checklist points as listed and discussed in the following sections.

2.10.3.1.1. Commitment of top management

When implementing a strategy, the top management's commitment to the strategy direction is of utmost importance. Since it is undoubtedly a prerequisite for strategy implementation, top managers should demonstrate their willingness to provide energy and loyalty to the implementation process (Raps, 2005, p. 141).

2.10.3.1.2. Involve middle manager's valuable knowledge

Strategy implementation is not a top-down approach. The success of any implementation effort depends on the level of involvement of middle managers. To generate the required acceptance of the strategy implementation, the affected middle managers' knowledge must be taken into account in the formulation of the strategy (Raps, 2005, p. 141).

2.10.3.1.3. Communication is what implementation is all about

Even though studies point to communication as a key success factor in strategy implementation (Miniace & Falter, 1996), communicating with employees concerning issues related to the strategy implementation is frequently delayed until the changes have already crystallised. Therefore, a two-way communication programme is recommended that permits and solicits questions from employees about issues regarding the formulated strategy. In addition to soliciting questions and feedback, the communication should tell the employees about the new requirements, tasks and activities to be performed by affected employees, and, furthermore, cover the reason ("the why") behind the changed circumstances (Raps, 2005, p. 142).

2.10.3.1.4. Integrative point of view

Strategy implementation requires an integrative point of view. Not only the organisational structure, but cultural aspects and the human resources perspective are to be considered as well. An implementation effort is ideally a boundaryless set of activities and codes not concentrated on implications of only one component, e.g. the organisational structure (Raps, 2005, p. 142).

2.10.3.1.5. Clear assignment of responsibilities

One of the reasons why strategy implementation processes frequently result in difficult and complex problems – or even failure – is the vagueness of the assignment of responsibilities. In addition, these responsibilities are diffused through numerous organisational units. Therefore, a plan with clear assignments of responsibilities regarding detailed implementation activities should be developed to avoid power struggles between departments and within hierarchies (Raps, 2005, p. 142).

2.10.3.1.6. Preventive measures against change barriers

A great challenge within strategy implementation is to deal with potential barriers of the affected managers. Implementation efforts often fail when these barriers are underestimated, and prevention methods are not adopted at the beginning. One should be aware that barriers against the implementation of a strategy can lead to a complete breakdown of the formulated strategy (Raps, 2005, p. 143).

2.10.3.1.7. Emphasise teamwork activities

Teamwork plays an important role within the process of strategy implementation. Hence, it is indisputable that teams play an important part in promoting the implementation process (Raps, 2005, p. 143).

2.10.3.1.8. Respect the individuals' different characters

Human resources represent a valuable intangible asset. Study indicates that human resources are progressively becoming the key success factor within strategy implementation. In the past, one of the major reasons strategy implementation efforts failed was that the human factor was conspicuously absent from strategic planning (Lorrance, 1998).

2.10.3.1.9. Take advantage of supportive implementation instruments

To facilitate implementation, in general, implementation instruments should be applied to support the process adequately. Two implementation instruments are the balanced scorecard and supportive software solution. The balanced scorecard is a popular and prevalent management system that considers financial and non-financial measures. In the context of implementing strategies, the application of software solutions seems to be neglected. Recent experience has shown that IT support is gaining more and more importance. Information tools must be available and adequate to allow strategic decision makers to monitor progress towards strategic goals and objectives, track actual performance, pinpoint accountability, and most importantly provide early warning of any need to adjust or re-formulate the strategy (Raps, 2005, p. 145).

2.10.3.1.10. Calculate buffer time for unexpected incidents

One of the most critical points within the strategy implementation processes is the exceeding of time restrictions. This can be attributed to an underestimation on the part of many executives who do not have a clearly focused view on the complexities involved in implementing strategies and on the general process to deal with these multifaceted complexities (Raps, 2005, p. 145).

2.11. Roles of Stakeholders in Strategic Planning

According to Ehlers and Lazenby (2007), the most important assets in any organisation are usually the human resources. Therefore, they are the most important catalyst in taking the strategies of the firm and implementing them successfully, as they are the drivers of strategy implementation. Involving stakeholders in the step by step process of developing the institution's strategic plan can help the institution achieve broad support among diverse constituents (ibid).

Johnson (2011) defines stakeholders as those individuals or groups that depend on an organisation to fulfil their own goals and on whom the organisation depends to achieve its goals. According to Bryson (2004), "stakeholders are persons, groups or organisations that can lay a claim on an organisation/s attention, resources, or output and are affected by that output" (p.42). However, an organisation will only know what it should do to satisfy those stakeholders if it knows who they are, what criteria they use to judge the organisation and how the organisation is performing against those criteria (Bryson, 2004).

Johnson (2011) found that taking stakeholders expectations and influence into account is an important aspect of strategy choice, hence stakeholder mapping needs to be done. This helps

an organisation to gain an understanding of stakeholder power as well as know who the key players are, who needs to be kept informed about what is happening in the organisation, who needs to be kept satisfied and who should be given minimal effort. Stakeholder mapping can also help an organisation to understand which stakeholders need to be considered, actual levels of interest and power, and whether repositioning of certain stakeholders is desirable or feasible.

2.12. Monitoring and Evaluation

Strategy monitoring and evaluation systems are important components of the strategic management process, as they assist in monitoring changes in the uncertain environment characterised by rapid change. According to Wheelen & Hunger (2012), strategy evaluation and control ensures that an organisation achieves what it set out to accomplish. A strategy evaluation and control system monitors how the organisation is performing in relation to its strategic plan and this ensures that an organisation stays on track in its strategy implementation efforts. It compares performance with desired results and provides feedback necessary for management to evaluate results and take corrective action, as needed. Thompson and Strickland (2003) note that strategy control essentially entails monitoring performance, keeping an eye on emerging developments and correcting unfavourable deviations from planned results (p. 7).

Wheelen and Hunger (2012) claim that an evaluation and control process must be put in place during strategy implementation to ensure that the set strategic objectives are achieved. According to Dess, Lumpkin and Taylor (2004), for a strategy to be successfully executed, there should be strategic control in place that is tailored to the strategy being pursued. Strategic control is, in essence, the phase of the strategic management process that concentrates on evaluating the chosen strategy to verify whether the results produced by the strategy are those

intended (p. 267). The application of the control process to strategic management is depicted in Figure 2.7.

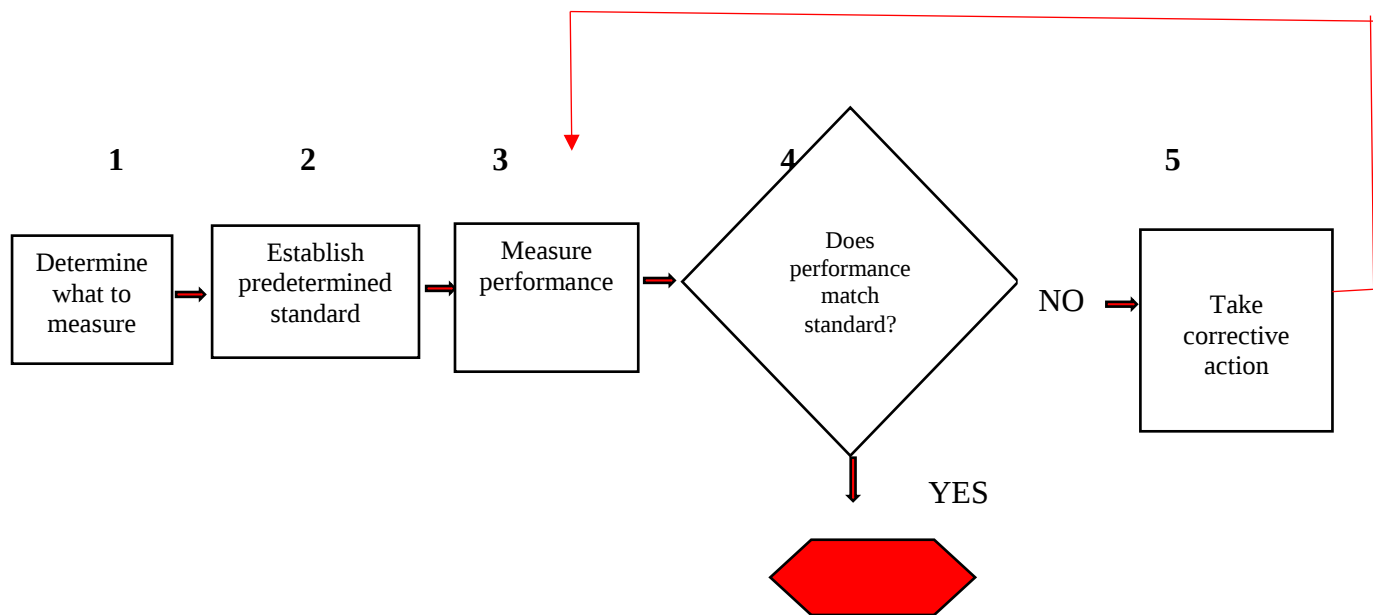


Figure 2.7: Evaluation and Control Process

Elkins (2011) states that monitoring and evaluation (M & E) supports evidence-based decision-making through rigorous approaches to collecting and using quality data on programme performance, result and impact. On the other hand, the World Bank (2012) agrees with findings that monitoring and evaluation systems support development by generating relevant, accurate, and timely information and promote decision-making. Monitoring and evaluation are important tools to track progress and facilitate decision-making (World Bank, 2007).

2.13. Strategy implementation

Stahl and Grigsby (1997) define strategy implementation as those activities and decisions that are made to install new strategies or support existing strategies. Recent studies have revealed that although strategy implementation is an integral part of the strategic management process,

it has taken a back seat to strategy formulation (Bigler, 2001). Subsequently, it has been observed of late that most organisations are able to formulate comprehensive corporate strategic plans but encounter serious challenges during the implementation stage. Highlighting the importance of strategy implementation, (Carrols, 2000) indicates that organisational success depends not only on designing strategies that are appropriate for external and internal environments but also on implementing those strategies successfully. Several failed attempts to change the strategic direction of an organisation has resulted in poor strategy implementation practices. The implementation of a strategic plan is arguably the most important stage in the process of strategic planning for one reason, that is, without successful implementation, an organisation's strategy is really nothing more than a fantasy (Hambrick & Cannella, 1989). Thus, strategy implementation and monitoring should not be a separate part of the process at all. Rather, it should be considered explicitly in the formulation stage so that any resulting strategy is, in fact, implementable (Harrison & John, 1998). This is supported by Thompson and Strickland (2003), who define strategy implementation as the least charted, but most open-ended part of strategic management. According to Wheelen and Hunger (2003), strategy implementation involves putting in place platforms, through the development of programmes, budgets and procedures under which the strategies should operate. Lynch (1997) defines strategy implementation as the process by which the organisation's chosen strategies are put into action and entails converting the organisation's strategic plan into results. Strategy implementation, according to Katsioloudes (2005), should not be treated as a separate part of the process. It should be explicitly considered in the formulation stage so that any resulting strategy is implementable. Grant (2005) suggest that without implementation, the best laid strategies are of little use.

Bartlett and Ghoshal (1987) further state that in all the companies they studied “the issue was not poor understanding of environmental forces or inappropriate strategic intent, the difficulty lay in how to achieve the necessary changes” (p. 12). This was supported by Miller (2002), who found that organisations fail to implement more than 70% of their new strategic initiatives. Regarding this, Alexander (1989) points out that one key reason why implementation fails is that practising executives, management and supervisors do not have practical, yet theoretically sound models to guide their actions during implementation. Without adequate models, they try to implement strategies without a good understanding of multiple factors that must be addressed, often simultaneously to make the implementation work.

With the principle of strategy implementation, despite the type and level of strategies, managers are always “faced with the straightforward task of simply getting things done” (Hrebiniak, 2008, p. 57). Strategy implementation is, therefore, concerned with putting strategy into practice and can be described as the execution of tactics so that the company moves in the desired strategic direction (Giles, 1991). Similarly, strategy implementation can also be defined as the “relatively straightforward operationalization of a clearly articulated strategic plan” (Noble, 1999, p.35) or “the sum total of the activities and choices required for the execution of a strategic plan” (Wheelen & Hunger, 2006, p. 214).

Generally, literature argues that strategy implementation is a difficult task in practice. The challenges in strategy implementation include unfeasibility of the strategy, weak management role, lack of communication to the strategy, unawareness or misunderstanding of the strategy, unaligned organisational systems and resources, poor coordination and sharing of responsibilities, inadequate capabilities, unexpected obstacles, corrupting activities, delayed schedule, uncontrollable environmental factors and negligence of daily business (Alexander, 1991, Giles, 1991, Galpin, 1998, Lares-Mankki, 1994, Beer & Eisenstat, 2000).

2.13.1. Challenges in implementing strategies

It has been argued that strategy implementation is more difficult than strategy formulation and top management is required to keep in mind three levels of the strategic planning process, namely context of the organisation, content of the strategy and procedure of implementation (Lau & Lee, 1999). Studies done elsewhere have shown that some universities have not been able to effectively and efficiently implemented their strategic plans due to several factors (Deograti, 2009). This is substantiated by Magaisa, Matipira and Kanhai (2004), who indicated that the variables impacting strategy implementation in large organisations and small and medium enterprises are basically the same which are:

- Leadership and communication;
- Role of leadership in strategy implementation;
- Top management commitment to strategic values;
- Allocation of sufficient resources; and
- Strategic leadership.

A study of Tumaini University in Tanzania revealed factors that influence the successful implementation of strategic plans included, among others, stringent budget allocation for the implementation process. The study further indicates that coordinated efforts by the faculties and departments, management success to sensitise its employees about strategic planning, satisfactory commitment by top management, good participation by the all stakeholders affected by plans, and ability to identify relevant opportunities in the environment contribute to successful implementation of strategic plans (Deograti, 2009).

On the other hand, Jooste and Fourie (2009) looked at the strategic plan implementation in the context of African culture and also evaluated the factors and reasons of failure of such strategic

planning in African countries. They argue that there are many organisations that have vigorous strategies but lack implementation success due to lack of commitment by the policy makers and lack of strategic leadership, resulting in strategies failing to generate fruitful results.

Mapetere et al. (2012) found that the reasons that caused the failure of the strategic plan, despite the best strategies, in Zimbabwe was negative leadership behaviour, which shows that the strategy executive people were not liable as they were less committed to strategy.

Aaltonen and Ikävalko (2002) also report that the three main factors that lead to the success of strategy implementation are proper and significant communication among the executive and top management, strategy acting, identifying, supporting and assisting the major players. Aaltonen and Ikävalko (2002) further state that researchers have revealed several problems in strategy implementation such as weak management roles in implementation, a lack of communication, lacking a commitment to the strategy, unawareness or misunderstanding of the strategy, unaligned organisational systems and resources, poor coordination and sharing of responsibilities, inadequate capabilities, completing activities and uncontrollable environmental factors.

According to Calhoun and Lederer (1990), key to implementation of the strategic plans is the communication of the strategic plans to executives in functional areas. Bonoma (1984) stresses the importance of the implementation step in strategic planning because successful implementation can sometimes save a poor plan.

According to Ehlers and Lazenby (2010), strategy implementation can be defined as the process that turns strategic plans into a series of action tasks and ensures that these tasks are executed in such a way that the objectives of the strategic plan are achieved. In other words, strategy implementation is the communication, interpretation, adoption and enactment of the

strategic plans. Ehlers and Lazenby (2010) further states that strategy implementation is an essential component of the strategic management process as it deals with the strategic change required within an organisation to make the new strategy work and to achieve the desired results. It is often considered the most difficult part of the strategic management process. Research has indicated that it is much easier to formulate a strategic plan than to implement it, and that it is at the implementation stage that strategy often fails. Research has also indicated that the real value of strategy can only be recognised through implementation and the ability to implement strategy is considerably more important than the quality of the strategy (Ehlers & Lazenby, 2010). In support of the foregoing, Aaltonen and Ikävalko (2002) state that strategy implementation has attracted much less attention in strategic and organisational research than strategy formulation or strategic planning. Alexander (1991) suggests several reasons for this namely:

- Strategy implementation is less glamorous than strategy formulation;
- People overlook it because of the belief that anyone can do it;
- People are not exactly sure what it includes and where it begins and ends. Furthermore, there are only a limited number of conceptual models of strategy implementation.

According to Nghihangwa, (2007), the strategic planning process was found to be similar to most acceptable planning procedures and lacked a proper implementation framework. This study sheds light on factors, such as unaligned organisation systems and resources, poor coordination, lack of strategic leadership etc. which other researchers have identified to verify their relevance to UNAM in the context of implementation of strategic planning. In addition, this study reviews relevant literature to identify appropriate theories on implementation of strategic planning based on the BSCF, which was used to underpin the current study.

Ehlers and Lazenby (2010) state that to successfully implement a strategy, organisations use various strategy implementation drives, namely leadership, organisational culture, reward system, organisational structure and resource allocation. These implementation drives are briefly described below.

2.13.2. Strategic leadership

Strategic leadership is the ability to anticipate, envision, maintain flexibility and empower others to create strategic change as necessary and to articulate a strategic vision for the organisation and to motivate others to buy into it (Hitt, Ireland & Hoskisson, 2003, p. 386). According to Thompson (1997), without strong leadership an organisation is unlikely to successfully implement a corporate strategy (p. 99). Highlighting the importance of strong leadership, Orit, Stand and Paul (2003) argue that even the best formulated corporate strategies cannot succeed without ability and that means a strong management team (p. 42).

Orit et al. (2003) further observe that in nearly all organisation that have successfully implemented corporate strategies, particularly turn around strategies, the organisation concerned replaces senior management who cannot perform up to the organisation's standards or who fail to commit to the organisation's new strategic direction (Magaisa et al., 2014, p. 003).

Galpin (1998) states what makes the difference between successful and unsuccessful strategy deployment is the way management motivates and educates its people to act on a business strategy (p.39). In support of the former, Kaplan and Norton (2001) state that successful change management must be mobilised through executive leadership. These authors are of the view that without energetic strategic leaders of the process, change management and successful strategy implementation will not be realised. The responsibility of strategy formulation and

strategy implementation lies with the top management team (Magaisa et al., 2004, p. 003). According to Quirke (1996), if top management is not clearly united behind its mission and policies it sets, its behaviour will always act powerfully and silently to undermine the mission.

Sterling (2003) states that some corporate strategy implementation efforts fail due to insufficient buy-in or understanding of the strategy (p. 30). . Basing on interviews with several chief executive officers, Giles (1991) adds that strategy implementation is bound to fail if there is no ownership of the strategy (p.78) and persuasively argues that it is critical to involve people in the creation of the strategy, if they are to understand it.

According to Reeves (2002), strategic leadership is the simultaneous acts of executing, evaluation, and reformulating strategies, and focusing organisational energy and resources on the most effective strategies. Although strategy implementation is key to better organisational performance, it is more important than formulation. Strategic leadership and organisational architecture are key drivers of successful strategy implementation (Jooste & Fourie, 2009).

Waterman, Peters and Philips, , (1980) argue that effective strategy implementation is essentially attending to the relationship between the strategy, structure, systems, style, staff, skills and subordinate goals.

2.13.3. Organisational culture

Organisational culture guides the action of the organisational members and acts as the glue that binds them together. In order to execute strategies successfully, top management must establish a tight fit between the chosen strategy and culture (Ehlers & Lazenby 2010). In support of the foregoing, Wederspahn (2002) culture entails the following:

- Culture encompasses an identifiable group of people who share common values, beliefs, customs and a distinctive way of life;

- Culture explains why these people tend to think, feel, communicate and act the way they do;
- Culture learned, mostly informally, within the social environment;
- Culture also includes the unique artefacts, language, art, music, drama, literature, folklore, cuisine, architecture and other products of a people;
- Culture is an integrated whole, coherent and internally logical. It creates a unified worldview and mindset;
- Culture is not static but changes slowly due to the influence of other cultures and internal developments and innovations

On the other hand, Rowley and Sherman (2001) allude to organisational culture as the general pattern of acceptable behaviour that governs how people behave within the organisation. It is central to understanding how and why people act as they do. Thompson and Strickland (2003) maintain that every institution has a unique organisational culture. Each organisation has its own business philosophy and principles, its own ways of approaching problems and decision-making processes, its own work climate, its own work embedded patterns of “how we do things around here”, its own beliefs, myths and stories told over and over to illustrate the organisational values and what they mean to stakeholders. On the other hand, Wheelen and Hunger (2003) describe organisational culture as a vital element in strategy implementation since it affects the way employees do things in the organisation.

Charan (2006) emphasises the importance of culture by stating that the greatest cause of corporate underperformance is the failure to execute and the inability to take decisive action that is rooted in a company’s culture. A weak organisational culture affects effective strategy implementation in the organisation since the employees would be lacking strategy coherence

and direction. There will be a missing link between management and the employees which would hinder the smooth flow of the strategy (Magaisa et al., 2004, p. 003).

2.13.4. Reward system

According to Ehlers and Lazenby (2010), a reward system should be linked to the strategy, encourage a change in behaviour to support strategy implementation and reward managers for performance over the long term.

In support of the aforementioned, Rowley and Sherman (2001) states:

“The use of rewards to gain the desired behavior that results in the implementation of a strategic plan can be either a very good strategy or can be a very poor one. Certainly, one of the positive sides is that people will generally support change that benefits them, so if campus constituents perceive that the strategic plan will benefit them they are likely to support it. On the other hand, if people fear that they will be hurt (negative rewards) or punished (such as the use of force we described earlier), they are likely not to support the plan” (p. 8).

2.13.5. Organisational structure

Ehlers and Lazenby (2010) state that “The organisation structure aids in identifying the task necessary for strategy implementation groups them together and ensures coordination of these tasks across the organisation so that the strategic goal of the organisation can be achieved” (p.10). On the other hand, the classic arguments by Chandler (1962) is that to achieve the objectives of the organisation, the structure must be consistent with strategy. Chandler (1962) summarises that changes in strategy should entail changes to the organisational structure. Structure and strategy should be related if corporate strategy is to be implemented successfully. Stahl and Grigsby (1997) argue that the single most important requirement for organisational

design concerns the degree of responsiveness of the structure to customers' requirements. If the structure is not coherent to the strategy, then strategy implementation is bound to fail resulting in failure to meet customers' needs.

2.13.6. Resource allocation

Ehlers and Lazenby (2010) maintain that to achieve successful strategy implementation, it is essential that resources are allocated in such a way that they support the organisation's long-term goals, chosen strategy, structure and short-term objectives. In support of the foregoing, Sterling (2003) suggests that a financial evaluation be undertaken to ensure that sufficient resources will be available during implementation.

According to Thompson and Strickland (2003), inadequate funding may lead organisations to realise limited success to outright failure in strategy implementation. Lynch (1997) also positively states that resources should be channelled away from those areas that are poor at delivering the organisation's objectives towards those areas that are good.

2.14. Summary

This chapter integrated both the literature and theoretical views on the strategic management and planning process in organisations. The discussions covered various domains of strategic management and implementation in universities. It highlighted different studies that have been conducted at universities in Africa and the factors of successful implementation of strategic plans, as well as the reasons for failure of such strategic plans in African countries. It further highlighted the challenges resulting in failure of strategic plan implementation in large organisations as well as in universities which were identified as lack of commitment, lack of strategic leadership and poor coordination and sharing of responsibility.

CHAPTER 3: RESEARCH METHODOLOGY

3.1. Introduction

Birks and Mills (2011, p. 4) argue that it is important to understand the difference between research methodology and research method as these are sometimes confused. Research methodology refers to a set of principles and ideas that inform the design of a research study (Birks & Mills, 2011,). It is about the decisions that a researcher makes regarding cases to study, research methods to use, data gathering and data analysis techniques to adopt when planning and executing a research study (Silverman, 2010). Mathipha, Gumbo and Ngulube (2014) assert that research methodology encompasses research methods, data collection and data analysis techniques that can be used to conduct a research study (p. 41). Research methodology focuses on the research process and the kind of tools and procedures to be used (Babbie & Mouton 2001).

The chapter describes the research methodology that was used in this study to explore and achieve the research objectives. The section, specifically, covers and reflects on issues regarding the research design, population, sample, research instruments, procedures, data analysis used as well as the ethical issues considered for this study.

3.2. Rationale of the Methodology

Due to the aim of the study, which was to assess the implementation of the fourth strategic plan (2011-2015) of UNAM, the philosophical worldview used in this study was the pragmatic worldview, which underpins mixed method research. Pragmatism is a position that argues that the most important determinant of the adopted research philosophy is the research question, arguing that it is possible to work within both positivist and interpretivist position (Creswell, 2009). It applies a practical approach, integrating different perspectives to help collect and

interpret data. It is unrealistic in practice to choose between positivism and interpretivism because both positions have limitations (Guba & Lincoln, 1994; Ngulube, 2010).

This study adapted a mixed methods research design to enjoy the benefits of both quantitative and qualitative approaches. The mixed methods research is an approach to inquiry involving collecting both quantitative and qualitative data, integrating the two forms of data, and using distinct designs that may involve philosophical assumptions and theoretical frameworks (Creswell, 2014). Leedy and Ormrod (2014) argue that mixed methods research involves not only collecting, analysing, and interpreting both qualitative and quantitative data but also integrating conclusions from those data into a cohesive whole.

Denscombe (2007) states that quantitative research aims to measure phenomena so that they can be transformed into numbers. Once the phenomena have been quantified, they lend themselves to analysis through statistical procedures that are utterly dependent on receiving numerical data as their input. This method mainly uses the questionnaire as data collection technique and uses graphs or statistics to analyse the data (Saunders, Lewis & Thornhill, 2009, p. 151). Denscombe (2007) further states that qualitative research relies on transforming information from observations, reports and recordings into data in the form of the written word, not numbers. This method mostly uses the interview as a data collection technique (Saunders et al., 2009). Creswell (2002), on the other hand, states that quantitative research is the process of collecting, analysing, interpreting and writing the results of a study, while qualitative research is the approach of data collection, analysis, and report writing differing from the traditional quantitative approaches.

This study used the convergent parallel model. The convergent parallel mixed method is a form of mixed methods research design in which the researcher converges or merges quantitative

and qualitative data in order to provide a comprehensive analysis of the research problem (Creswell, 2017). In this design, the investigator typically collects both forms of data roughly at the same time and then integrates the information in the interpretation of the overall results. Contradictions or incongruent findings are explained or further probed in this design (Creswell, 2017). The convergent parallel mixed methods research design allowed the researcher to collect both qualitative and quantitative data, analyse them separately and then compare the results to see if the findings corroborate or not.

The researcher used an interpretive research strategy to gather data, which was used in this descriptive qualitative approach. Qualitative research is an interpretive technique that seeks to describe, decode, translate and otherwise come to terms with the meaning, not the frequency, of certain phenomena (Blumberg, Cooper & Schindler, 2011). On the other hand, quantitative method employs deductive approach to research, starting with a theory and testing theoretical postulates using empirical data (Bhattacharjee, 2012).

The mixed methods approach was used because it emphasises on the research objectives to be achieved. The goal of the researcher in using the mixed methods approach was to draw from the strength and minimise the weaknesses of the qualitative and quantitative research approaches (Johnson & Onwuegbuzie, 2004). The researcher used the mixed methods design also to ensure that there was sufficient data collected that would consequently increase the validity of the research outcomes (Johnson & Onwuegbuzie, 2004).

3.3. Data collection method

The study used two data collection strategies, which, according to Jack and Raturi (2006), were used under the assumption that weaknesses inherent in one approach would be counterbalanced

via strength in another. This study used both questionnaires and semi-structured interviews in collecting data and used both quantitative and qualitative methodologies to analyse the data.

Appointments with targeted interview respondents were made in advance before the venue and time for the interview session was agreed upon. A voice recorder was used to capture information provided by interviewees only where permission was certain, notes were taken down into a notebook and later analysed. A checklist was used to ensure that all questionnaires handed out were collected. However, not all questionnaires handed out were returned even after several reminders were sent.

3.4. Research Design

Research design is the procedure for collecting, analysing, interpreting and reporting data in research studies (Creswell & Clark, 2007). Decisions on research design are based on the research purpose, and on what best matches the research problem (Saunders et al., 2009).

This study applied the case study method with a view to make generalisations. Gerring (2007) state that a case study is an attempt to understand and interpret a spatially and temporally bounded set of events. A case study uses different data collection methods, which include interview, observation and document analysis. Therefore, case studies can be used on their own or as part of a combined approach to data collection (Gerring, 2007). According to Yin (1984), the 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 (p. 23). UNAM has different campuses in Namibia, but the researcher only focused on the main campus, which is based in Windhoek, because it is where strategic planning is coordinated.

3.5. Population

According to Durrheim and Painter (2006), a population is the “larger pool from which sampling elements are drawn, and to which one wants to generalise findings”. Blanche et al. (2006) conclude that the population selected should be those to whom the research objectives apply. For the purpose of this study, the population was UNAM, which has a staff complement of 689 members 300 of whom are administrative and 386 are academic staff based at the main campus. The researcher would have liked to study the whole population. However, researchers cannot study the entire population because of feasibility and cost constraints, hence select a representative sample from the population of interest for observation and analysis. Therefore, the sample frame for this study was drawn from the population. The research respondents in the study were both administrative and academic staff based at UNAM’s main campus.

3.6. Sample

According to Leedy and Ormrod (2010), there are two main types of sampling methods that include probability sampling and non-probability sampling. Bhattacharjee (2012) states that probability sampling is a technique in which every unit in the population has a chance (non-zero probability) of being selected in the sample, and this chance can be accurately determined and includes simple random sampling, systematic sampling, stratified sampling, cluster sampling, matched-pairs sampling, and multi-stage sampling. Bhattacharjee (2012) further states that non-probability sampling is a sampling technique in which some units of the population have zero chance of selection or where the probability of selection cannot be accurately determined and includes convenience sampling, quota sampling, expert sampling and snowball sampling techniques.

Since the population being studied was large, heterogeneous and consisted of two groups (administrative and academic staff), this study used a simple random sampling technique based on the principle of dividing a population into different groups, called strata, so that each element of the population belongs to one and only one stratum (Bless, Higson-Smith & Kagee 2006).

The researcher further applied computer MEDLAB computer software to the sampling technique to select a sample size of 239 respondents, which comprised of a randomly selected sample size of 108 administrative and 139 academic staff. From the 108 administrative staff, three members of UNAM management were drawn. The purposive or judgemental sampling technique was used by the researcher to select key informants due to the nature of the research topic, which required a limited number of people that have expertise or knowledge on strategic plans as well as specific individuals with distinct knowledge and expertise on the subject matter.

3.7. Research Instruments

A research instrument is a specific mechanism or strategy the researcher uses to collect, manipulate, or interpret data (Leedy & Ormrod, 2014).

A questionnaire with closed-ended and open-ended questions was administered to respondents in non-managerial positions (academic and administrative) concerning strategy implementation at UNAM. The structured and open-ended one-on-one interviews were administered on the respondents in managerial positions as well as the Director: Strategic and Physical Planner to allow the researcher to ask more detailed questions. During qualitative data collection using structured and open-ended one-on-one interviews, the researcher was directed by an interview schedule that contained all the questions to be posed to respondents in a

predetermined sequence, while for quantitative data collection a survey was given to the respondents and collected afterwards.

3.8. Reliability and Validity

In order to establish the efficiency of the research instrument, the researcher conducted a pilot study prior to administering the survey to identify areas that required adjustment in order to improve the questionnaire. The questionnaire was piloted on a group of respondents who did not take part in this study. Through the piloting, the researcher was able to determine that the research instruments were feasible, applicable, reliable, valid, accurate, authentic, and objective, to produce accurate outcomes during the data collection process.

3.9. Procedures

Appointments were made with the respondents for qualitative structured and open-ended one-on-one interviews and the respondents were interviewed during the agreed upon date and time. During the quantitative data collection, the researcher delivered the closed-ended and open-ended questionnaires in person to the respondents to collect information for the purpose of describing and understanding the strategic implementation process of the UNAM strategic plan. The closed-ended and open-ended questionnaires were collected after completion.

Prior to the qualitative interview, the researcher informed the respondents about the topic of discussion and also the ethical and confidentiality issues considered. The researcher asked the respondents a series of questions, which they were required to respond to, if comfortable with the posed question. In addition, the entire process during the interview sessions was directed by the researcher and all responses were recorded using a voice recording device. Consent to

have the interview recorded was obtained from the research respondents before the interview could officially commence.

3.10. Data Analysis

The data collected from questionnaires and interviews using both quantitative and qualitative methods were transcribed and coded in a comprehensive manner that made respondents' responses clear and sensible through thematic analysis. The researcher used Google Forms, which is a web-based app or online survey tool, to create forms for data collection purposes. The researcher handed out hard copies of the questionnaires which were completed by the respondents. These questionnaires were captured by the researcher using the online survey tool, which automatically stored the data in a Microsoft Excel Spreadsheet.

The researcher applied the descriptive statistical tools to analysed quantitative data obtained from questionnaires by using a computer software, the Excel Spreadsheet to produce the graphs. Qualitative data from interviews were transcribed through thematic analysis where the researcher identified the themes and sub-themes emerging from the data to substantiate the findings from the quantitative data. The researcher applied the conceptual framework of the thematic analysis of interviews which was mainly built upon the theoretical positions of Braun and Clarke (2006). According to Braun and Clarke (2006), thematic analysis is a method used for identifying, analysing, and reporting patterns (themes) within the data (p. 79).

3.11. Research Ethics

Ethics in research refers to “questions about how we formulate and clarify our research topics, design our research and gain access, collect data, process and store our data, analyse data and write up our research findings in a moral and responsive way” (Saunders et al., 2009). The

researcher was impartial while conducting the study and efforts were made to avoid bias (Blanche & Durrheim, 2014). The respondents signed a consent form as a way of providing the assurance. In addition, permission to undertake the research was obtained from the UNAM Centre for Post-graduate Studies and the University Research and Ethics Committee.

The study addressed ethical issues by ensuring that the data collection techniques employed would not cause any physical or emotional harm to the respondents. Informed consent was solicited from the research respondents before the completion of questionnaires. Respondents were free to withdraw from the interviews at any time if they wished and were informed accordingly before the commencement of interview. During the interview session, the researcher was cautious to maintain high ethical standards, including confidentiality and respect for the respondents. Information obtained from the respondents through the questionnaires and the use of electronic audio device was kept under lock and key and would be destroyed after five years by shredding the documents used during the data collection and deleting recordings during the interview process in line with the best practices (University of Virginia, 2015).

3.12. Chapter Summary

This chapter presented how the research was carried out at UNAM where the respondents were based. The study population was 239 respondents who were purposively targeted through probability sampling using the stratified sampling technique. The study adopted the case study approach and mixed method of gathering data because the use of one data collection method was considered insufficient to provide adequate and accurate research results. The chapter also addressed ethical guidelines that the information provided by the respondents was treated confidential.

CHAPTER 4: DATA PRESENTATION AND ANALYSIS OF FINDINGS

4.1. Introduction

This chapter analyses and presents the results of the data obtained through questionnaires and interviews. Data analysis is a key aspect of any research and it helps in drawing conclusions and generalising findings to a research problem statement (Creswell, 2009).

In this study, the results are presented according to research objectives raised in Chapter 1. The research objectives were to:

- Assess the effectiveness of coordination and communication during the planning process;
- Establish the role UNAM's stakeholders played during the implementation of the strategic plan (2011-2015);
- Assess how monitoring and evaluation were developed to ensure effective and efficient implementation of the strategic plan;
- Establish the adequacy of capacity-building and growth in support of the strategic planning process; and
- Recommend improvements on the implementation of the strategic planning process at UNAM.

Data from the questionnaires and interviews were integrated only on the main themes since the interviews were meant to verify or confirm the findings from the questionnaires. The main themes are discussed in Chapter 5. Questionnaires were handed out to the staff members, who were not at senior managerial level, while the interviews were administered on the senior management team. The key informants held senior managerial positions at UNAM, hence their

names, years of service and positions were excluded in this study to protect their identity and thus were referred to as Informant 1, 2 and 3. In addition, the names of the key informants were referred to as X, Y and Z in the transcription of the data.

4.2. Findings and Discussions

4.2.1. Findings obtained from unstructured questionnaire

4.2.1.1. Response rate

The target population consisted of 239 respondents, excluding the senior management team. A total 239 questionnaires were distributed, but only 65 were collected, which represents a 27% response rate, even though the researcher made numerous attempts by making follows-up via phone calls, e-mails and physical visits to the target respondents to increase the response rate. However, a response rate of 60% was achieved from the interviews held with three of the five senior management team and could be regarded as complementing the 27% response rate achieved from the targeted population, as well as to confirm the data collected from questionnaires.

A quick scan of literature reveals that response rate alone may not be sufficient evidence to judge study quality and/or validation. It suggests that in addition to reporting the response rate, authors should disclose any known details about their non-respondents in an attempt to improve participation and the denominator used to calculate the response rate should assist the editors and reviewers to assess the validity and utility of study findings more accurately and make decisions about their relevance for the readers (Morton et al., 2012). This is supported by Galea and Tracey (2007), who reported that what is required to judge study quality and validity are useful descriptions of respondents rates that include a description of eligible study population

and they were conducted to ascertain external validity the cooperation rate, which may be defined as the number of completed interviews from those who could not be contacted.

In tandem with the arguments advanced by Galea and Tracey (2007) and Morton et al. (2012), the researcher considered the response rate adequate based on two reasons. Firstly, the researcher sent reminders to respondents to effectively gather more complete questionnaires. Secondly, the study population consisted of UNAM employees, who were familiar with the research topic, based on their work experience and institutional knowledge.

The researcher further states that even though 65 questionnaires, amounting to 27% response rate, were collected, it was discovered that some respondents chose not to answer certain questions in the questionnaires resulting in unit or item non-response. Unit or item non-response indicates that a survey instrument was returned incomplete (Fraenkel & Wallen, 1993).

The researcher could not disregard these questionnaires with unit or item non-response since the respondents continued to answer the subsequent questions in the questionnaire. The unit or item non-response could result from respondents not finding some of the questions useful. The questionnaire was pretested to avoid bias and to clear any misunderstanding and sufficient time of two weeks was given to respondents to complete the questionnaire, yet questionnaires with unit or item non-response were discovered. The sections where unit or item non-response were observed are indicated and explained further in this chapter under the research objectives themes.

The 65 questionnaires collected were captured on Google Forms, which is a web-based application or online survey tool to create forms for data collection purposes, which

automatically stored the data in a Microsoft Excel spreadsheet. Quantitative data from questionnaires were analysed using a computer software, the Excel Spreadsheet, to produce the graphs. Qualitative data from the interviews were analysed manually and used to substantiate the numerical data.

4.2.1.2. Responses from the employees of UNAM

4.2.1.2.1. Demographic data

Through this process, data analysis sought to establish the gender, age, education, positions and length of service of the respondents at the institution. The demographic data emerging from this study provide the following:

4.2.1.2.2. Gender and age

It was observed that 57% of the respondents were female and 43% were male. The distribution of respondents by age revealed that 8% were aged between 30 and 35 years; 5% between 35 and 40 years; 20% between 40 and 45 years; while 67% were above 45 years. From these findings, indicate that most respondents were aged above 45 years, followed by those who were aged between 40 and 45 years, while those between 35 and 40 years were a minority in the group.

4.2.1.2.3. Education

The study shows that 44% of the respondents held doctoral degrees, followed by 22% with master's degrees. A total of 11% of the respondents were first degree holders, while 8% were

holders of honours degrees. Respondents with diplomas and post-graduate diploma represented 6% in both qualifications, while those with certificates represented 3% of the respondents.

4.2.1.2.4. Length of service of respondents

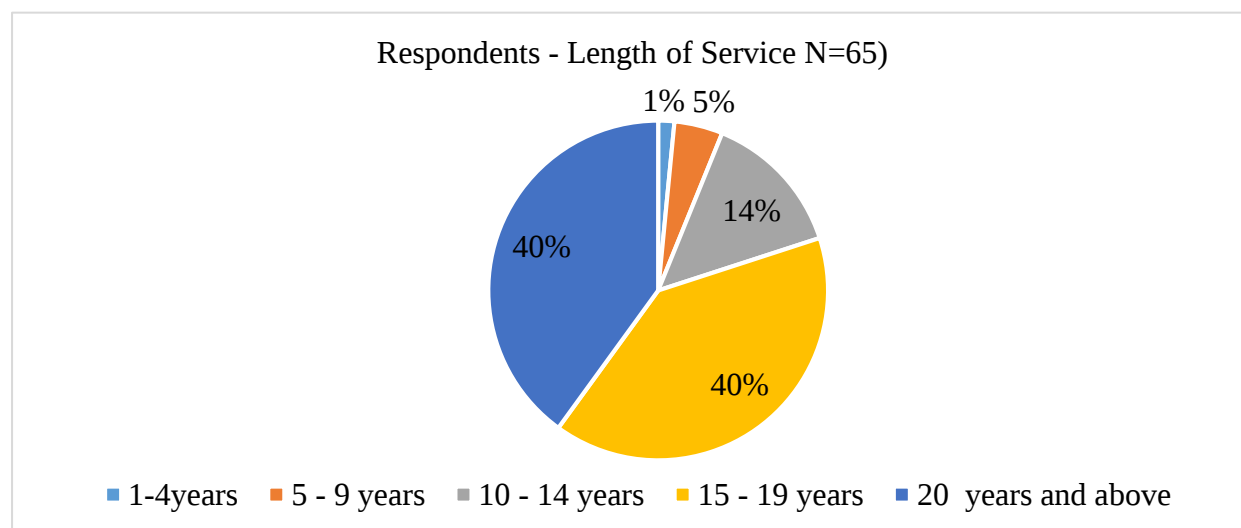


Figure 4.1: Length of service of respondents

The length of service indicates how long the respondents have been working at UNAM. This information is vital to establish whether the respondents were knowledgeable about the fourth Strategic Plan (2011-2015) and its implementation thereof. It also provides opinion emerging from their professional experiences on the importance of strategic plan implementation.

The data presented in Figure 4.1 above shows that 40% of the respondents had more than 20 years of service, followed by same number of 40% with 15-19 years of service. About 15% of the respondents had 10-15 years, while 5% had 5-9 years and 1% had 1-4 years of service. This information indicates that most of the respondents had worked at UNAM for more than 20 years, hence were knowledgeable of the process and activities of strategic issues at UNAM.

Therefore, they would have engaged in the process and thus knew or had perceptions on the implementation of the fourth Strategic Plan (2011-2015) at the institution.

4.2.1.2.5. Position/affiliation of the respondents

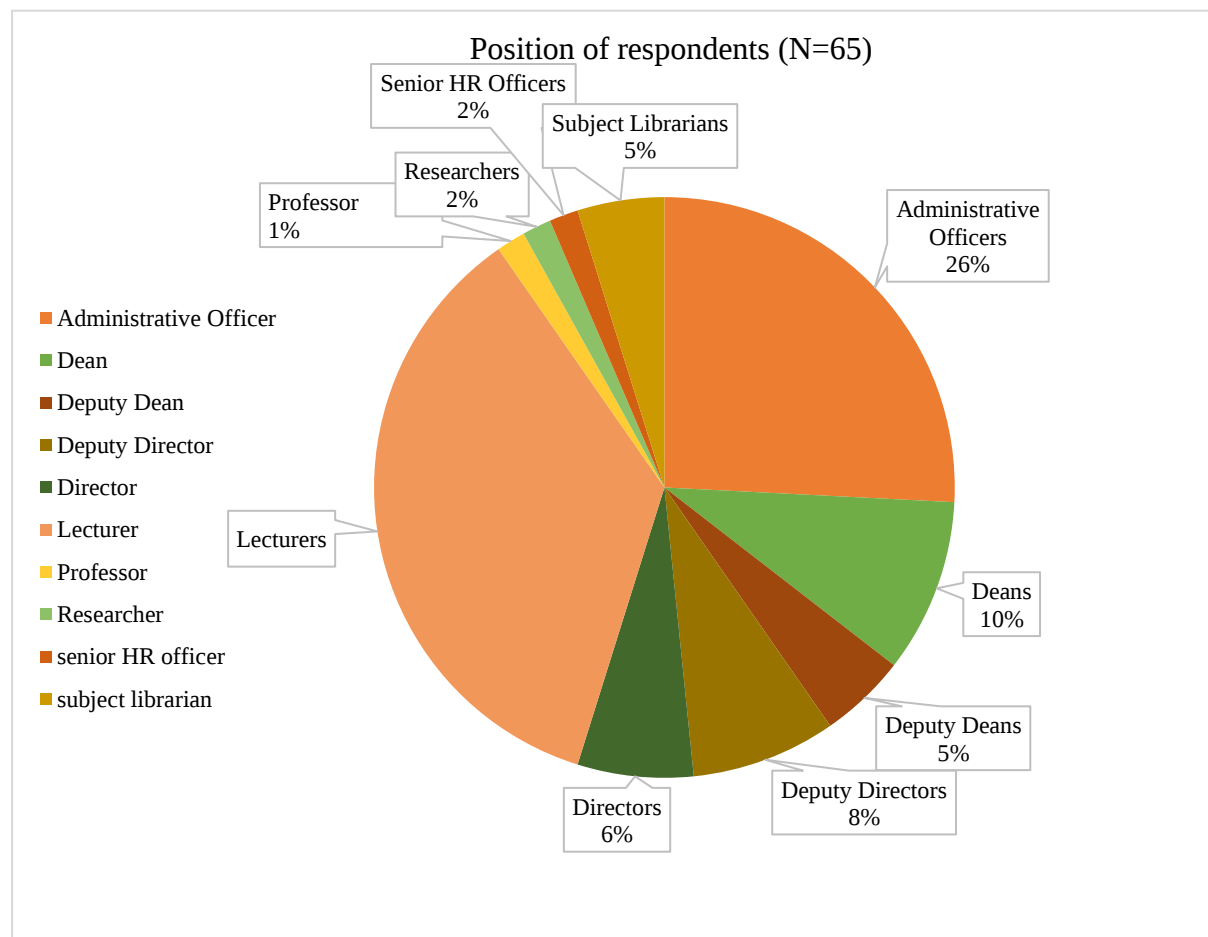


Figure 4.2: Position/affiliation of respondents

The respondents were asked to indicate their position in order to determine their role in the implementation of the fourth Strategic Plan (2011-2015). From the data presented in Figure 4.2 above, 35% represents lecturers, followed by 26% administrative staff, while 10% represents the deans of faculties. About 8% represents deputy directors, 6% directors, 5% deputy deans, 5% subject librarians, 2% senior human resources officers, who were also administrative staff.

Of the respondents, 2% and 1% represent researchers and professor, respectively. This study shows that academic staff dominated the respondents which amounted to 72% (lecturers 35%, deans 10%, deputy directors 8%, directors 6%, deputy deans 5%, 5% subject librarians, 2% researchers and 1% professor). Subject librarians and researchers are regarded as academic staff at UNAM, hence they were included under the category of academic staff. The minority of the respondents were the administrative staff, which contributed 28% of the sample size. The 28% included 2% of senior human resources officers, which are regarded as administrative staff. The study sample had more academic staff than administrative staff.

4.2.1.3. Themes

4.2.1.3.1. Coordination and communication

The purpose of this section in the questionnaire was to establish how well the strategic planning process was carried out and whether the respondents participated in the process. The first question in the questionnaire under this theme required the respondents to indicate by means of “Yes or No” their involvement in the strategic planning process. It also required the respondents to answer questions 7 onwards, if they were involved in the planning process, since the subsequent questions (7-11) are related to the “Yes” response. While those indicating non-involvement were required to go to question 12.

Under the same theme, 63 instead of 65 respondents responded to questions 12 and 13. This indicated that two of the respondents did not respond to questions 12 and 13, while 63 responded to first statement under question 14, 61 to the second statement and 60 respondents to the third statement. The difference in response rate on the questions could be a result of respondents not remembering or not finding the questions useful, therefore, failing to provide

an answer, even though the questionnaire was pre-tested and ample time of at least two weeks was given to complete the questionnaire. The researcher could not disregard these questionnaires, since the respondents had responded to the previous and subsequent themes in the questionnaire.

4.2.1.3.2. Role played by UNAM's external stakeholders

The purpose of this section in the questionnaire was to establish how important stakeholders' inputs were viewed, how they found the inputs of the stakeholders and at which stage stakeholders should be involved during the strategic planning process. From the 65 questionnaires collected, only 60 to 62 respondents responded to the questions as indicated in the findings. The researcher could not disregard the questionnaire, since the respondents responded to the previous and subsequent questions in the questionnaires.

4.2.1.3.3. Implementation, monitoring and evaluation

The purpose of this section in the questionnaire was to address the aspect of strategy implementation, monitoring and evaluation process. The section was also to establish whether the objectives of the strategic plan were implemented, if not, why it could not be implemented and what factors contributed to the failure of achieving the objectives. It was also to establish whether correctional measures were put in place for the effective and efficient implementation of the strategic plan. Under this theme, from the 65 questionnaires collected some of the respondents did not respond to questions, 24, 26, 27, 28, 30, 31, 32, 33, and 34. The response rate to these questions are indicated in the respective sections. However, the researcher could not disregard the survey, as it was not a total non-response rate, but rather a unit or item response rate. In addition, the respondents responded to questions after these numbers,

therefore, the questionnaires were found reliable and valid. These different response rates are indicated in the respective questions.

4.2.1.3.4. Capacity-building and growth

This section was to establish whether staff members were trained in the strategic planning process in order to transfer skills and whether there were efforts made to ensure proper succession plans in place.

Under this theme, from the 65 questionnaires collected, some of the respondents did not respond to questions, 35, 36, 37 and 38. The response rates to these questions are indicated in the respective sections. However, the researcher could not disregard the survey because it was not a total non-response rate, but rather a unit or item response rate. In addition, the respondents responded to questions prior and after these numbers. These different response rates are indicated in the respective questions.

4.2.1.3.5. Participation in the strategic planning process

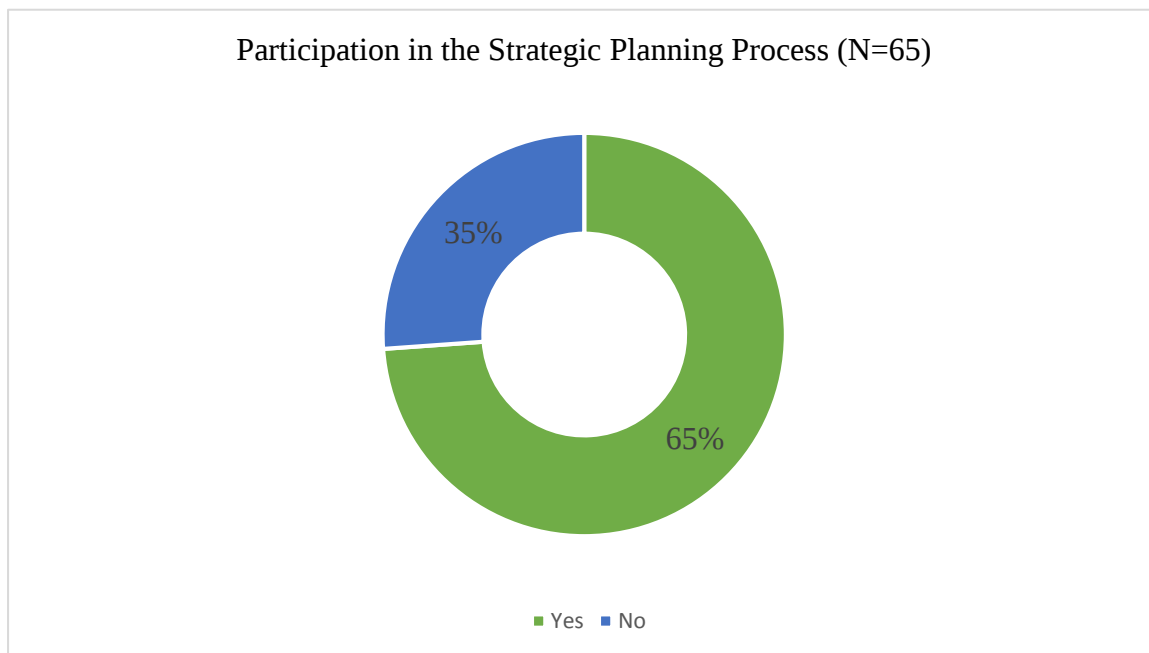


Figure 4.3: Participation in the Strategic Planning Process

Respondents were asked to indicate whether they took part in the strategic planning process, which was aimed at developing the strategic objectives for the fourth Strategic Plan of UNAM (2011-2015). As reflected in Figure 4.3, 65% of the respondents participated in the strategic planning process, while 35% did not partake in the process. This study revealed that the University of Namibia strategic planning process regarding the fourth Strategic Plan (2011-2015) was found to be participatory. This was confirmed by the information received from key informants 1, 2 and 3, who stated as follows: Informant 1:

“We have adopted an inclusive running strategy whereby it takes the whole institution together not only a few people, doing on behalf of the others, but rather all if you want to succeed you must make sure that everybody understands and appreciate what the institution is doing (personal communication, October 26, 2017)

The above was further reinforced by Informant 3, who stated that:

“I facilitate the development of the strategic planning by making sure that all executive and senior management, for example Deans, Deputy Deans, Heads of Departments and Balance Score Card coordinators are trained in strategy development.” (personal communication, November 7, 2017)

While the second informant had a different view and stated,

“You know, I am really of the opinion that my role is not large enough in the strategic planning, per se. I do not see that I fulfil a real specific role in that; a dedicated role. My advice is sought on workloads of staff members, on implementation of new programmes. I am giving advise on implementation of the new programmes. I do not see that I have a definite role in the strategic planning process.” (personal communication, October 30, 2017)

4.2.1.3.6. Levels of participation during the strategic planning process

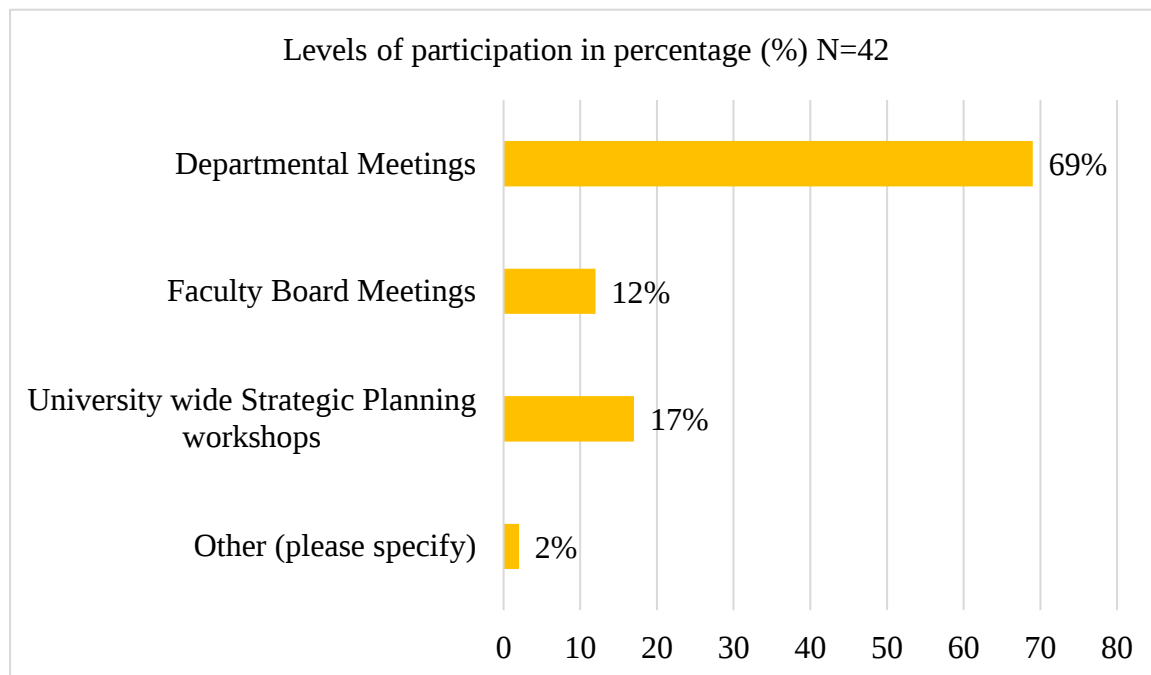


Figure 4.4: Levels of participation during strategic planning

Respondents were asked to indicate at what stage within their respective faculties/departments/centres/units they participated during the planning process. Figure 4.4 illustrates the levels at which respondents participated during the strategic planning process. Data collected shows that out of 42 respondents, 69% participated only in the strategic planning process at departmental levels, while 17% participated during the University wide strategic planning workshops. A total of 12% participated during the faculty board meetings, followed by 2% who participated at centre/unit levels. The study revealed that most respondents participated at department levels, while a minority partake at centre/unit levels.

This was confirmed by the information received from key informants stated as follows:

Informants 1:

“So, we are doing that through involving them through the Deans Committee and for them to use their own faculty boards because the faculty board meetings are attended by each member of staff and rolling it out to faculty boards was an assurance that members were involved in the setting up of the strategy of the faculty. From the faculty boards, all discussions on all strategic plan objectives are further taken up at university committees and from there, of course, to the other higher university committees up to council (personal communication, October 26, 2017).

This indicates that the process was limited to certain groups of staff members only, thus confirming with the findings of the quantitative data.

4.2.1.3.7. Effectiveness of communication sharing during the strategic planning process

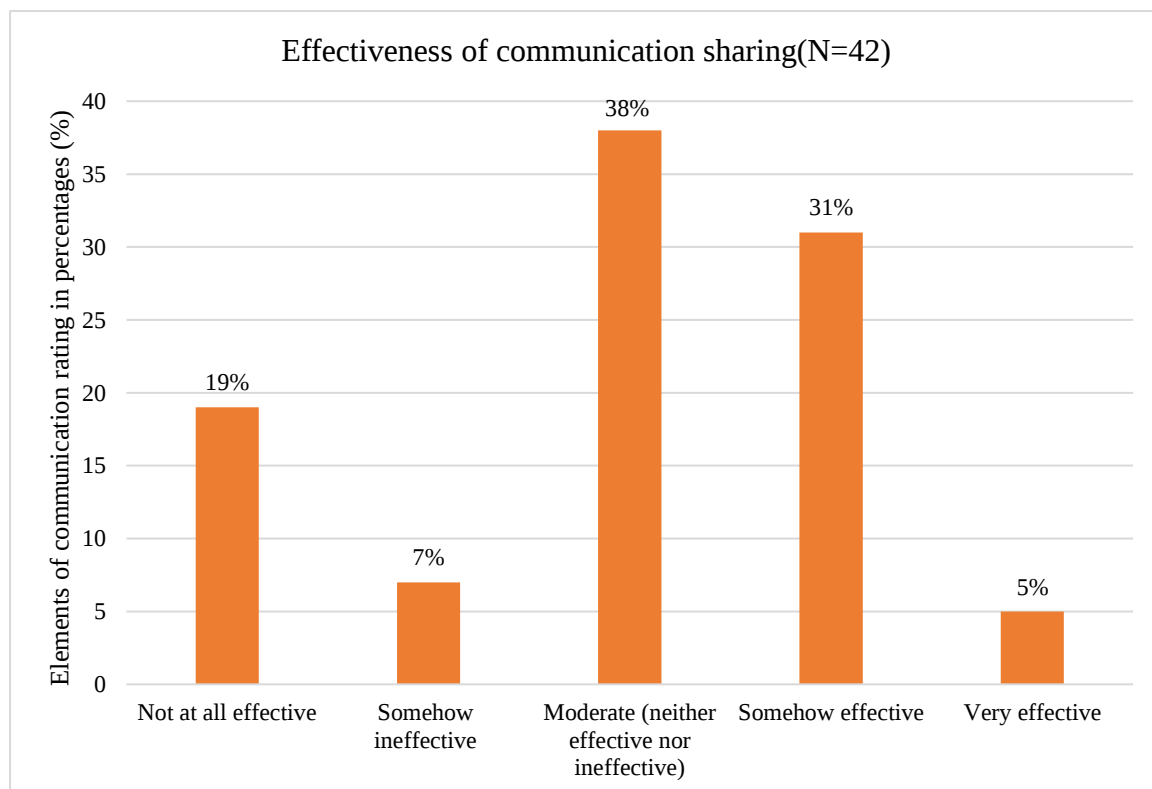


Figure 4.5: Effectiveness of communication sharing during the strategic planning process

Respondents were asked to indicate whether they deemed the communication about the strategic planning process effective.

Figure 4.5 depicts how effective the information with regards to the strategic planning process was shared. Data collected shows that from 42 respondents, 38% indicated that the information about the planning process was moderate (neither effective nor ineffective), 31% indicated it was somehow effective, while 19% indicated that the process was not at all effective, followed by 7% who said the process was somehow ineffective. Only 5% of the respondents showed that the process was very effective. The study found that most respondents stipulated that the information sharing was moderate (neither effective nor ineffective). While a minority found the process very effective.

4.2.1.3.8. Communication methods used to share information during the strategic planning process

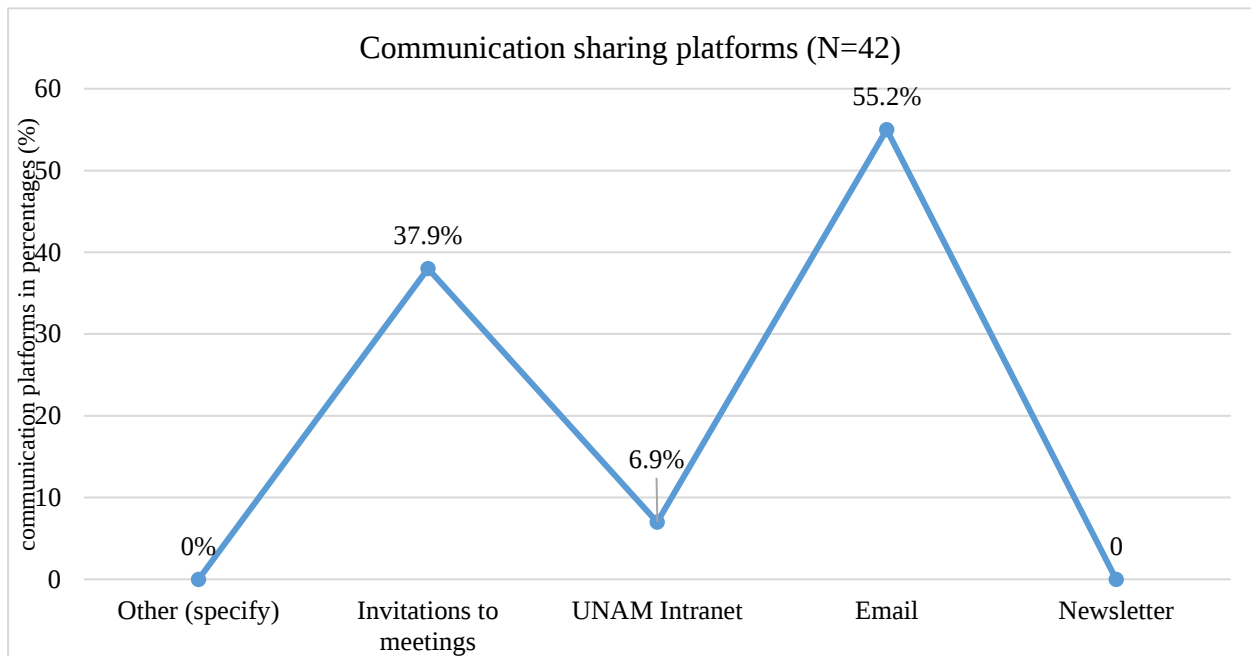


Figure 4.6: Communication methods use to share information with regards to the strategic planning process

From the 42 respondents, 55.2% indicated that the information with regards to the strategic planning process was received through e-mails, while 37.9% indicated receiving information through official invitations to meetings and 6.9% reported seeing information posted on the university's intranet. The study shows that most of the respondents received information via e-mail, while a minority received same information via official invitations to meetings. The study further shows that e-mails were mostly used to share communication, while official invitations to meetings also seemed to have been another effective way to communicate.

4.2.1.3.9. Rating of contributions during the strategic planning process

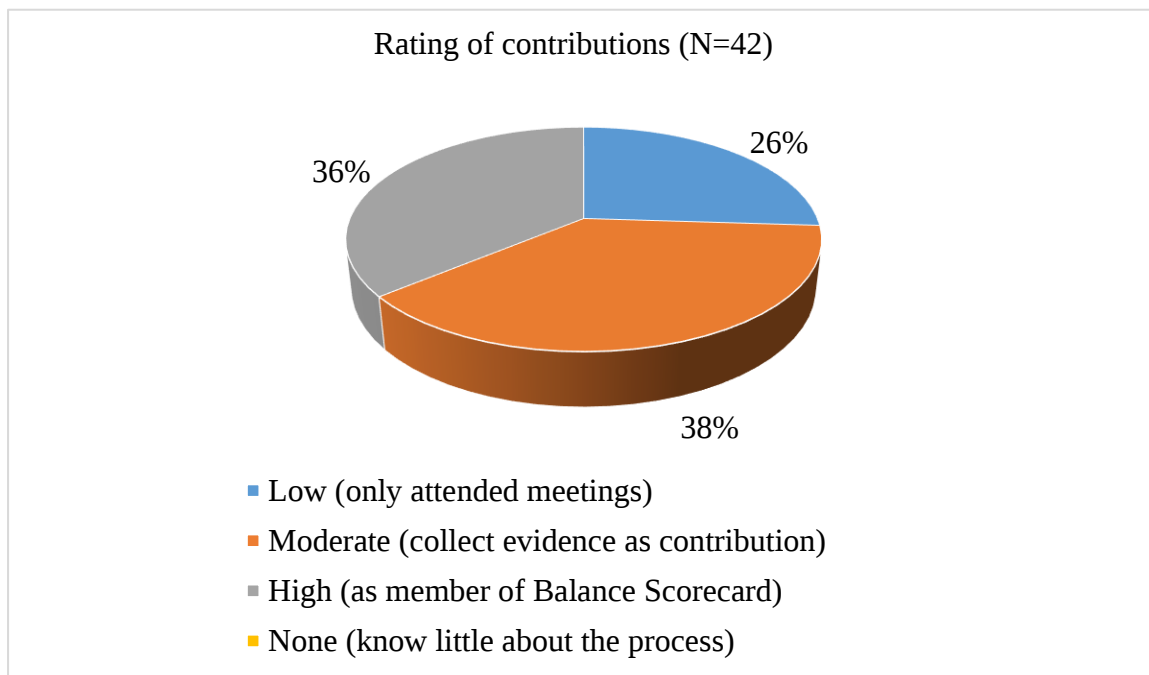


Figure 4.7: Rating of contributions during the strategic planning process

Respondents were asked to indicate in which way they contributed during the strategic planning process. Figure 4.7 indicates the levels at which the respondents contributed during the strategic planning process meetings. From the 42 respondents, 38% indicated that they contributed moderately through collecting and providing evidence in relation to the strategic plan objectives, 36% indicated that, as champions of the balanced scorecard, their contributions were high, which required the respondents to coordinate the planning process within the respective faculties/centres/unit., while 26% indicated that their contribution was minimal because they only attended meetings.

The study revealed that the majority of the respondents participated in the planning process through gathering and submitting the necessary documents while a minority indicated only attending meetings without necessarily providing any inputs.

4.2.1.3.10. Frequency of information receivable and feedback

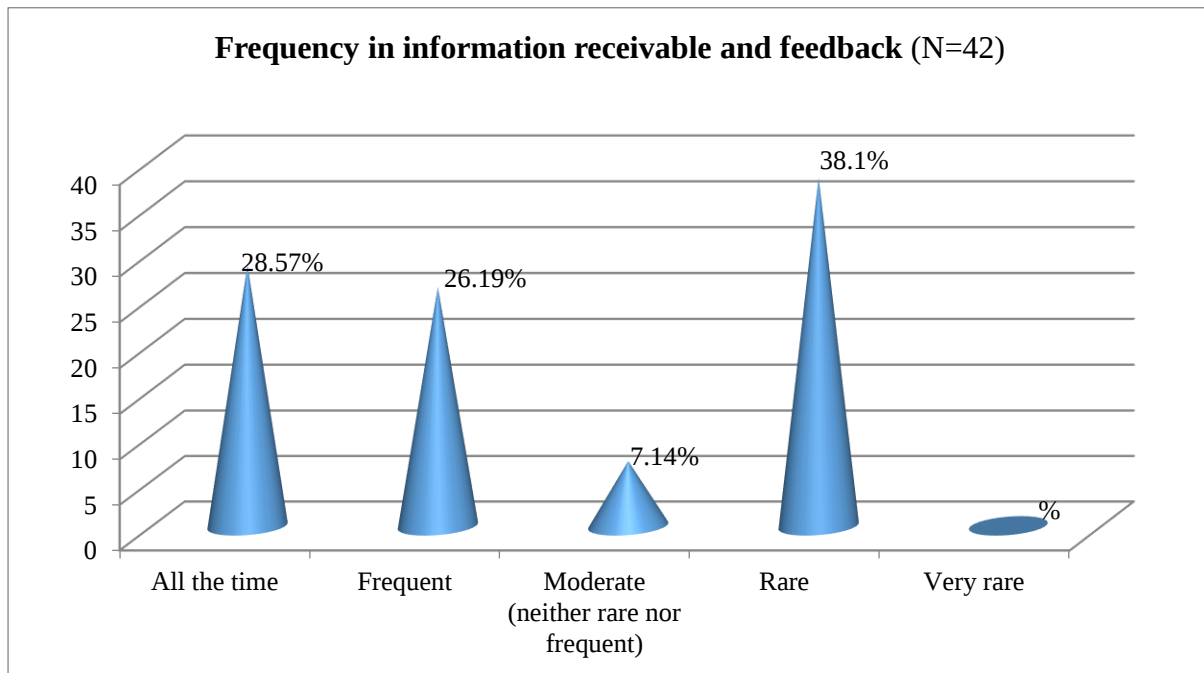


Figure 4.8: Frequency on information receivable and feedback

Respondents were asked to indicate how regularly they received information with regards to the strategic planning process. The question was asked to determine whether the flow of information was effective. Figure 4.8 depicts the rate at which information regarding the strategic planning process development and outcomes was communicated to the respondents in the form of feedback. From the 42 respondents, 38.1% responded that the flow of information to and from during the strategic planning process was rare, 28.57% indicated that the information was shared all times, 26.19% indicated information was shared frequently, while 7.14% stated that that the information-sharing process was moderate (neither rare nor frequent). Therefore, the study revealed that information sharing regarding the strategic planning process was not effective.

4.2.1.3.11. Strategic Planning Coordination

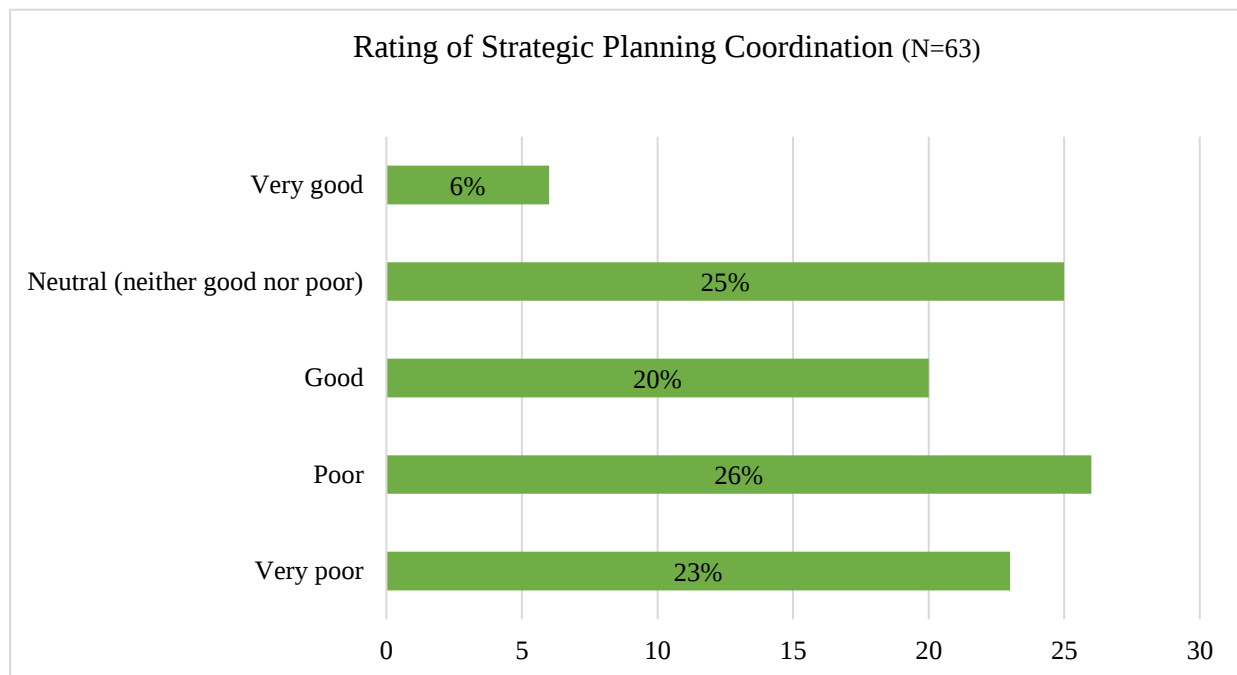


Figure 4.9: Strategic planning coordination

Respondents were asked to indicate their views on how well the strategic planning workshops were organised. Figure 4.9 illustrates that out of 63 respondents, 26% indicated that the strategic planning coordination was poorly done, 25% reflected that it was neutral (neither good nor poor), while 23% rated the coordination process as very poor. However, 3% of the respondents did not respond to the question. Only 20% indicated that the coordination was good, while 6% of indicated it was very good. The study revealed that most respondents (26%) indicated that the strategic planning coordination was poor, while a minority of 6% stated that the coordination was very good.

4.2.1.3.12. Knowledge on the existence of university strategic plan and annual performance plan

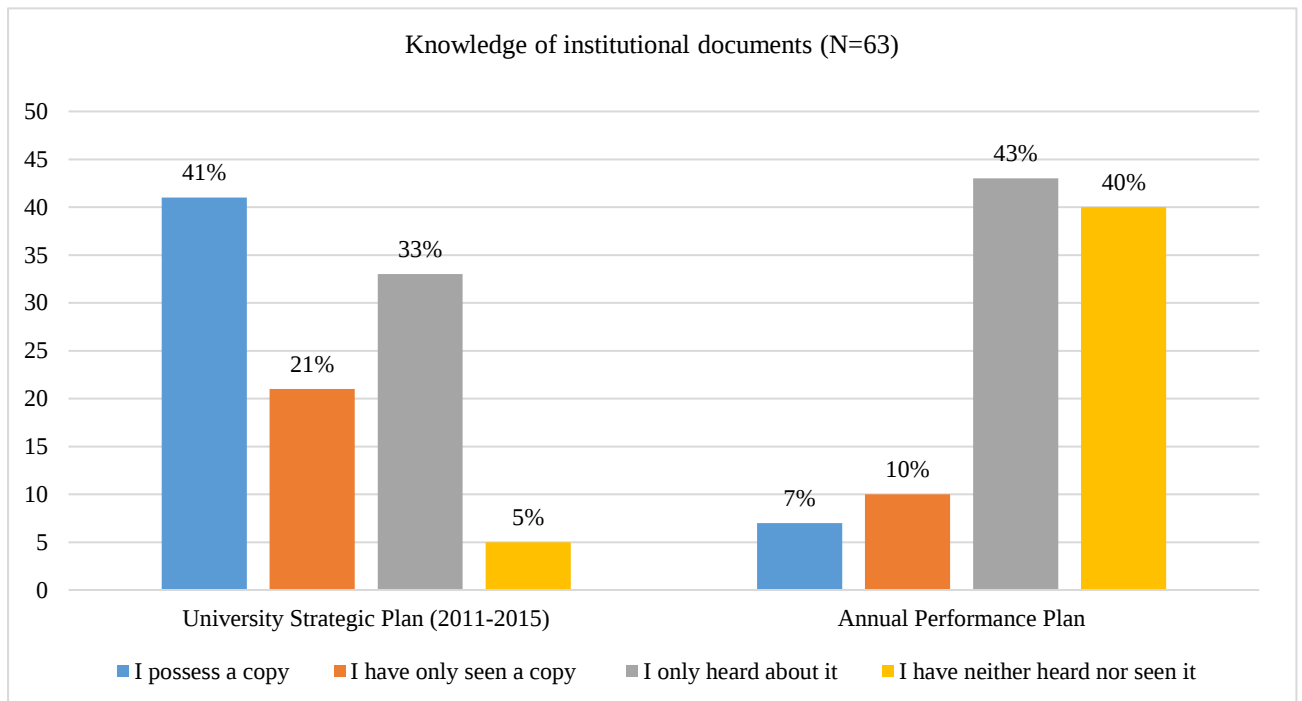


Figure 4.10: Knowledge on the existence of university strategic plan and annual performance plan

University Strategic Plan

Respondents were asked to indicate whether they were familiar with the strategic and operational documents of the institution. Figure 4.10 illustrates the awareness of the university strategic documents. Data collected shows that from the 63 responded, 41% indicated to be in possession of the university strategic plan (2011-2015), followed by 33% who only heard about the strategic plan document, while 5% had neither heard nor seen a copy. However, 3% of the respondents did not respond to the question.

Annual Performance Plan

On the other hand, 43% indicated having seen a copy of the annual performance plan, while 40% indicated that they had neither heard nor seen a copy. Only 10% indicated to have seen a copy, while 7% were in possession of a copy. The study revealed that most staff members (41%) were in possession of the university's Strategic Plan (2011-2015) and a minority, constituting 5% of the respondents, had not heard nor seen the plan. The study also revealed that 43% of the respondents only heard about the annual performance plan, while 7% possessed a copy. However, 3% of the respondents did not respond to the question.

4.2.1.3.13. Involvement of staff members in the development of the fourth Strategic Plan (2011-2015)

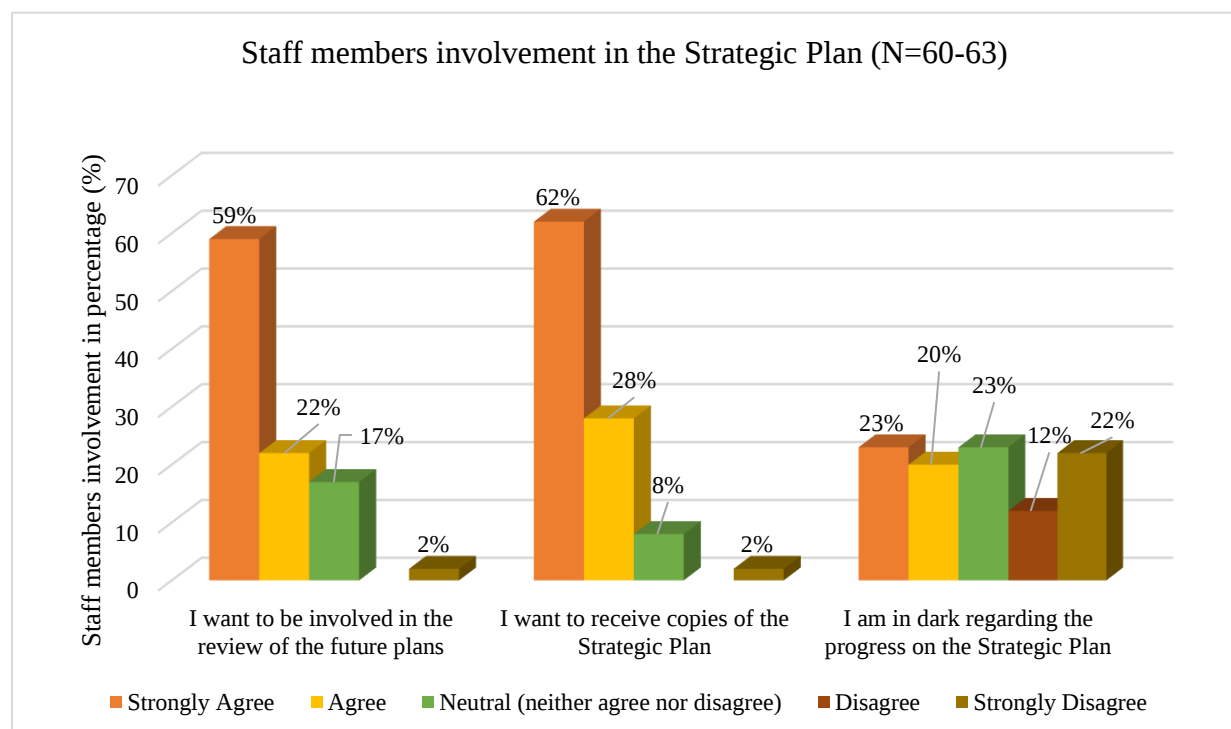


Figure 4.11: Involvement of staff members in the development of the strategic plan

Respondents were asked to indicate their desire to partake in the future strategic planning process as well as to be provided with the strategic plan documents.

I want to be involved in the review of the future strategic plans

Figure 4.11 shows out of 63 respondents 59% strongly agreed to be involved in the development and review of the future strategic plans and 22% also agreed with the statement while 17% indicated being neutral (neither agree nor disagree) and 2% strongly disagreed to the statement. A 3% of the respondents did not respond to the question.

The results show that a high number of respondents (59%) wished to be involved more in the development and review of plans, while a minority 2% strongly disputed the statement.

I want to receive copies of the strategic plan

Data collected from 61 respondents indicated that 62% wished to receive copies of the strategic plan, 28% agreed to receiving copies, while 8% were neutral (neither agreed nor disagree), and 2% strongly disagreed to receiving copies of the strategic plan. A 6% of the respondents did not respond to the question.

The data shows that the majority of the respondents (62%) would want to receive copies of the strategic plan, while a minority (2%) was neutral (neither agree nor disagree) with the statement.

I am totally in the dark regarding the progress on the strategic plan

Data collected from 60 respondents showed that 23% strongly agreed that they were in the dark regarding the progress on the strategic plan, another 23% were neutral (neither agree nor disagree) to the statement, while 22% strongly disagreed and 20% for both who agreed and disagreed with the statement. A 8 % of the respondents did not respond to the question.

The study revealed equal number of majority with 23% strongly agreed and as well as being neutral to the statement, while a minority of 12% disagreed with the statement.

4.2.1.3.14. Roles played by UNAM's external stakeholders

The purpose of this section in the questionnaires was to establish whether the stakeholders played an important role during the strategic planning process and to what extent they contributed to the attainment of the institutional goals and objectives. The section in the questionnaire was also to determine at what level in the strategic planning process the stakeholders should be involved and how their contributions were aligned to meet the aims and goals of the strategic plan as indicated in the former.

4.2.1.3.15. Roles played by stakeholders during the planning stage

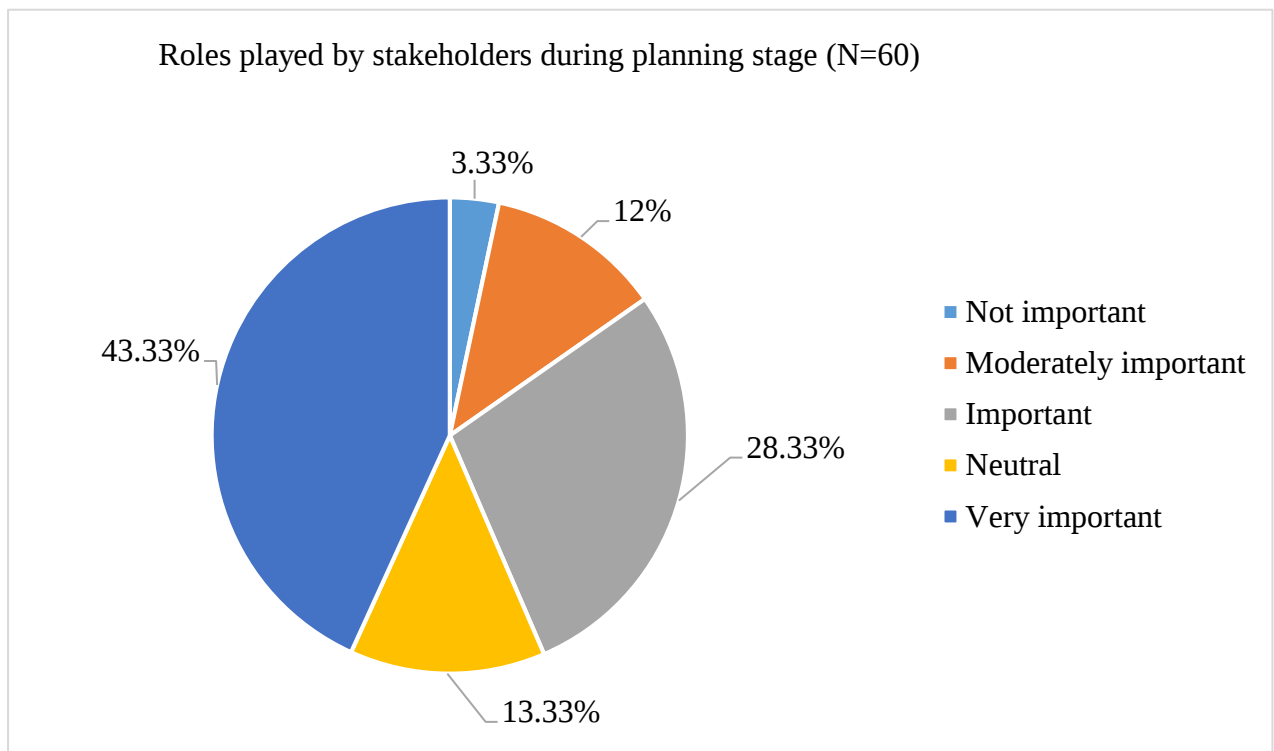


Figure 4.12: Roles played by stakeholders during the planning stage

Respondents were asked to indicate how they viewed the responsibilities of UNAM external stakeholders. As reflected in Figure 4.12, out of 60 responses, 43.33% indicated that the role of the external stakeholders during the planning stage was very important. Followed by 28.33% that indicated that stakeholders play an important role, while 13.33% stated being neutral. About 12% stated that the roles played by the stakeholders were moderately important and 3.33% did not see the role of stakeholders as important. A 8% of the respondents did not respond to the question.

The study revealed that stakeholders were perceived to have a very important role during the strategic planning process. This is supported by Informant 1:

“The formulation of the strategic plan itself requires that the stakeholders are consulted extensively so that the strategic plan can get a buy-in from not only students and staff but also from Government who is supposed to be the financier for our programmes. Council, also has to have the buy-in, and as you know, in Council we have government representatives. You have the permanent secretaries. Them participating will actually know what is being planned by the University of Namibia and what kind of resources need to be injected in order for it to be realized. Students, must also have a buy-in one way or another. (personal communication, October 26, 2017).

Informant 2:

“Stakeholders play a vital role. We cannot do anything without their involvement, hence they play a great role in our four strategic themes, such as operational management, teaching and learning, research and development and stakeholder relations. The role they basically play is that they give their contributions in the aforementioned focus areas of the university, because they give direction as to what we can do to meet our objectives. (personal communication, October 30, 2017).

According to the results, from data collected in the interviews Informant 3 seemed to disagree by saying: *“Involvement of stakeholders is a window-dressing exercise, because stakeholders are only given programmes and asked to provide letters of support. (personal communication, November 7, 2017).*

4.2.1.3.16. Stages of stakeholders' involvement during the strategic planning process

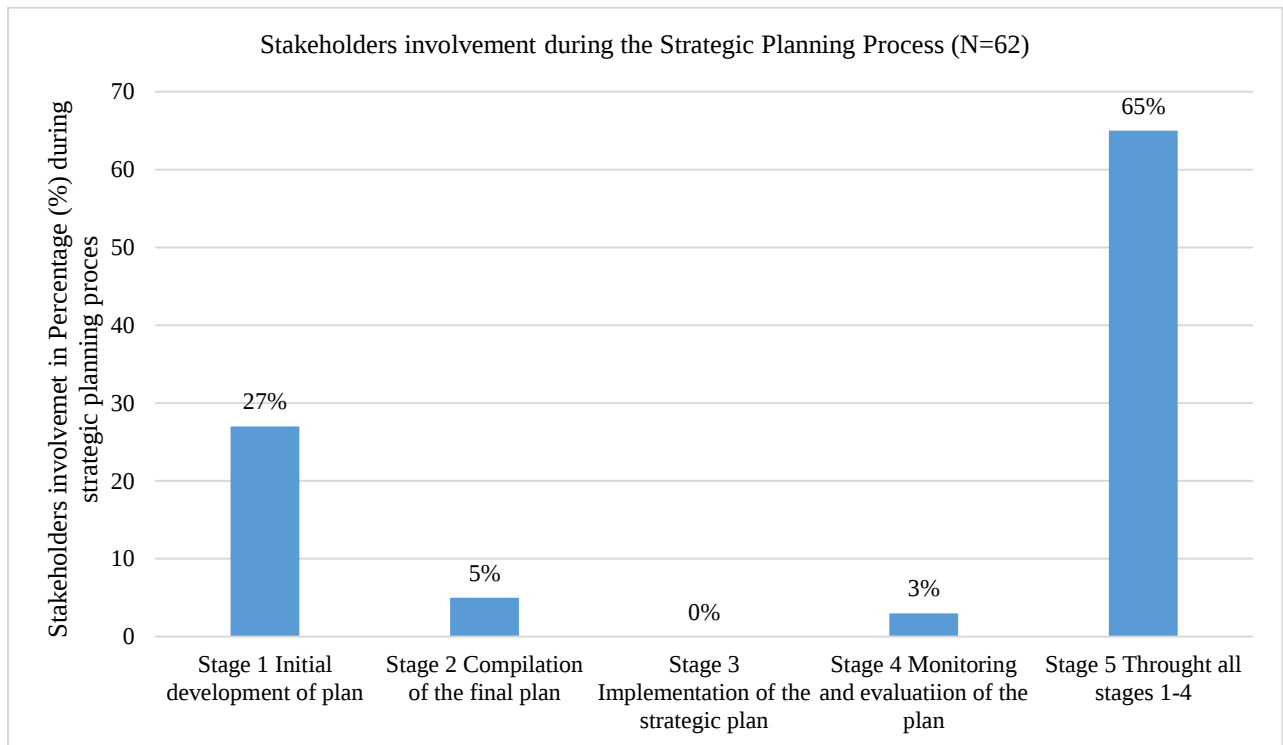


Figure 4.13: Stages of stakeholder involvement during the strategic planning process

In relation to Figure 4.13 above, the respondents were asked to indicate at what stage of the strategic planning process they thought the stakeholders should be included. Figure 4.13 indicated the stage at which stakeholders should be involved during the strategic planning process. As reflected in the Figure 4.13 from the 62 respondents, 65% indicated that the stakeholders should be involved throughout all four stages. While 27% stated at initial development stage of the strategic planning process. Followed by the second stage representing 5% of the respondents, while 3% of the respondents indicated that the stakeholders be involved at the last stage of monitoring and evaluation. However, 3% of the respondents did not respond to the question.

The study revealed that the majority of the respondents (65%) indicated that stakeholders played a very important role during all the planning stages, therefore, should be involved right from the development to the implementation stage.

4.2.1.3.17. Stakeholders input during the Strategic Planning meetings

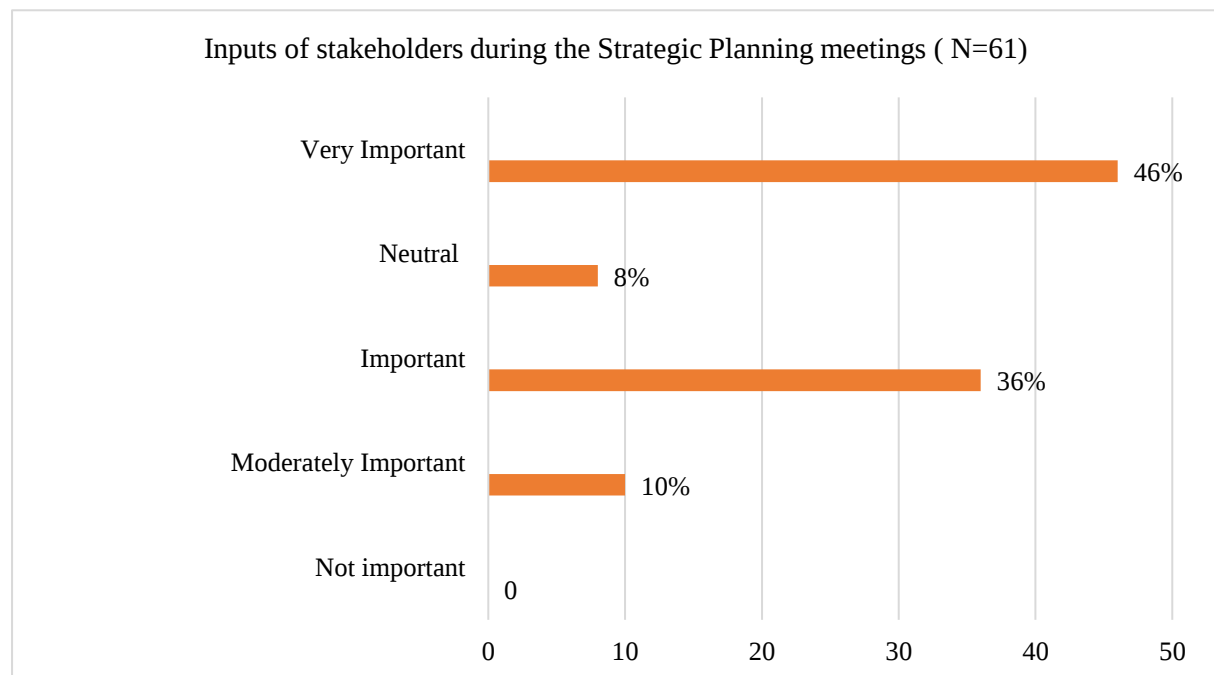


Figure 4.14: Stakeholders' input during the strategic planning meetings

In relation to the previous Figure 4.14, the respondents were asked to indicate how they rated the inputs of the stakeholders. Figure 4.14 illustrates the importance of stakeholders' contribution during the strategic planning meetings. Data collected revealed that from the 61 respondents, 46% indicated that the inputs of the stakeholders were very important, while 36% indicated important. Then 10% indicated inputs as moderate with 8% indicating neutral. However, 6% of the respondents did not respond to the question.

The study shows that at no point did any of the respondents indicate that the inputs from the stakeholders were not important, the highest number of respondents (46%) valued the inputs of stakeholders greatly.

Informant 3 stated that:

“The extent of stakeholders’ involvement in the strategic plan is at two levels. Level 1: When we are doing the high- level statements that’s step number one and when you start at that stage you do not know who your stakeholders are, but when we start we appreciate the fact that we must identify who our stakeholders are. So that part is then done during the planning stage, we identify who our stakeholders are. Level 2: we then assess and begin to understand them as to what are their needs, what do they need from us and what do they want from us. Once that process is done, we include such needs and wants in the strategic plan itself, because that’s what we should respond to, otherwise, you will not be able to achieve your mandate (personal communication, November 7, 2017).

However, Informant 2 had a different view and stated that the stakeholders’ inputs were not taken seriously and said.

“We are not listening to the people. We are not seeking to what they really want and we always not incorporating what their saying. I am not saying you have to incorporate everything, we can’t do that, it is not possible, it is simply not possible, because they are not academics that understand, but at least you need to listen to them (personal communication, October 30, 2017).

4.2.1.3.18. Inclusion of stakeholders' inputs in the strategic plan

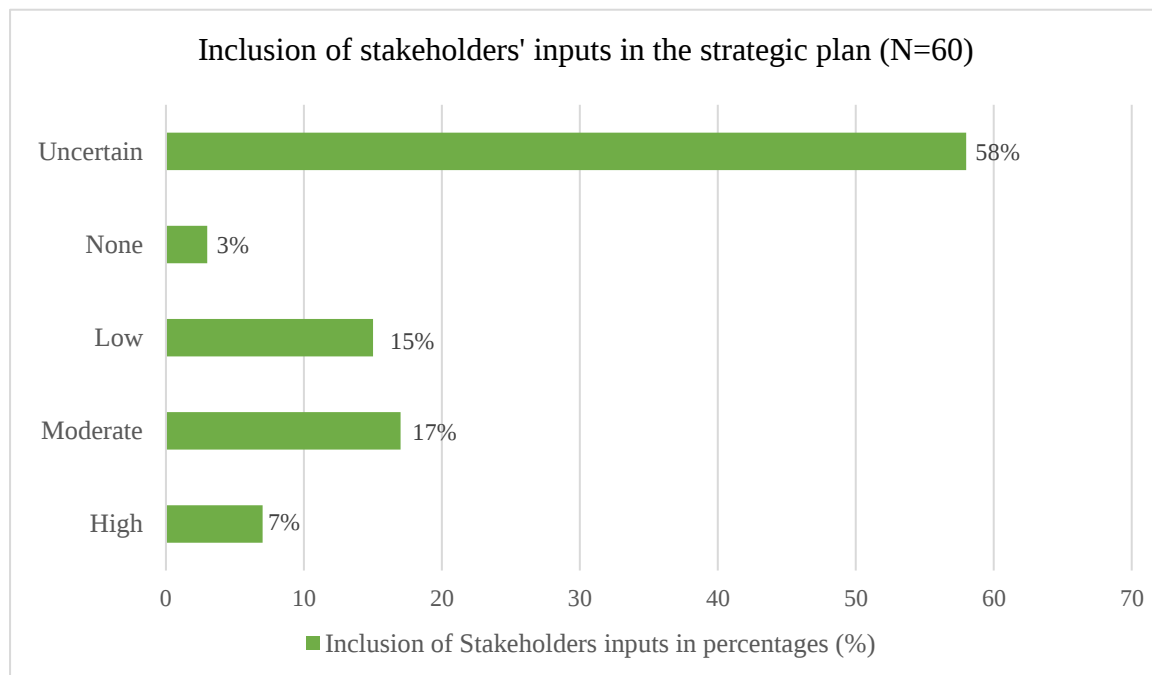


Figure 4.15: Inclusion of stakeholders' inputs in the strategic plan

Following the responses reflected in Figure 4.14, respondents were asked to indicate whether contributions made by the stakeholders should be included in the strategic planning process. Figure 4.15, therefore, depicts the extent to which the stakeholders contributed during the strategic planning process and these were captured for inclusion in the final strategic plan. From the 60 respondents, 58% indicated that they were uncertain whether the stakeholders' inputs were captured in the strategic plan, 17% indicated they were moderately captured, 15% indicated that the contributions were captured at the lowest level and 7% indicated the highest level, while 3% stated that the inputs were not captured for inclusion in the strategic plan at all. However, 8% of the respondents did not respond to the question.

The study discovered that 58% of the respondents were uncertain whether the inputs of the stakeholders provided during the strategic planning process were included in the plan itself.

4.2.1.3.19. Implementation, monitoring and evaluation

The purpose of this section in the questionnaire was to establish whether the key objectives/themes as stipulated in the university's fourth Strategic Plan (2011-2015) were achieved through implementation. The section subsequently identified factors that may have hindered the implementation, as well as challenges experienced with the implementation of the plan in terms of its objectives/themes. The section also zoomed into the aspects that had an impact on the strategic plan in relation to service delivery, as well as whether adequate monitoring and evaluation measures were put in place to ensure successful implementation of the plan.

4.2.1.3.19.1 Implementation of the strategic plan

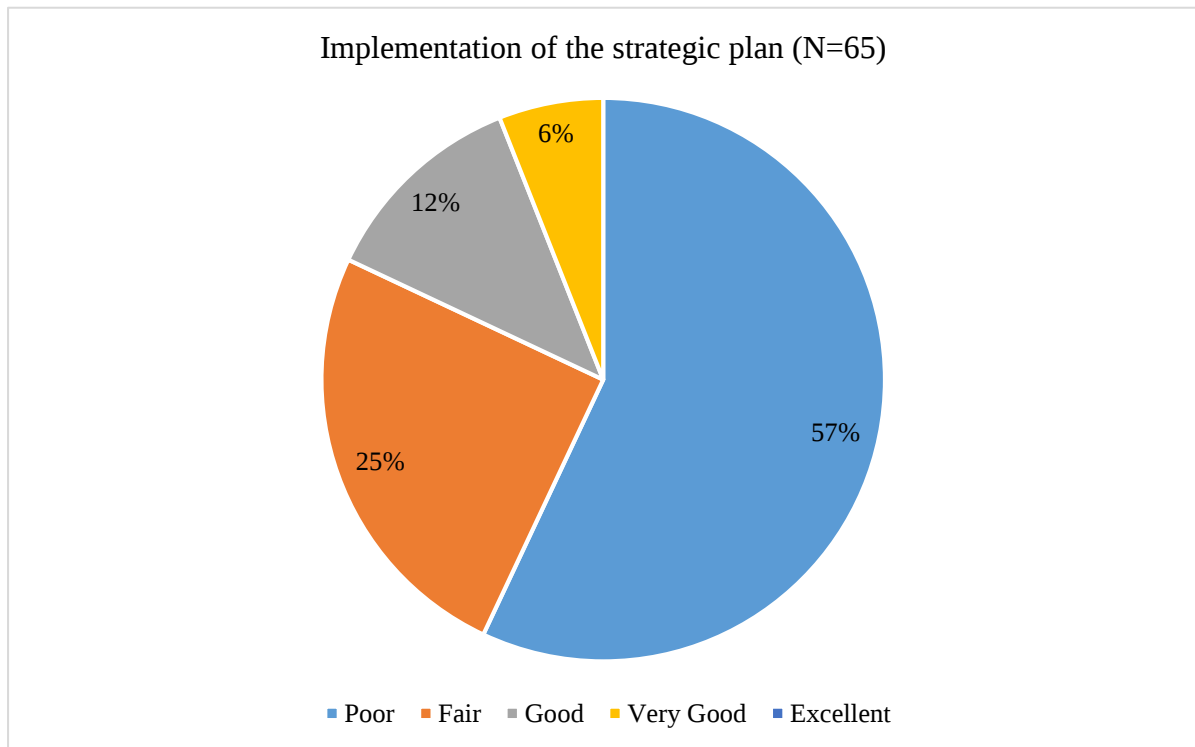


Figure 4.16: Implementation of the University of Namibia Fourth (2011-2015) Strategic Plan

Figure 4.16 depicts the general view of the respondents on how well the Strategic Plan (2011-2015) was implemented. Data collected shows that from the 65 respondents, 42% indicated that UNAM's fourth Strategic Plan (2011-2015) was poorly implemented whereas 25% respondents indicated it was fairly implemented, 12% indicated that the implementation was good while 7% indicated implementation was very successful.

The study revealed that the majority (57%) of the respondents felt that the strategic plan was poorly implemented, and on the other hand, 25% stated that it was fairly implemented.

Informant 1 had to say the following:

“One of the key objectives, of course, was to raise sufficient resources for the university not only for funding, but also in terms of human capacity for the university to be able to realise its shared vision and mission, and widen access to quality education throughout the entire country, Namibia (personal communication, October 26, 2017).

Informant 2 shared a different view and stated:

“You see, for me, one of the biggest problems with our strategic plan is that our strategic plan is not in our faces every day where it should be. If you ask me which objectives were met – what are the objectives? If you ask or sent out a questionnaire to all staff members and ask what the objectives are, you will get a very poor response. Because we have a broad idea of what it is and what we are doing, okay, maybe we need it, you know - we are taking out education to the people, with our different campuses, we are developing our campuses, so we are moving towards that, but that’s not the issue. When I walk into my office, I should know our strategic objectives are A, B, C, D & E and once a week, I should look at it and say what I did last week was towards the strategic objectives. No, it is not the case. That’s not happening. So, if I have to answer what objectives were met, it is very difficult because we are not working actively, proactively towards them (personal communication, October 30, 2017).

4.2.1.3.19.2 Factors influencing the implementation of the strategic plan

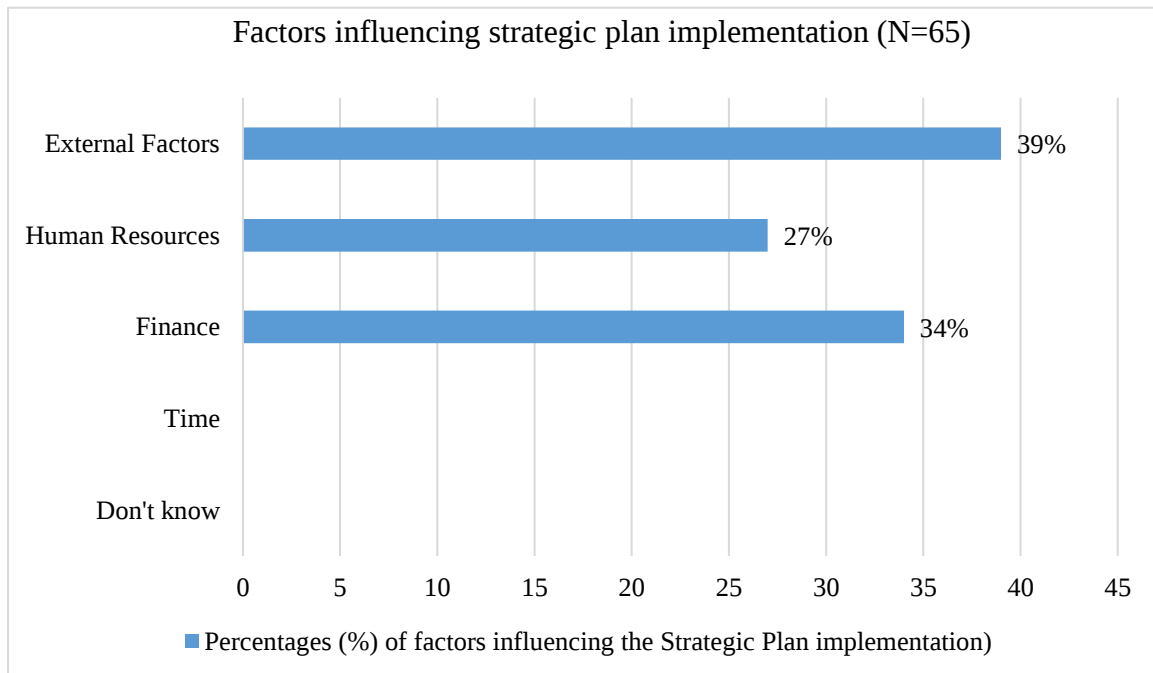


Figure 4.17: Factors influencing the implementation of the strategic plan

Respondents were asked to indicate which factors, in their opinion, influenced the implementation of the strategic plan. The factors identified were as follows: external factors, human resources, finances and time. Some respondents stated that they did not know. Figure 4.17 illustrates that from the 65 respondents, 39% of the respondents indicated that external factors influenced the implementation of strategic plan, 34% stated that successful implementation of the strategic plan was influenced by finances, while 27% indicated that the implementation was hindered by lack of human resources.

The study revealed that external factors (represented by 39%) highly affected the implementation of strategic plan, followed by finances representing 34%. The study also revealed that there was a very small difference of 5% between the external factors and finances. Thus, it may be concluded that there is an interlink between external factors and finance.

4.2.1.3.19.3 Challenges experienced during implementation of the fourth Strategic Plan (2011-2015)

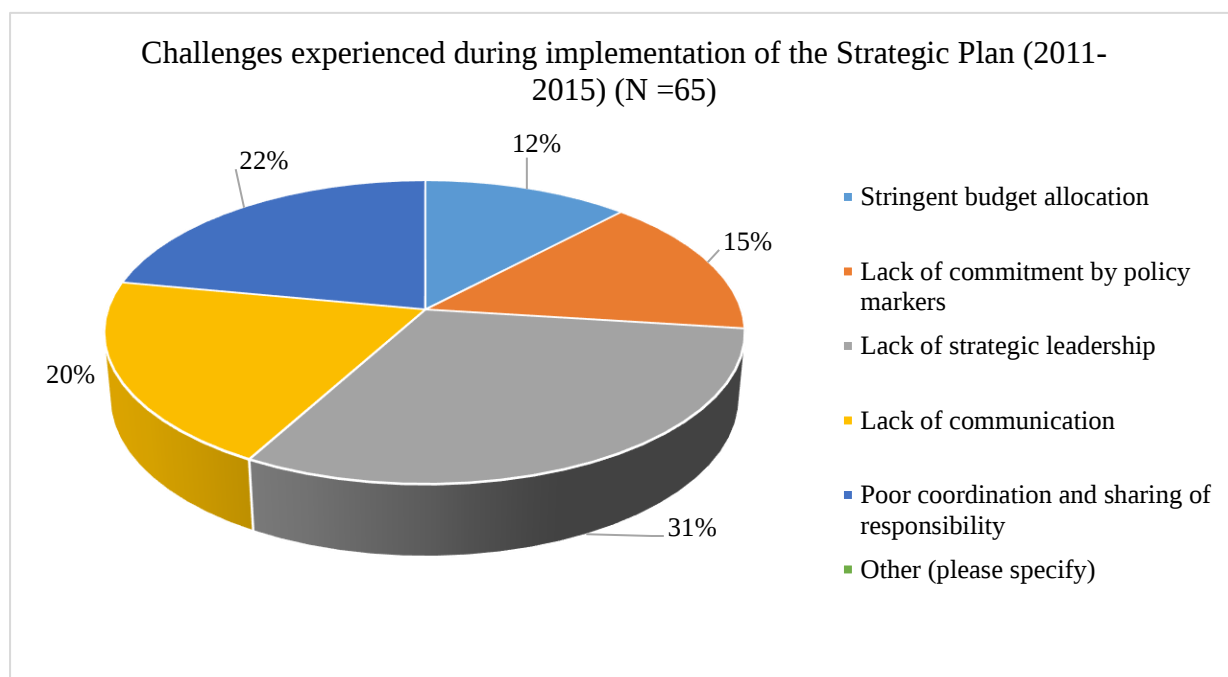


Figure 4.18: Challenges experienced during implementation of the fourth Strategic Plan (2011-2015)

Respondents were asked to indicate the challenges experienced during the year under review (2011-2015), as key objectives/themes were implemented on an on-going basis. Figure 4.18 shows that out of 65 respondents, 31 % indicated that challenges experienced were due to lack of strategic leadership, 22% reflected on lack of poor coordination and sharing of responsibilities, 20% stated that the challenges were due to lack of communication, while 15% indicated that lack of poor commitment by policymakers, as some of the challenges experienced with strategic plan implementation during the period under review. A minority of 12% highlighted lack of stringent budget allocation.

The findings reveal that the majority of the respondents (31%) viewed lack of strategic leadership as a hindrance to the actual implementation of the fourth Strategic Plan (2011-2015). However, it is interesting to note that while Figure 4.18 indicates that the strategic implementation was hampered by external factors and finances, Figure 21 illustrates that the university's strategic plan could not be implemented due to absence in strategic leadership.

4.2.1.3.20. Key strategic themes achieved during the strategic plan review period

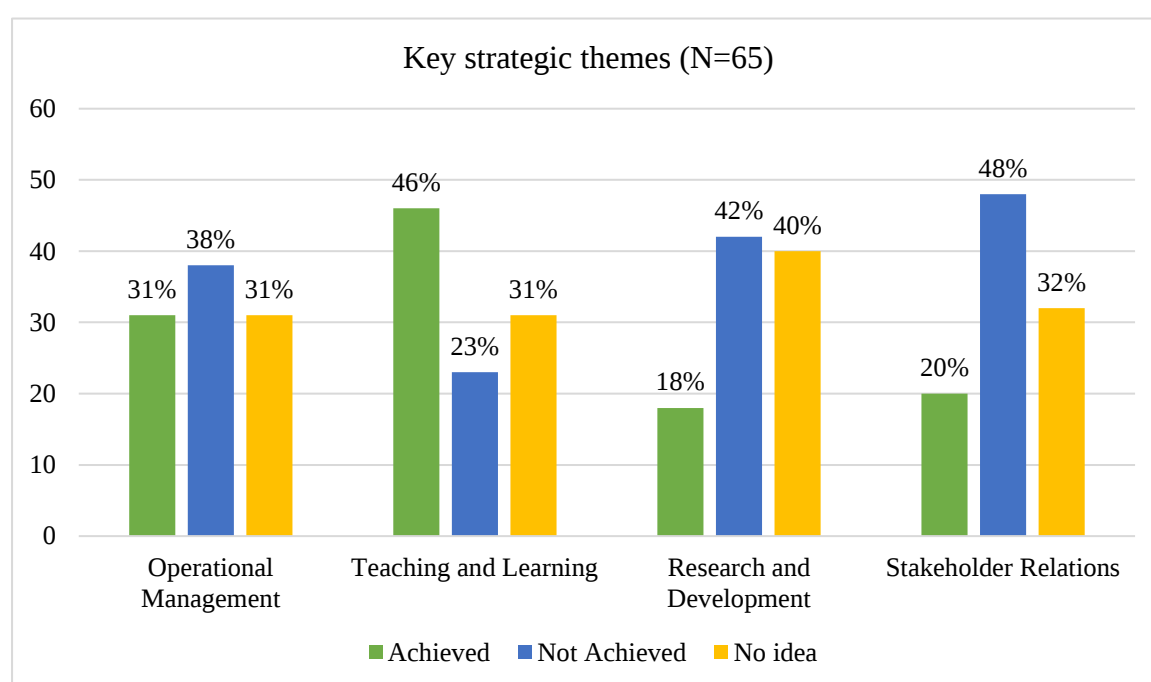


Figure 4.19: Key strategic themes achieved during the strategic plan review period

Respondents were asked to indicate which key strategic objectives/themes were achieved during the period the strategic plan was under review. This question was asked to substantiate the claims made in Figure 4.17 and Figure 4.18 since the 2011-2015 Strategic Plan followed the BSCF to translate the university's strategy into operational objectives that drive performance and behaviour. It further depicted the institutional approach towards

implementation of its five-year strategic plan by way of linking the objectives, measures, initiatives and resource requirements (UNAM, Strategic Plan, 2011-2015).

Having said that, Figure 4.19 depicts the four-key strategic objectives/themes of the UNAM's 2011-2015 Strategic Plan.

Operational management

Under operational management (customer–improve students and staff welfare) data collected indicated that 38% of the respondents stated that the theme was not achieved, 31% stated the theme was achieved while 31% stated they had no idea on the achievement of the theme.

Teaching and learning

Data collected on the second strategic theme - teaching and learning (customer – improve quality of teaching and learning) showed that 46% of the respondents indicated that the objective of the theme was achieved, while 21% indicated not theme not achieved and 31% had no idea on the achievement of the theme.

Research and development

The data on the third theme, research and development (increase and broader research output) indicated that 42% of the respondents stated the objective of the theme was not achieved, 40% had no idea and 18% agreed with the achievement of the theme.

Stakeholder relations

Data collected on the fourth theme, stakeholder relations – (promote corporate governance), stated that 48% of the respondents indicated the theme was not achieved, 32% indicated they had no idea and 20% stated that the theme was achieved.

The study revealed that the highest percentage (38%) indicated that operational management theme was not achieved, while 46% of the respondents stated that teaching and learning theme was achieved. The study further revealed that 42% of the respondents indicated that research and development theme was not achieved. From the feedback received, 48% of the respondents indicated the stakeholders' relations, in terms of promoting corporate governance, were not achieved. The study, therefore, concludes that based on the data collected only 48% of the respondents indicated that UNAM only managed to implement and achieved one theme (teaching and learning) during the period under review.

4.2.1.3.21. Members responsible for the implementation of the strategic plan

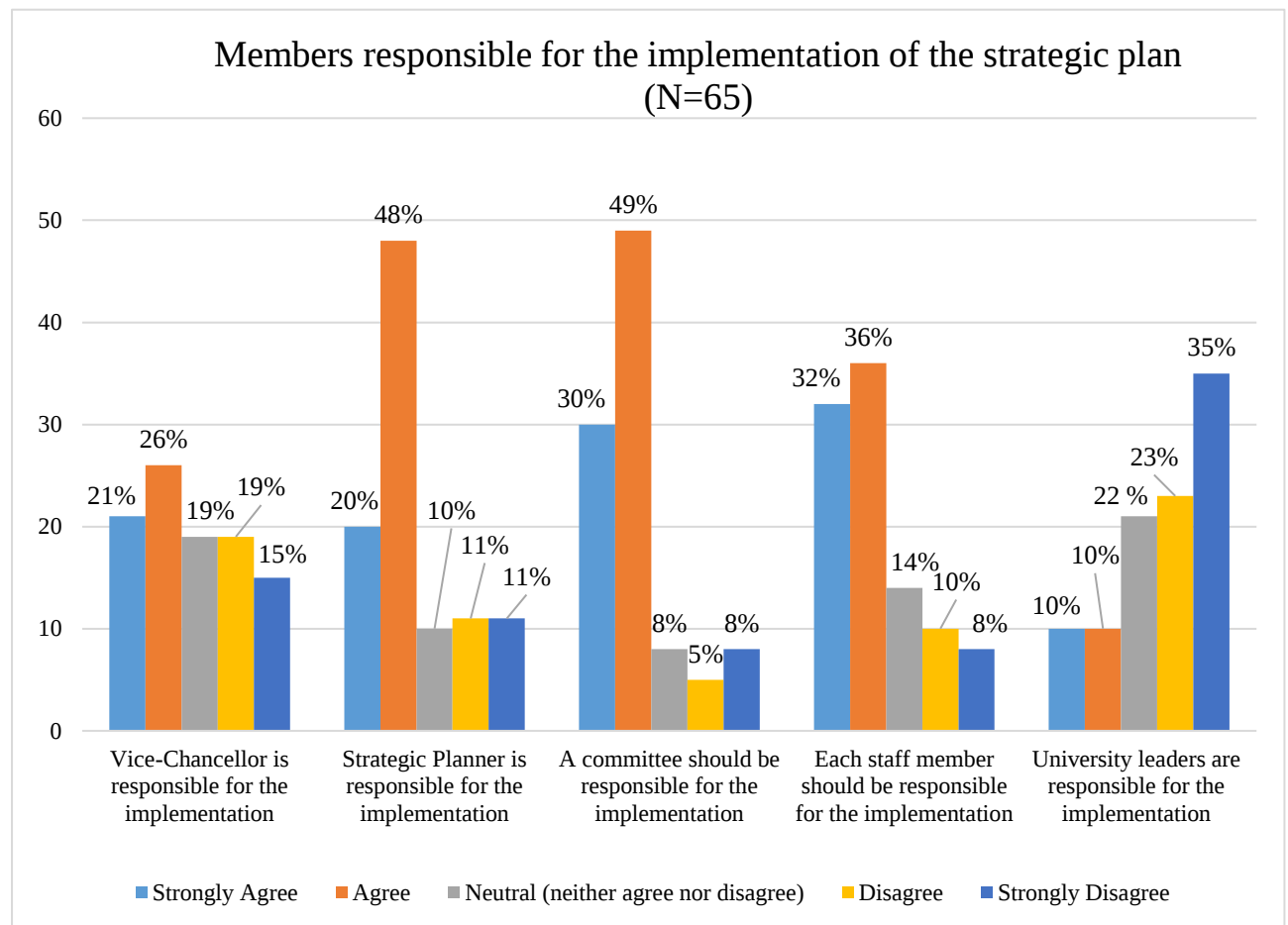


Figure 4.20: Members responsible for the implementation of the strategic plan

Respondents were asked to indicate who, in their opinion, they thought was responsible for the implementation of the strategic plan. Figure 4.20 depicts five statements representing the respondent's opinions on who was responsible for the implementation of a strategic plan. Data collected from 65 respondents show that 26% agreed that the vice-chancellor was responsible for the implementation of the strategic plan, while 21% strongly agreed with the statement, 19% did not agree nor disagree, another 19% disagreed with the statement, while 15% strongly disagreed.

Data collected show that 48% of the respondents agreed that the strategic planner was responsible for the implementation of the strategic plan, 20% strongly agreed with the statement while 11% disagreed and another 11% strongly disagreed with the statement. Then 49% of the respondents strongly agreed with the statement that a committee was responsible for the implementation of the strategic plan, while 30% strongly agreed. Besides, 8% indicated being neutral (neither agree nor disagree), another 8% of the respondents strongly disagreed, followed by 5% respondents stating their disagreement to the statement. Additionally, 36% of the respondents strongly disagreed to the statement that each individual staff member was responsible for the implementation of strategic plan. About 32% strongly agreed, while 14% indicated being neutral (neither agree nor disagree), followed by 10% who disagreed and 8% strongly disagreed to the statement.

On the other hand, 35% strongly disagreed to the statement that strategic plan implementation solely lies on the shoulders of the university leaders, 23% disagreed and 22% indicated being neutral, while 10% agreed and the remaining 10% strongly agreed with the statement. The study revealed that the highest percentage (49%) of the respondents agreed with the statement that there should be a committee to ensure the implementation of the strategic plan.

4.2.1.3.22. Monitoring and evaluation process of the strategic plan

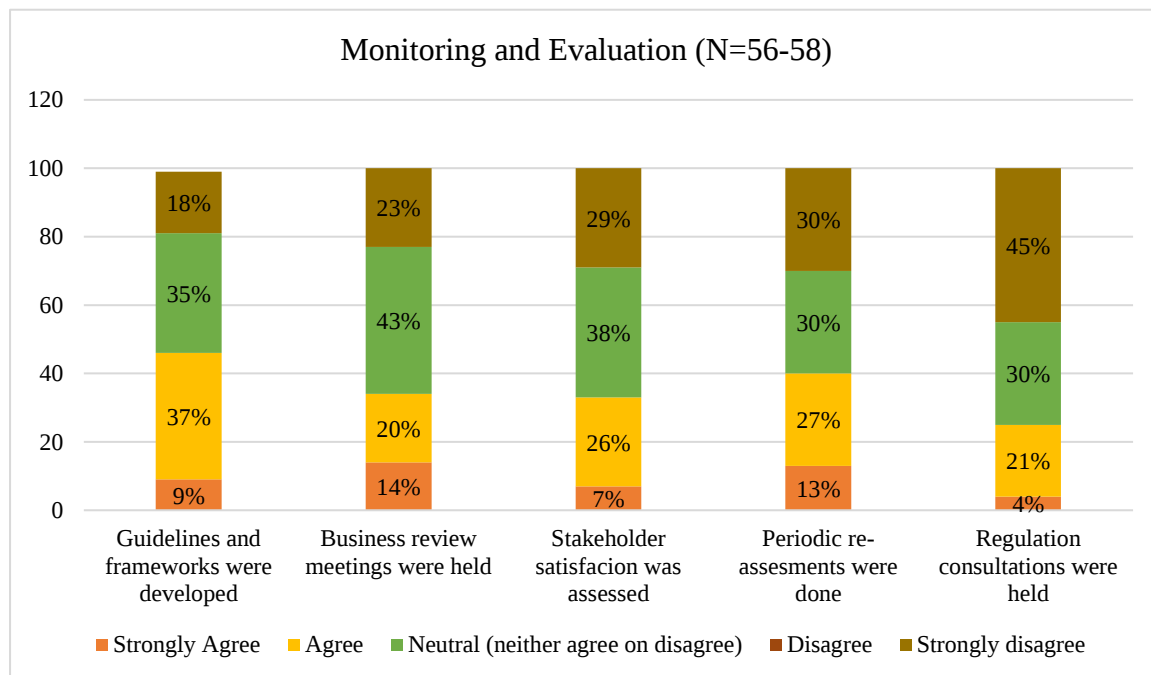


Figure 4.21: Monitoring and evaluation process of the strategic plan

To establish whether there were measures in place that ensured effective monitoring and evaluation, the researcher asked the respondents to indicate how the monitoring and evaluation process took place. These responses could help to address the shortcomings and to continuously improve on the achievements.

Implementation guidelines and framework were developed and measured against the objectives of the strategic plan

Figure 4.21 depicts that out of 56 respondents, 37% agreed with the statement that implementation guidelines and framework were developed and measured against the objectives of the strategic plan, while 35% neither agree nor disagreed with the statement, 18% of the

respondents strongly disagreed with the remaining 9% indicating strong disagreement. A 14 % of the respondents did not respond to the question.

Continuous business review meetings were held to assess the performance against the key success factors

From the 56 respondents, 43% were neutral (neither agreed nor disagreed) to the statement that continuous business review meetings were held to assess the performance against the key success factors, 23% strongly disagreed with the statement, 20% agreed, while 14% strongly agreed with the statement. A 14% of the respondents did not respond to the question.

Faculties were assessing the performance through stakeholder survey

From the 58 who responded, 38% were neutral (neither agreed nor disagreed) with the statement that faculties were assessing the performance through stakeholder survey, 29% strongly disagreed, 26% agreed, while 7% strongly agreed with the statement. However, 11% of the respondents did not respond to the question.

Periodic re-assessment of the institutional environment were done

From 56 respondents, 30% strongly disagreed with the statement periodic re-assessing the performance through stake holder survey whereas 30% neither agree nor disagree to the statement, while 27 % agreed and 27% strongly agreed. However, 14% of the respondents did not respond to the question.

Regular consultations were held with the campus community to ascertain their views on the progress made

From 57 respondents, 45% strongly disagreed with the statement that regular consultations were held with the campus community to ascertain their views on the progress made, 30% indicated being neutral (neither agreed nor disagreed), while 21% of the respondents agreed and 4% strongly agreed with the statement. A 12 % of the respondents did not respond to the question.

The study revealed that the mainstream of the respondents totalling 37% responded positively to the statement that strategy implementation guidelines and framework were developed and measured against the objectives of the strategic plan. The majority (43%) was neutral (neither agreed nor disagreed) to the statement that continuous business reviews meetings were held to assess the performance against the key success factors. A majority of 38% of the respondents indicated being neutral to the statement that faculties were assessing the performance through stakeholder survey.

The bulk of the respondents, adding to 30%, indicated being neutral to the statement that periodic re-assessments of performance through stakeholder survey and regular consultations were held with the campus community to ascertain their views on the progress made, while another 30% also rated the same statement as neutral (neither agreed nor disagreed). The highest number of 45% were obtained from respondents who strongly disagreed with the statement that regular consultations were held with the campus community to ascertain their views on the progress made.

4.2.1.3.23. Roles played by internal and external stakeholders during the review and monitoring process of the strategic plan

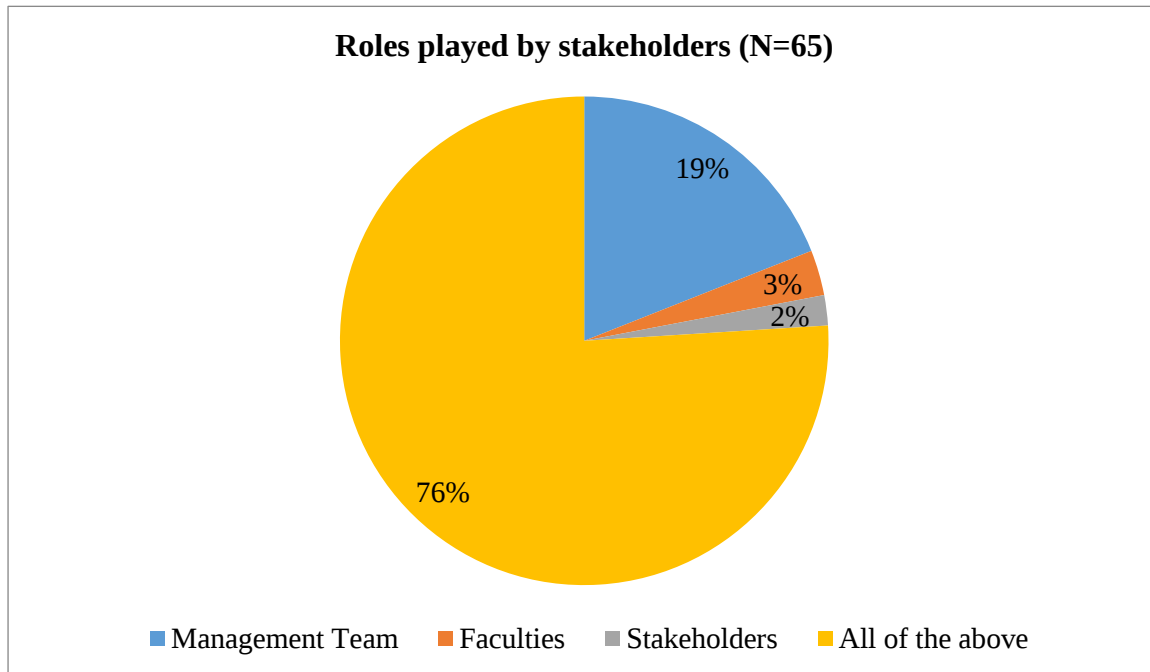


Figure 4.22: Roles played by stakeholders

Respondents were asked to indicate who between the internal and external stakeholders they thought played an important role during the strategic plan review and monitoring process. Figure 4.22 depicts that out of 65 respondents, 76% indicated that all the above (management team, faculties and stakeholders) played an important role during the strategic plan reviewing and monitoring process while 19% stated that the management team played an important role. The study revealed that the majority of respondents were of the opinion that the management, faculty staff and external stakeholders played an important role during the reviewing and monitoring process of the strategic plan.

4.2.1.3.24. Key objectives accomplished according to the strategic plan

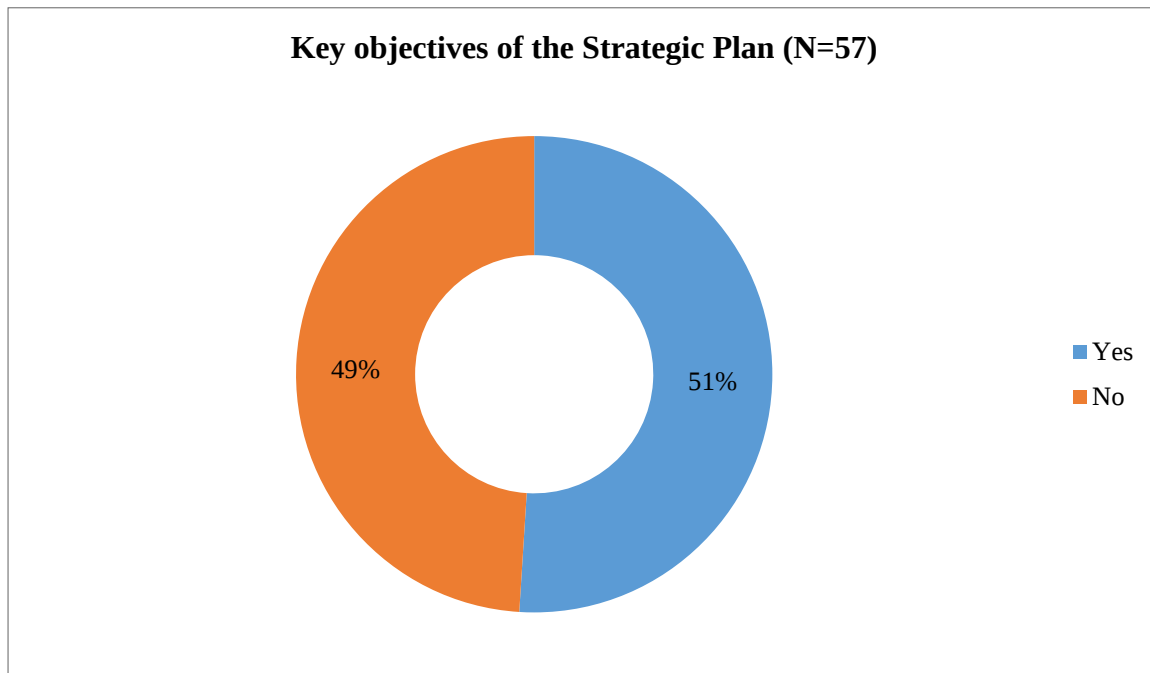


Figure 4.23: Key objectives accomplish according to the fourth 2011-2015 Strategic Plan

Respondents were asked to indicate key objectives/themes, which they were expected to accomplish. This question was asked to determine whether the respondents' responsibilities were in line with the strategic objectives. Figure 4.23 shows that from the 57 respondents, 51% indicated they could identify 3-5 key objectives their positions were expected to accomplish according to the strategic plan, while 49% could not identify any key objectives. A 12% of the respondents did not respond to the question.

The results indicate that the majority of the respondents (51%) responded positively to the question and was able to mention some of the key objectives/themes which were to promote access to digital collection, enhance access to resources and records, increase research output, improve stakeholder satisfaction, promote access to higher education, improve stakeholder

engagement, provide leadership within departments, improve pass rate, improve communication, improve marketing of programmes and improve on cost effectiveness.

4.2.1.3.25. Statements on purpose and use of the Strategic Plan

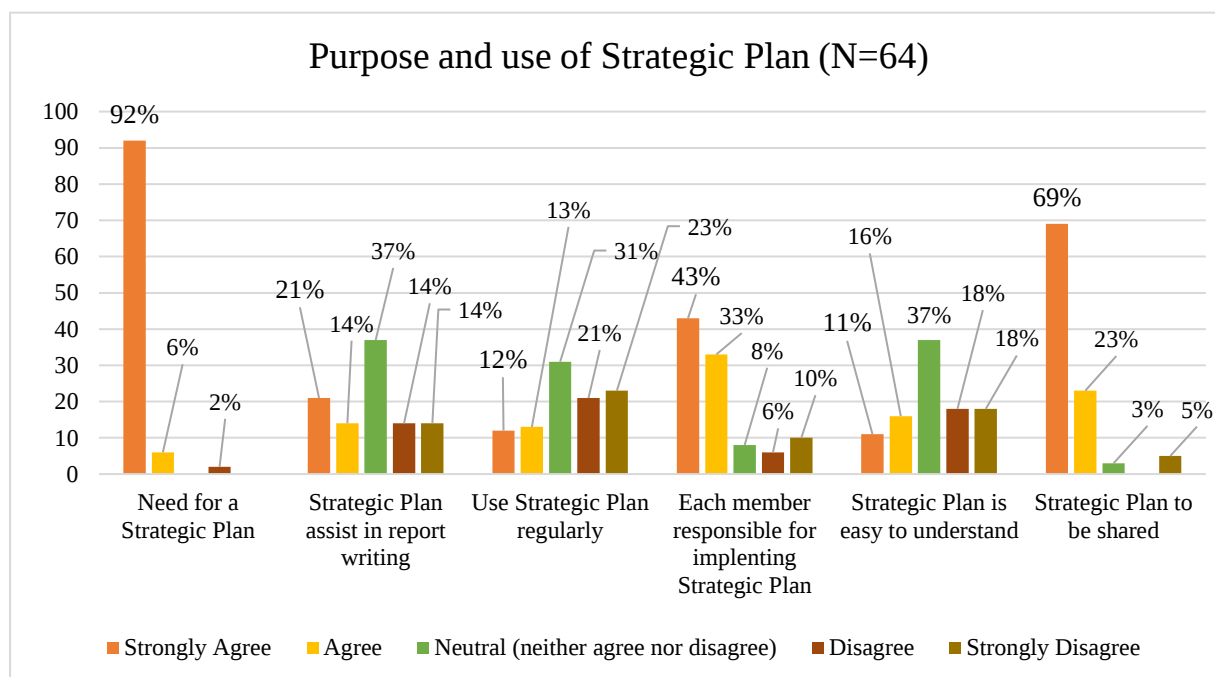


Figure 4.24: Statements on purpose and use of the strategic plan

Respondents were asked to indicate the need and usefulness of the strategic plan in their day to day routines.

It is necessary for the University of Namibia to have strategic plan

As reflected in Figure 4.24, out of the 64 respondents, 92% strongly agreed that it was necessary for UNAM to have a strategic plan, while 6% were not in agreement with the statement, followed by 2% of the respondents who disagreed with the statement. A 2% of the respondents did not respond to the question.

The strategic plan assists me with my annual report writing

From the 63 respondents, 37% indicated that they did not agree nor disagree thus they were neutral that the strategic plan assisted them to compile the annual report. Only 21% strongly agreed that they used the strategic plan to guide them compile the annual report. On the other hand, 14% agreed with the statement, while another 14% disagreed, and the same number (14%) strongly disagreed. A 3% of the respondents did not respond to the question.

I regularly make use of the strategic management plan

From the 62 respondents, 31% were neutral towards the regular use of the strategic management plan, while 23% strongly disagreed. Only 13 % agreed and 12% strongly agreed. A 5% of the respondents did not respond to the question.

Every staff member is responsible for implementing the strategic plan

Out of the 62 respondents, 43% indicated that they strongly agreed that every staff member was responsible for ensuring the implementation of the strategic plan, 33% of the respondents agreed, 10% strongly disagreed and 6% disagreed, while 8% were neutral. A 5% of the respondents did not respond to the question.

The strategic plan is easy to understand and use

Figure 4.24 further indicates that from the 62 respondents, 37% respondents indicated they did not agree nor disagree that the strategic plan was easy to understand and use. Only 18% of the respondents disagreed, while the same percentage of 18% disagreed with the statement. The

remaining 16% and 11% of the respondents, agreed and strongly disagreed with the statement, respectively. A 5% of the respondents did not respond to the question.

Copies of the Strategic Management Plan should be shared with all members of staff

Out of the 61 respondents, 69% strongly agreed that each member of staff receives copies of the university strategic management plan, followed by 23% who agreed with the statement while 5% and 3% of the respondents strongly disagreed and disagreed with the statement, respectively. A 6% of the respondents did not respond to the question.

The results show that most respondents (92%) agreed that the university needed a strategic plan, since it was an action plan, stating where the institution is and where it wanted to be in the future. Under the statement that states that the strategic plan assists with annual report writing, most respondents indicated that they neither agreed nor disagreed with the statement.

The study further reveals that 31% of the respondents neither agreed nor disagreed that they do not make regular use of the strategic management plan. Then 43%, being the majority, strongly agreed that each individual staff member was responsible for implementing the strategic plan. Only 37% of the respondents stated that they neither agreed nor disagreed that the strategic plan was easy to understand and use. Figure 4.24 concluded with the majority 69% who strongly agreed that the copies of the strategic management plan be shared with all entire members of staff.

4.2.1.3.26. Cascading of the strategic plan into an operational plan and implementation

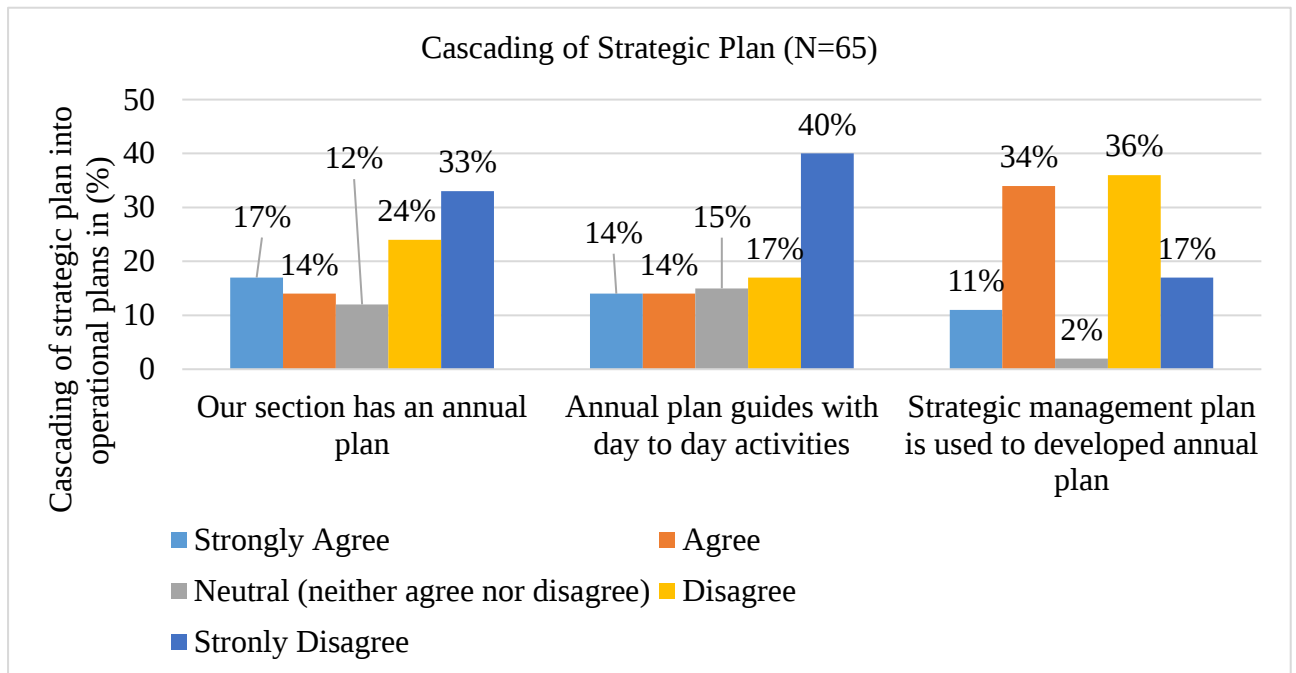


Figure 4.25: Cascading of strategic plan into on operational plan and implementation

After identifying the need and use of the strategic plan in Figure 4.24 above, respondents were asked to state how the objectives of the strategic plan were broken down into the operational plans and implemented thereafter. This was done as an attempt to establish whether there was a link between this question and the one above.

Figure 4.25, therefore, shows the areas into which the strategic plan was cascading.

We used the strategic management plan to develop the annual plan

As reflected in the Figure 4.25, out of the 61 respondents, 33% strongly disagreed with the statement that each section has an annual plan and 24% disagreed, while 17% strongly agreed and 14% agreed. The remaining 12% were neutral to the statement.

I use the annual plan to guide me through the day to day activities

From the 51 responses, 40% strongly disagreed that the annual plan was used to guide day to day activities and 17% disagreed, while 14% strongly agreed, 14% agreed and 15% were neutral (neither agree nor disagree).

Our section has an annual plan

Out of the 58 respondents, 36% disagreed with the statement that the strategic management plan was used to develop the annual plan and 17% strongly disagreed while 34% agreed, 11% strongly agreed and 2% were neutral (neither agree nor disagree) to the statement.

The results, therefore, reveals that of 33% strongly disagreed, thus stated that sections do not have annual plans, while 40%, a majority of respondents, strongly disagreed with the statement that the strategic management plan guided them in their day to day activities, while 36% disagreed and indicated that the strategic management plan was not used to develop their annual plan.

4.2.1.3.27. Constraints hindering implementation of the fourth (2011-2015) Strategic Plan

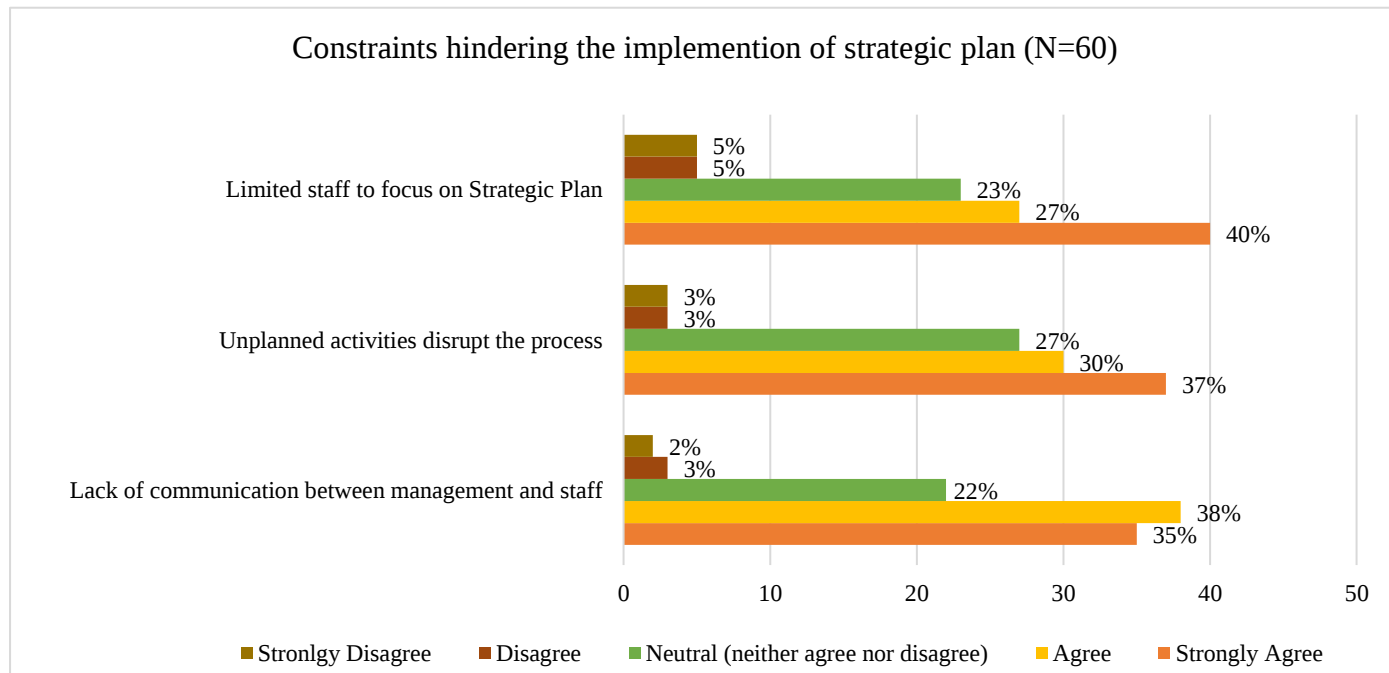


Figure 4.26: Constraints hindering implementation of the fourth (2011-2015) Strategic Plan

Respondents were asked to indicate in what way the elements mentioned in Figure 4.26 contributed towards the implementation of the strategic plan.

There is not enough time for staff to focus on the strategic plan

Figure 4.26 shows that from 60 respondents, 40% strongly agreed with the statement that there was not enough time for staff to focus on the strategic plan, while 27% agreed with the statement, only 23% indicated being neutral, followed by 5% who strongly disagreed, with the remaining 5% disagreeing that time was the factor that hindered the implementation of the strategic plan. A 8% of the respondents did not respond to the question.

There were too many unplanned activities that disrupted the process

From the 60 responses received, 37% strongly agreed that one of the factors which had a negative influence on the implementation of the strategic plan were unplanned activities and 30% agreed that unplanned activities were indeed the reason why the plan could not be implemented, while 27% of the respondents could not agree nor disagree. Of the 60 responses, 3% strongly disagreed while 3% disagreed with the statement that unplanned activities interrupted the successful implementation of the strategic plan. A 8% of the respondents did not respond to the question.

There was a lack of communication between management and staff members

Out of the 60 respondents, 38% agreed by stating that the implementation of the strategic plan was limited by lack of communication between management and staff members while 35% strongly agreed. Of the 60 responses, 3% of the respondents disagreed and 2% strongly disagreed, that lack of communication from the top down hindered the implementation of the strategic plan. However, 3% of the respondents did not respond to the question.

The study revealed that the majority adding to 40% strongly agreed that objectives could not be achieved due to limited time while 37% stated that the implementation was also hindered by too many unplanned activities. The study concluded with 38% respondents who agreed that the absence of proper communication between management and staff members affected the implementation of the strategic plan.

4.2.1.3.28. Impact of Strategic Plan on the efficient and effective delivery of services

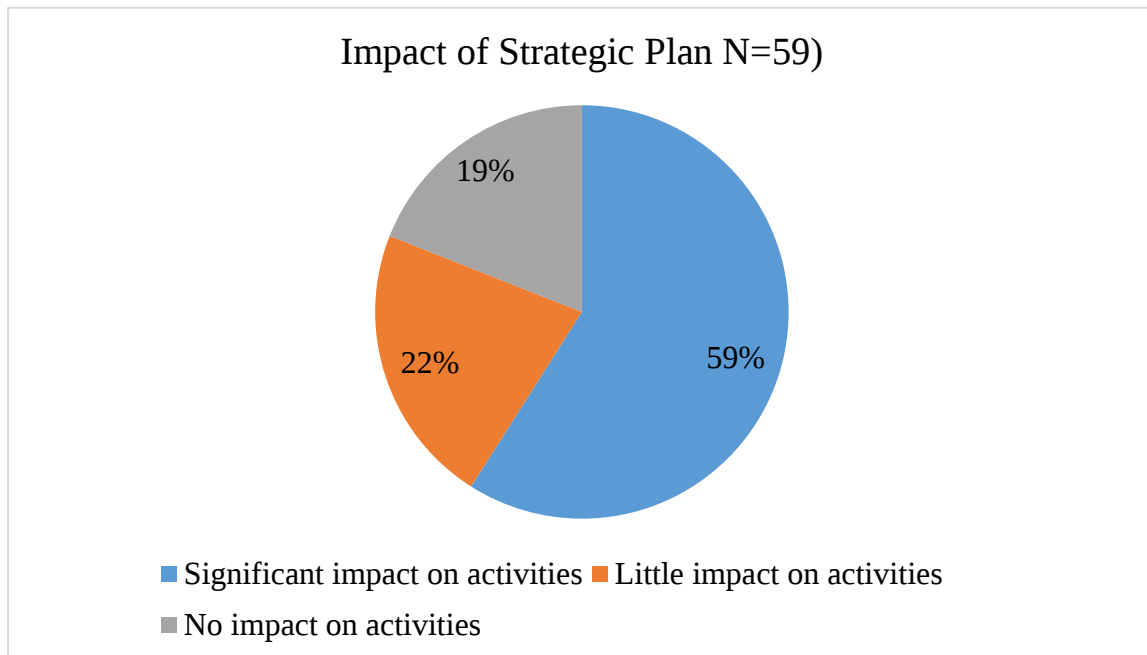


Figure 4.27: Impact of Strategic Plan on the efficient and effective delivery of services

Respondents were asked to indicate how the strategic plan objectives contributed towards faculties, departments and centres/units mandate. The aim of the question was to establish whether the faculties/department/centres/units selected specific objectives from the strategic plan and used them to assess how the plan impacted on their functions and objectives.

Figure 4.27 depicts that out of the 59 respondents, 59% indicated that the strategic plan had a significant impact on faculty departmental activities in terms of efficient and effective delivery of services, 22% indicated that the strategic plan had little impact on faculty departmental activities, while 19% indicated that the plan had no impact on faculty departmental activities. However, 9% of the respondents did not respond to the question.

The results, therefore, reveal that 59% of the respondents indicated that there was a considerable improvement in service delivery within faculties and departments, while 19% (a minority) indicated that they did not witness any positive contribution within their faculty departments in relation to the objectives of the strategic plan.

4.2.1.3.29. Significant improvement in service delivery attributed to the implementation of the Strategic Plan (2011-2015)

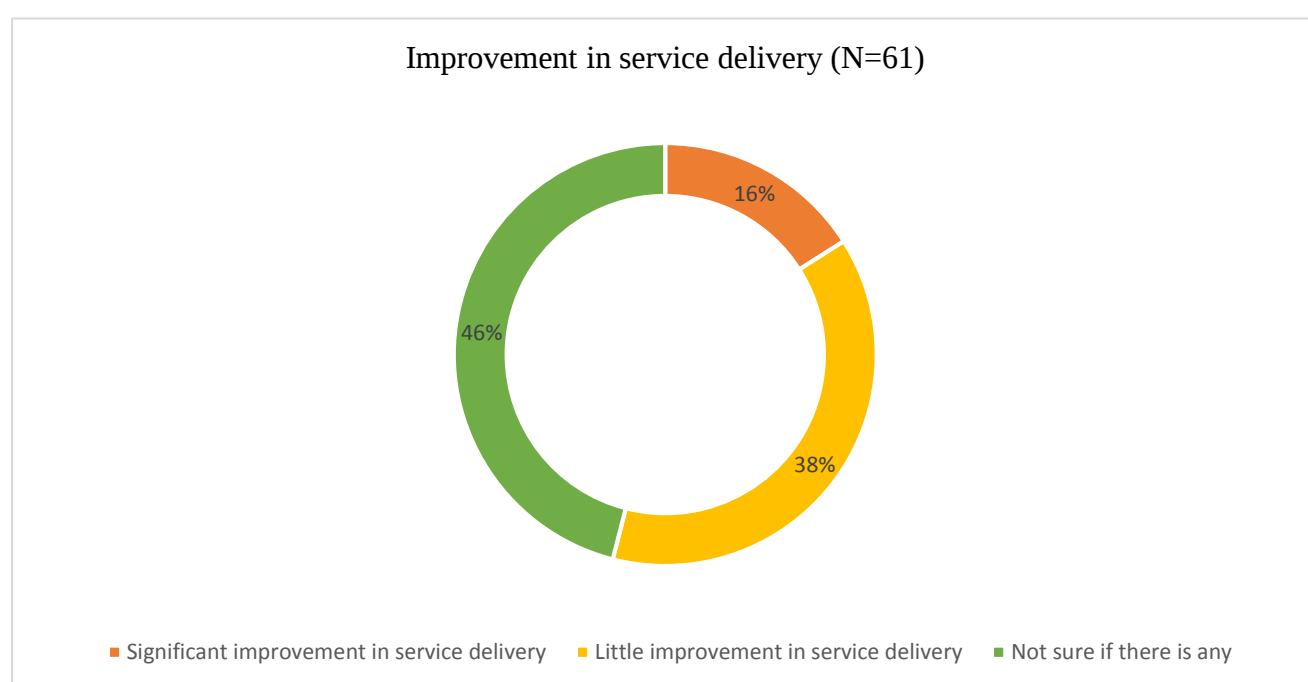


Figure 4.28: Significant improvement in the service delivery attributed to the implementation of the Strategic Plan (2011-2015)

Respondents were asked to indicate the key issues that contributed significantly to general service provision of the university to stakeholders and the community at large. Figure 4.28 depicts that out of 61 respondents, 46% were unsure how the university's strategic plan improved on the aspect of service delivery to stakeholders and to the public/community. Only 38% indicated that little improvement was observed in service delivery. On the other hand,

16% indicated that there were significant improvements in service delivery. However, 6% of the respondents did not respond to the question.

The results, therefore, reveal that the majority of respondents (46%) were not aware of any improvement in terms of general service delivery to stakeholders at the institution.

4.2.1.3.30. Frequency of Strategic Plan review for monitoring and evaluation

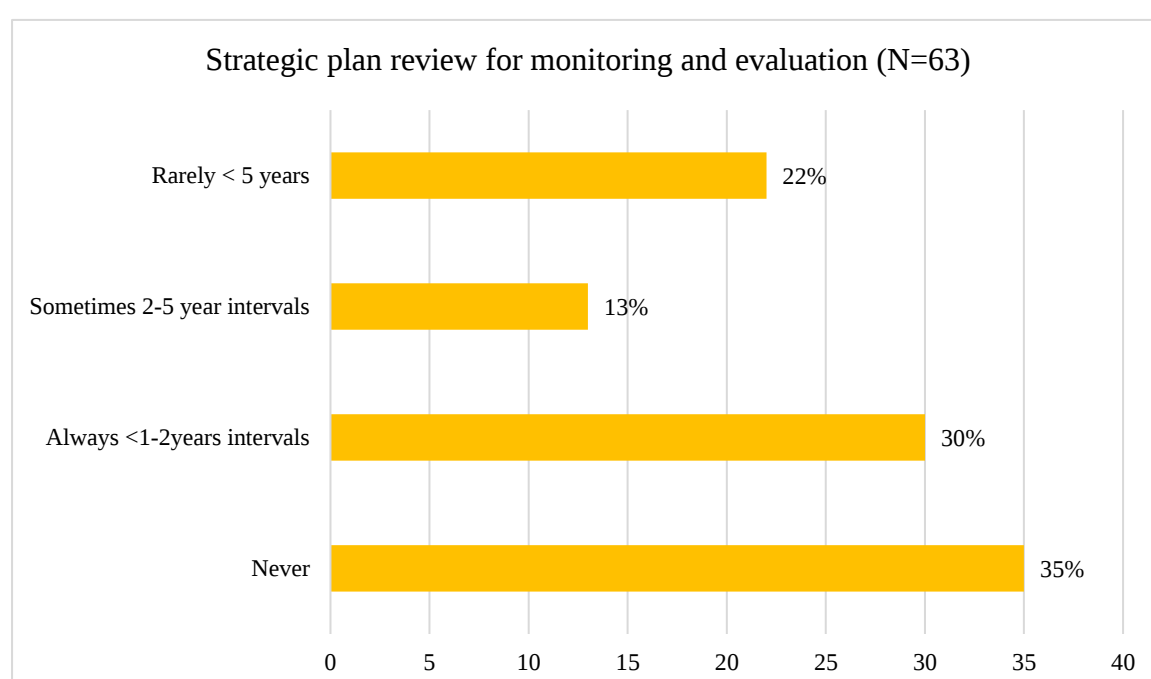


Figure 4.29: Frequency of strategic plan review for monitoring and evaluation

Respondents were asked to indicate the intervals at which the strategic plan was reviewed for the purposes of monitoring and evaluation, from the time it was initiated. Figure 4.31 depicts that from 63 respondents, 35% indicated that the strategic plan was not reviewed for the purpose of identifying the challenges to develop ways and means to address the challenges, at the same time it looked at achievements and at continuously improving on the achievements.

Of the 63 responses, 30% indicated that the monitoring and evaluation was done between year one and two, 22% indicated that the monitoring and evaluation hardly took place within the five-year period while 13% of the respondents indicated that monitoring and evaluation was done at some point between year two and five. However, 3% of the respondents did not respond to the question.

Informant 1: *“The reporting takes place twice a year. First one, we call a mid-term review, where we have to report to Council on what we have achieved, and what we have not achieved, so that we can put measures in place to overcome the challenges that we were facing in order to realise the goals set . The second one takes place towards the end of the year. So, review is important”* (personal communication, October 26, 2017).

Informant 2: *“No idea, sorry, no idea and it is sad to say that. Particularly from my office, it is sad. It is very sad and that is part of the problem. The fact that I cannot answer you on that is part of the problem”* (personal communication, October 30, 2017).

Informant 3: *“We do the monitoring and evaluation twice a year. Why? Because we have two semesters. At every end of the semester, we are monitoring and evaluation by looking at what was achieved and provide the report at the end of the second semester to the executive – management”* (personal communication, November 7, 2017).

The study revealed that most respondents (35%) indicated that the plan was never measured against any achievements and challenges, while response gathered from Informants 1 and 3 support each other indicating that the monitoring and evaluation process took place twice in a year.

4.2.1.3.31. Communication of strategic plan review results

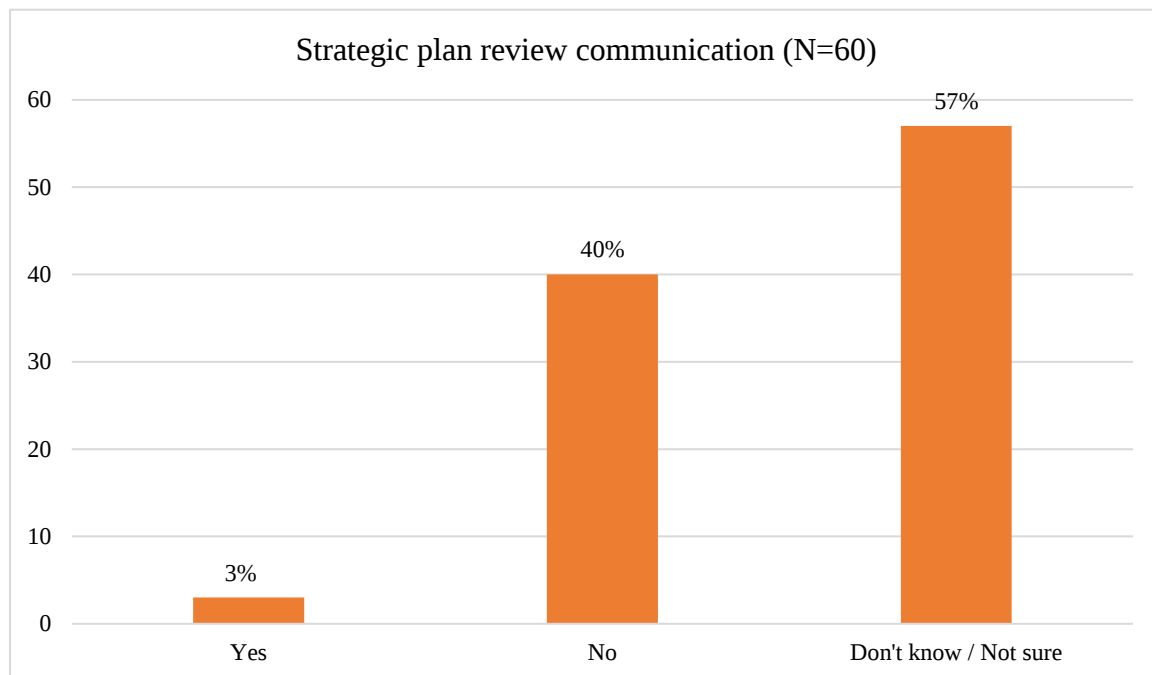


Figure 4.30: Communication of strategic plan review results

Respondents were asked to indicate the availability of strategic plan review results. Figure 4.30 depicts that out of 60 respondents, 57% indicated that they were not aware of the review outcomes that were shared with members, while 40% indicated having no clue of the results. Only 3% indicated they were aware of such results/outcomes, which were communicated. However, 8% of the respondents did not respond to the question.

The results show that the majority of the respondents (57%) stated that they did not know or were not aware about the review outcomes/results.

4.2.1.3.32. Corrective actions taken in response to the results

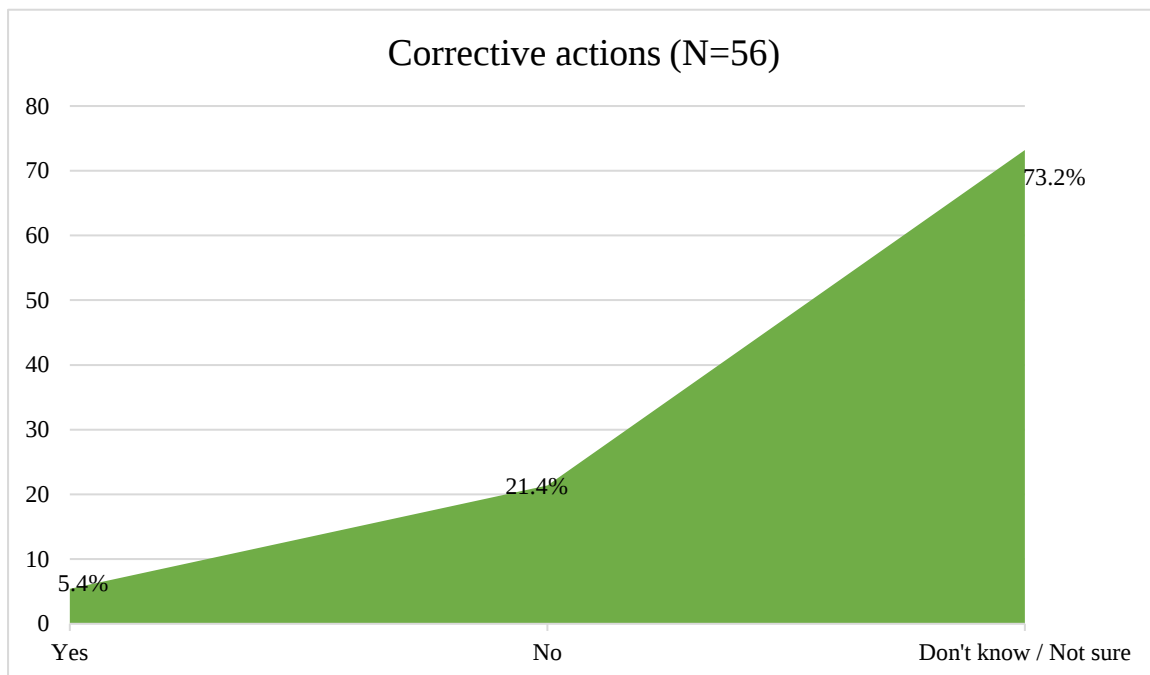


Figure 4.31: Corrective actions taken in response to the results

Respondents were asked to indicate whether they could confirm any action taken in relation to results/outcomes of the strategic plan process check out. The question was necessitated by the need to establish where improvement was required, whether it was incorporated or simply parked.

Figure 4.31 depicts that out of 56 respondents, 73.2% indicated that they did not know or were unsure whether corrective measures were taken on aspects requiring action, while 21.4% indicated that they were sure no action was taken. Only 5.4% of the respondents indicated that corrective actions were indeed taken to address the outcome of the objectives reviewed. However, 9% of the respondents did not respond to the question.

The study shows that the majority of the respondents (73.2%) indicated they did not have any idea of the measures taken, while the minority (5.4%) responded positively to the question.

4.2.1.3.33. Capacity building and growth

The purpose of this section of the questionnaire was to establish whether the institution provided necessary training to build and maintain skills, infrastructure and resources to achieve its strategic plan.

4.2.1.3.34. Capacity building provision

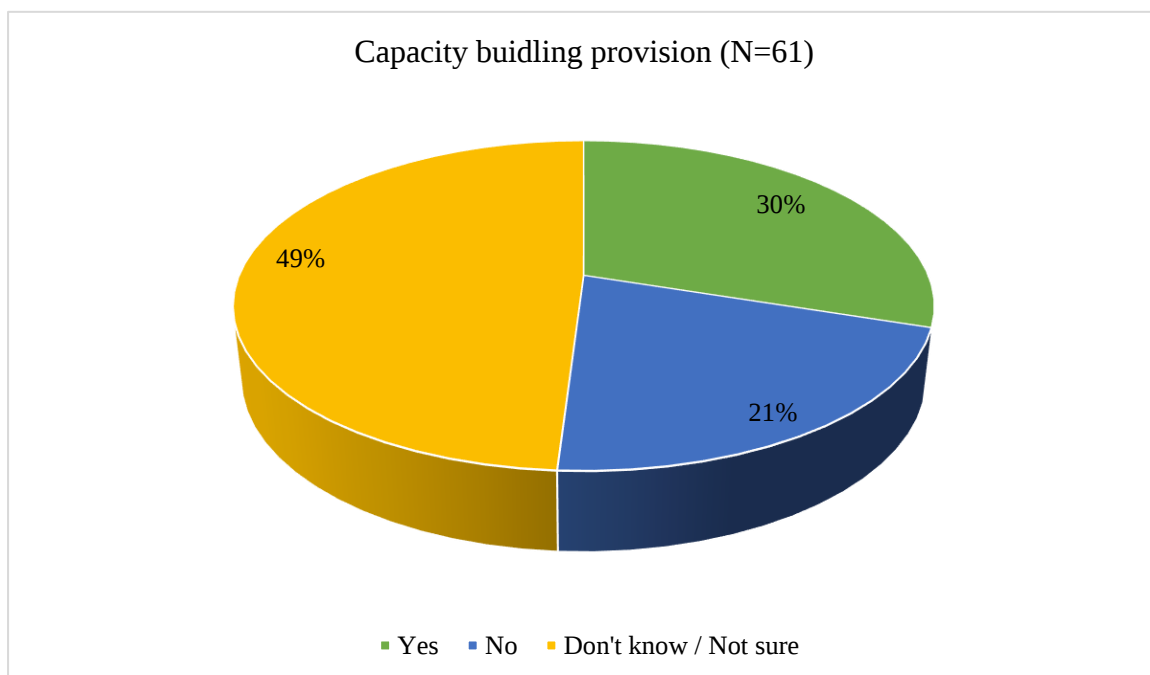


Figure 4.32: Capacity building provision

Respondents were asked to indicate if any training opportunities were availed during the strategic planning process to all respondents. The question was asked to establish whether capacity building to implement the strategic plan was in place.

From the 61 respondents, 49% stated that they did not know or were unaware of any training in the form of skills transfer to enable staff members to successfully participate in any strategic planning process, 30% indicated training opportunities were provided, while 21% stated that was no capacity building opportunities provided to enable staff members to participate in the strategic planning process. However, 6% of the respondents did not respond to the question.

Thus, the study revealed that a majority (49%) of the respondents indicated not being aware of capacity-building provisions during the planning process.

4.2.1.3.35. Capacity building and growth measure

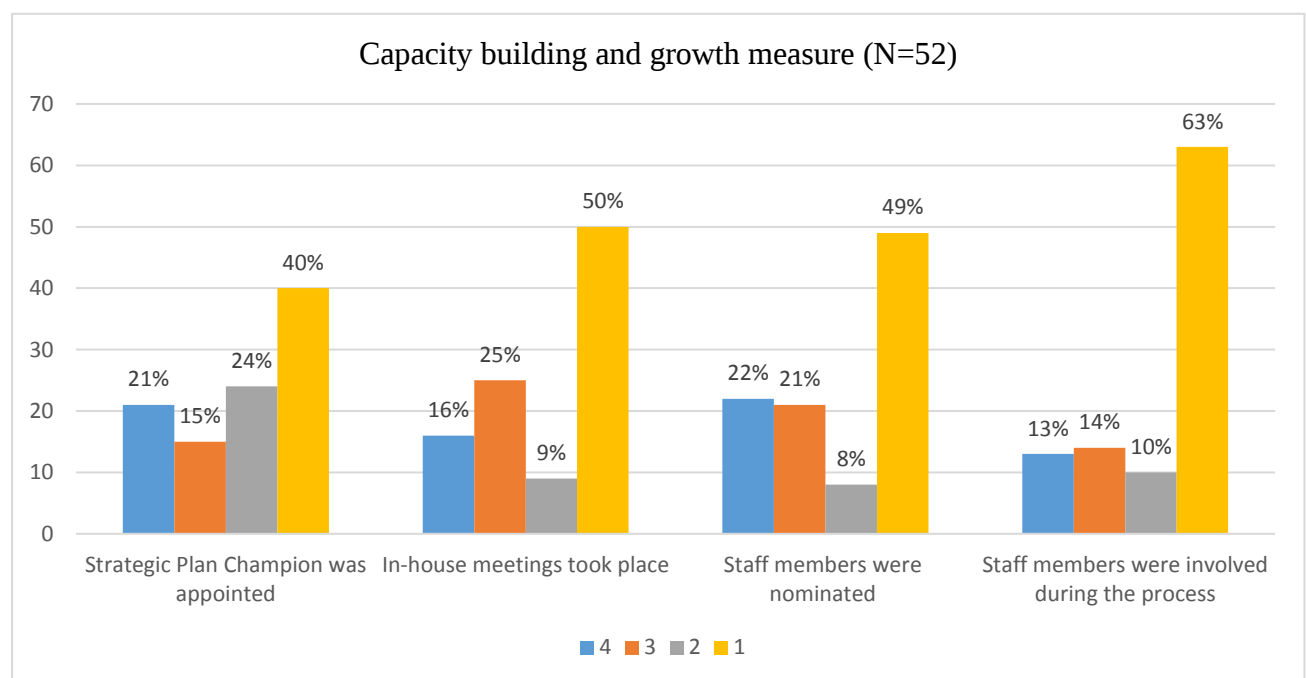


Figure 4.33: Capacity building and growth measure

Respondents were asked to indicate the key elements that could serve as capacity building and growth measures.

A champion was appointed to co-ordinate the process on a rotational basis

Figure 4.33 illustrates that from 52 respondents, 40% indicated that the capacity building and growth measures in terms of appointing a champion to coordinate the process on a rotational basis, giving it a rating of 4, which represented the highest rating on a scale of 1-4, while 15% gave a score of 1, which represents the lowest rating. However, 20% of the respondents did not respond to the question.

In-house meetings were held where staff members were informed on the progress with regard to strategic planning until the actual implementation

From 56 respondents, 50% indicated that the in-house meetings were held where staff members were informed on the progress with regard to strategic planning until the actual implementation stage was rated 1, which represents the lowest score on a scale of 1-4 while 16% gave the highest rating of 4. However, 14 % of the respondents did not respond to the question.

Staff were nominated and empowered through active participation during the strategic planning process

From 53 respondents, 49% gave the lowest rating of 1 to the statement that staff were nominated and empowered through active participation during the strategic planning process while 22% gave the statement the highest of 4 on a scale of 1-4. However, 18 % of the respondents did not respond to the question.

All staff members were involved during the planning and execution

From 53 respondents, 63% indicated a lowest rating of 1 to the statement that all staff members were involved during the planning and execution while 13% gave the statement the highest rating of 4 on a scale of 1-4. However, 18% of the respondents did not respond to the question.

The study revealed that in all the four statements the majority of the respondents (40%, 50%, 49% and 63%) rated the capacity growth measures within the institution in relation to the strategic planning process as lowest and indicated as such in Figure 4.33.

4.2.1.3.36. Rating of capacity building efforts

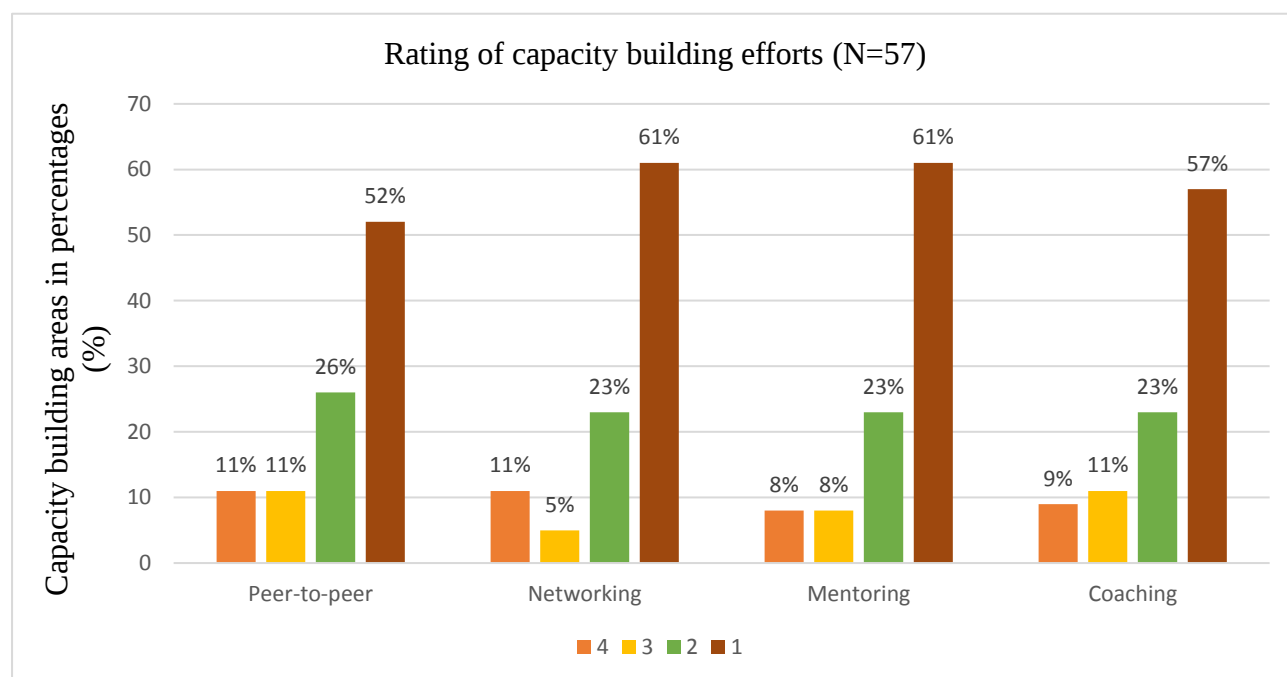


Figure 4.34: Rating of capacity building efforts

Respondents were asked to indicate the key elements the institution considered as an intervention to capacitate all members of staff.

Peer-to-peer knowledge, skill, resources and tools were shared that allowed for motivation to change

As reflected in Figure 4.34, from 57 respondents, 52% indicated capacity building among staff members (peer-to-peer), which focuses on knowledge, skills, resources and tools were shared to allow for motivation for change, giving it the lowest rating of 1 while 11% of the respondents gave the highest rating of 4. Meanwhile, 12% of the respondents did not respond to the question.

Networking: Groups of acquaintances and associates were created and kept active through regular communication for mutual benefit

From the 56 respondents, 61% gave the element of networking, which stipulates that the groups of acquaintances were created and kept alive through regular communication for mutual benefit, the lowest rating of 1 while 11% gave a rating of 4, which represents the highest score. However, 14% of the respondents did not respond to the question.

Mentoring: Succession plans were in place during the period under review to allow continuity of faculty and departmental management planning process

From the 52 respondents, 61% gave the element of mentoring, which looked at the aspect of succession plan that was in place during the period under review to allow continuity of faculty and departmental management planning processes, the lowest rating of 1 while 8% of the respondents gave the statement a rating of 4, which represents the highest on a scale of 1-4. Meanwhile, 20% of the respondents did not respond to the question.

Coaching: A number of in-service training and guidance programmes were provided during the period under review management and subordinates

From 53 respondents, 57% indicated that the statement on coaching stating that a number of in-service training and guidance programmes were offered during the period under review to management and subordinates was rated on a scale of 1-4, 1 being the lowest and 4 the highest. Only 9% of the respondents gave the statement the highest rating of 4. However, 18% of the respondents did not respond to the question.

The study revealed that different capacity building effectors, as reflected in the Figure 4.34, were all rated lowest by most respondents with percentages of 52%, 61%, 61% and 57% in the order of presentation in the Figure 4.34.

4.2.1.3.37. Capacity building for succession

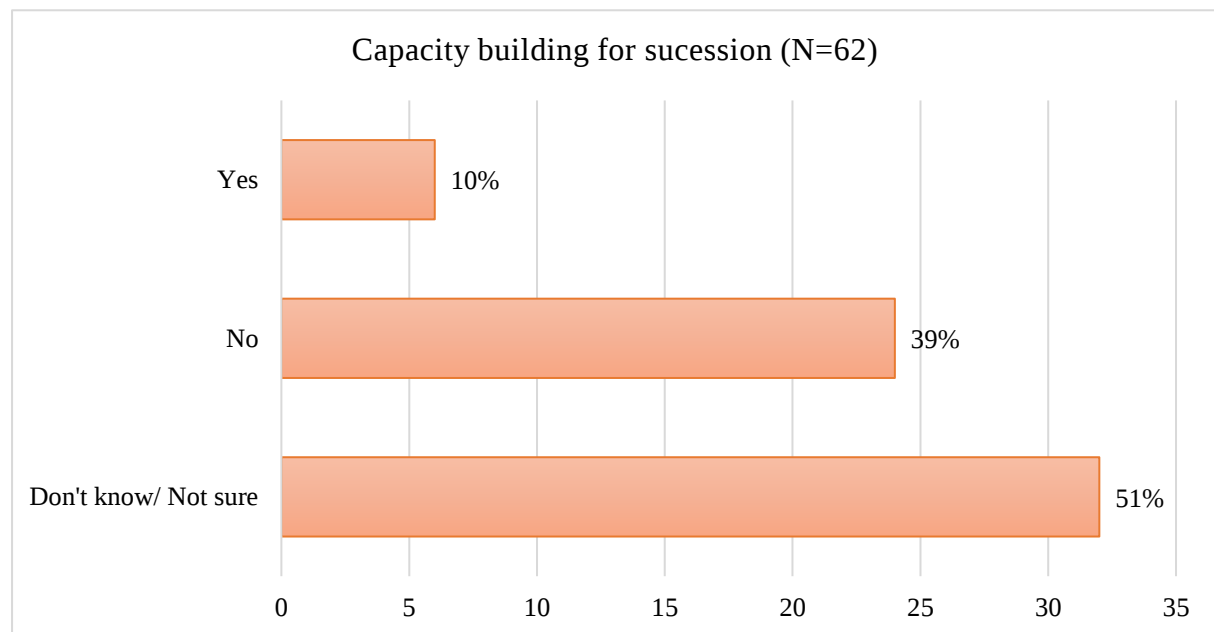


Figure 4.35: Capacity building for succession

Respondents were asked to indicate whether there were any capacity-building efforts made by the institution in the following areas: knowledge, skills, resources and tools that allowed for motivation to change to establish whether groups of acquaintances and associates were created and kept active through regular communication for mutual benefit. Succession plans were in place during the period (2011-2015) under review to allow staff member continuity of the faculty and departmental strategic management planning process. Management offered several in-service training and guidance programmes to subordinates during the period under review.

Figure 4.35 shows that from 62 respondents, slightly more than half (51%) responded that they did not know or were unsure of any capacity building that took place in the above-mentioned areas. Less than 50 respondents (39%) stated that they were no capacity building efforts made, while only 10% responded positively to the question and 5% of the respondents did not respond to the question.

The results, therefore, reveal that the majority of the respondents were not aware of any succession plan in place within the institution in light of the strategic management planning process. This is substantiated by data collected from key informants. Informant 2 had a specific opinion on this question. *“I do not think capacity building is happening, or, let me say, it is not happening effectively.”*

4.3. Chapter Summary

In this chapter, the data collected via questionnaires and interviews were analysed and the results were presented in graphs while findings from interviews were transcribed and integrated into the main themes, since the interviews were meant to confirm the findings from the questionnaires. The data were analysed and presented in line with the research objectives.

CHAPTER 5: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

5.1. Introduction

The previous chapter analysed and presented the results of data obtained through questionnaires and interviews. This chapter provides the summary, draws conclusions and makes recommendations from the main theme results, according to the research objectives.

UNAM has articulated a set of strategic objectives to guide its growth and development for the next five years and the strategic objectives derived from the strategic plan need to be implemented, monitored and evaluated. With this in mind, this study aimed at assessing the effectiveness of the implementation process of the strategic plan at UNAM and to establish what measures were put in place to ensure the implementation of the strategic plan. Based on the data analysis, the researcher was able to come up with several recommendations to improve the implementation of the strategic planning process, as presented later in the chapter.

Questionnaires and interview schedules were used to collect data. The questionnaires, which were aimed at current employees of UNAM, reflected on issues related to strategic planning and implementation of the fourth Strategic Plan (2011-2015). The interview schedules, which were used to collect data also reflected on issues related to strategic planning and implementation of the Strategic Plan (2011-2015). This was done to confirm the data collected from questionnaires. The respondents of the study were 65.

5.2. Summary

Strategic planning in tertiary institutions helps top management to align resources in the most efficient manner necessary for the attainment of strategic goals and to stay competitive. It is,

therefore, a demanding and dire brainstorming session used by university authorities to steer the affairs of the university. However, this cannot be done in isolation, hence UNAM articulated a set of strategic objectives to guide its growth and development for every five years. It is with that in mind that UNAM developed a number strategic plans to respond to the overarching objectives of national policies such as the NDPs, ETSIP and Vision 2030.

A study done by Nghihangwa (2007) found the strategic planning process and management at UNAM lacking an implementation agent. This study yearned to establish how effective the implementation of the strategic plan at UNAM was since the study carried out by Nghihangwa almost 10 years ago. This study, therefore, aimed at assessing the effectiveness of the implementation of the fourth Strategic Plan (2011-2015) of UNAM.

Despite having what appears to be a good strategic plan, the institution has faced a number of challenges in achieving the strategic objectives of the plan. In drawing conclusions from the responses of participants, the section that follows attempts to answer and give recommendations guided by the research objectives indicated in Chapter 1 of this study. These research objectives were to:

5.2.1. Assess the effectiveness of coordination and communication during the strategic planning process

This section in the questionnaire was to establish the effectiveness of the strategic planning process at UNAM in terms of coordination and communication towards the development of the plan. The purpose of this section in the questionnaire was also to establish how well the strategic planning process was carried out and whether the respondents participated in the process.

The data collected and analysed, as shown in Figure 4.3, revealed that 65% of the 42 respondents indicated that the strategic planning process was participatory. Data obtained from the key informants also confirmed that the process was inclusive.

Although the process was inclusive and participatory, it was limited to specific groups of staff members, who are at managerial levels within faculties and centre/units, such as the deans, deputy deans, directors and deputy directors, thus excluded those at lower level such as the general administrative and academic staff. It was also observed that the inclusivity was very high at departmental level but lower at bigger strategic planning workshop meetings.

The study further revealed that participation at the university-wide workshops was only limited to the gathering of required information. As indicated in Figure 4.5, the study further revealed that most respondents, representing 38% of the 42 participants, indicated that the sharing of important information related to strategic planning issues was moderate (neither effective nor ineffective) while strategic planning coordination and communication was poorly done. This, therefore, is against the requirements of improved coordination and communication in the works of Simerson (2011) and Ivancevich et al. (1997) that “effective communication and coordination are some of the keys to a successful strategic planning”. while Ivancevich et al. (1997) state “coordination among different stakeholders is essential to receive valuable feedback on successful efforts and on areas that requires improvement. Therefore, communication in strategic planning is crucial as it is the vehicle through which relevant information is transferred”.

5.2.2. Establish the role UNAM's stakeholders played during the planning process of the Strategic Plan (2011-2015)

This section looked at the role played by the external stakeholders during the planning process as well as the stage at which the stakeholders were involved. It also looked at how valuable the contributions of the stakeholders were and to what extent the inputs of the external stakeholders were captured and included in the 2011-2015 Strategic Plan.

The data collected from the questionnaires and interviews revealed that external stakeholders play a vital role, since the institution needs a buy-in from the stakeholders, especially from the Government of Namibia which is the main financial provider. This is supported by the reflections in Figure 4.16 where 65% of the 62 respondents indicated that the external stakeholders should be involved from stage 1 to stage 5. In support of this, Ehlers and Lazenby (2013) allude that the involvement of stakeholders in the step-by-step process of developing the institution's strategic plan can help the institution achieve broad support among diverse constituents.

The research further revealed that even though the stakeholder involvement was very important, 58% of the respondents in Figure 4.18 indicated they were uncertain whether the inputs were included in the strategic plan. This is supported by the response received from key Informant 2, stating that: *"We are not listening to the people. We are not seeking to do what they really want and we are always not incorporating what they are saying."*

This is, therefore, against the view of Ehlers and Lazenby (2013) that external stakeholders should be involved in the step-by-step process during the development of an institution's strategic plan and help the institution achieve broad support among diverse constituents.

Therefore, the study concluded that the stakeholders' views were not captured or included during the strategic planning process, since the study could not find any evidence of stakeholder contributions that were incorporated during the planning process.

5.2.3. Assess how monitoring and evaluation was developed to ensure effective and efficient implementation of the strategic plan

This section in the questionnaire addressed the aspect of the strategy implementation, monitoring and evaluation process. The section was to establish whether all the objectives of the strategic plan were achieved, why it could not be achieved and what factors were contributing to the failure to achieve the objectives and the correctional measures that are in place to ensure that all objectives in the plan are achieved.

From the data collected through questionnaires, Figure 4.19 shows that 42% of the 65 respondents indicated that the strategic plan was poorly implemented. From the explanation given under question 20 and 21, respondents indicated that the poor implementation of the plan was due to a number of factors, such as lack of resources, lack of strategic leadership, lack of proper communication, non-involvement of stakeholders, lack of training, decision-making of top-down approach, high workloads, lack of a monitoring and evaluation system, too many unplanned activities, and non-monitoring of performance of staff. Some of the above-mentioned factors, such as funding, high workloads, unplanned activities and absence of performance management systems were also indicated by the key informants as factors that hindered the implementation of UNAM's Fourth Strategic Plan.

This is supported by previous studies such as one by Deogratius (2009), which stated that Tumaini University in Tanzania could not successfully implement strategic plans due to stringent budget allocation, lack of coordinated efforts by the faculties and departments, failure of management to sensitise employees about strategic planning, and lack of communication and satisfactory commitment by top management. In support of that, Jooste and Fourie (2009) looked at the strategic plan implementation in the context of African culture and also evaluated the factors and reasons of failure of such strategic planning in African countries.

They argued that there were many organisations, which have vigorous strategies but lack implementation success due to lack of commitment by the policymakers and lack of strategic leadership, resulting in strategies failing to generate fruitful results. Mapetere et al. (2012) also found that failure of the strategic plan implementation despite the best strategies in Zimbabwe were attributed to negative leadership behaviour, which shows that the strategy executive people were not liable as they were less committed to the strategy. In support of the foregoing, the importance of communication in strategy implementation is also emphasised by Quirke (1996, p. 86), who states that management must spend time communicating with staff to reduce the resistance normally encountered during the strategy implementation phase.

The university's fourth strategic plan follows the BSCF, which required the institution to translate its strategy into operational objectives that drive performance and behaviour. The study also looked at the strategy themes under which the plan was developed to establish whether some of the themes were achieved. Data collected and presented in Figure 4.19 shows that the first theme on operational management, which focused on customer –improve students and staff welfare, indicated that 38% of the 65 respondents stated that the theme was not achieved. The data collected on the second strategic theme on teaching and learning focusing

on customer – improve quality of teaching and learning revealed that 46% of the 65 respondents indicated that the objective of the theme was achieved.

The data on the third theme, research and development addressing the issue of increased and broader research output indicated that 42% of the 65 respondents stated that the objective of the theme was not achieved. Data collected on the fourth theme, stakeholder relations – promote corporate governance, indicated that 48% of the participants indicated the theme was not achieved.

The study, therefore, concludes that based on the data collected only 48% of the respondents, who represented the highest percentage across the four themes, indicated that UNAM only managed to implement and achieve one theme (teaching and learning) during the period under review.

On the aspect of the monitoring and evaluation process, respondents were asked to indicate how the monitoring and evaluation process took place. The researcher asked the question to establish whether there were measures in place that ensured effective monitoring and evaluation to address shortcomings and to continuously improve on achievements. Therefore, Figure 4.21 depicts that out of 56 respondents, 37% agreed to the statement that implementation guidelines and framework were developed and measured against the objectives of the strategic plan. While 43% of the 56 respondents indicated neutral (neither agreed nor disagreed) with the statement that continuous business review meetings were held to assess the performance against the key success factors. From 58 respondents, 38% neutral (neither agreed nor disagreed) with the statement that faculties were assessing performance through stakeholder survey. From 56 respondents, 30% strongly disagreed with the statement that there was periodic re-assessing of performance through stakeholder survey. From 57 respondents, 45%

strongly disagreed with the statement that regular consultations were held with the campus community to ascertain their views on the progress made.

The study revealed that the mainstream of the participants totalling 37% responded positively to the statement that strategy implementation guidelines and framework were developed and measured against the objectives of the strategic plan. While the bulk of the respondents adding to 30% were neutral to the statement of periodic re-assessing the performance through stakeholder survey and regular consultations were held with the campus community to ascertain their views on the progress made.

5.2.4. Establish the adequacy of capacity building and growth in support of strategic planning process

This section sought to establish whether staff members were trained in strategic planning process to transfer skills and whether there were efforts made to ensure a proper succession plan.

Data presented in Figure 4.32 show that from 61 respondents, 49% stated that they did not know or were unaware of any trainings that were provided in the form of skills transfer to enable staff members to successfully participate in any strategic planning process.

To establish the success of measures put in place to ensure the capacity-building efforts, the respondents were provided with four statements, as reflected in Figure 4.33. The study revealed that in all the four statements most respondents (40%, 50%, 49% and 63%) rated the capacity growth measures within the institution in relation to the strategic planning process lowest. The study revealed that different capacity-building effectors, as reflected in Figure 4.34, were all

rated as the lowest by most respondents with percentages of 52%, 61%, 61% and 57% respectively.

The study revealed that most participants were not aware of any succession planning of capacity-building efforts that took place within the institution in relation to the strategic management planning process. This is substantiated by data collected from Informant 2, who claimed *not to be sure of any capacity building happening or happening effectively*.

5.3. Conclusion

The development of national policies (Vision 2030 and ETSIP) required UNAM to step back and take stock of new challenges to become more relevant in the fast-changing national and global development trends. In response to the aforementioned policies, UNAM developed its fourth Strategic Plan (2011-2015) following the BSCF approach. The BSCF was applied because of its capability to translate the strategy into operational objectives that drive both performance and behaviour. This five-year strategic plan sets the strategic destination of the institution and expressed in high level statement namely, mission and vision statement. It is against this background that strategic objectives were formulated, priority initiatives identified and targets set.

However, the study has proven that the same reasons for not implementing the second strategic plan were still re-appearing such as the absence of implementation framework. In addition, the study revealed that even though there is a Strategic and Physical Planning Unit spearheading the strategic planning activities at UNAM, the process was not fully participatory. It also revealed that the strategic plan could not be effectively implemented due to too many unplanned activities, high workload of staff, lack of strategic leadership, lack of commitment,

lack of funding, lack of support and engagement of stakeholders, weak management roles, as well as due to the absence of a performance management system.

The implementation of a strategic plan and management requires a complex set of formal and informal processes and UNAM plays a pivotal role in different areas of strategic planning and management in the Namibian context. Therefore, UNAM's strategic planning and management have an impact on the performance of the university in terms of service delivery to staff and students.

Thus, as highlighted previously, there is an immense range of issues that need to be engaged to ensure that the university effectively implements and manages the strategic plans accordingly. Based on the data collected and analysed, the researcher gives the following recommendations.

5.4. Recommendations

- The study recommends the establishment of a strategic planning committee at the institution to coordinate and communicate the strategic planning process. That this committee be task to ensure the involvement of stakeholders from the beginning to the end of the strategic planning process and implementation thereof. That this committee also serve as the liaison between faculties/centres and units and to ensure effective monitoring, evaluation and implementation of all plans.
- The study recommends the development of a communication plan that will include all staff members as well as stakeholders.

- The study recommends that the Strategic and Physical Planning Unit consider holding faculty/centre/unit specific workshops to ensure carefully designed participation and periodic inputs at all levels.
- The study recommends that the Strategic and Physical Planning Unit in consultation with the University Management provide strategic leadership to empower staff members in order to benefit the successful implementation of the strategic plan.
- The study recommends that the Strategic and Physical Planning Unit in consultation with the University Management develop a strategy to attract young competent teaching staff to supplement the workload of academics.
- The study recommends adequate resourcing and funding of the University by the Government of Namibia as well as the creation of a third income stream to reduce the burden on the government in terms of finances.
- The study recommends that the Strategic and Physical Planning Unit in consultation with the University Management introduce performance management system.

5.4.1. Future research

The study has not covered all UNAM campuses within Namibia. Future studies in this field is necessary as it will explore, in more detail, the implementation of strategic planning and management in the whole of the University of Namibia to improve constraints as identified.

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APPENDIX 1: Ethical Clearance Certificate



ETHICAL CLEARANCE CERTIFICATE

Ethical Clearance Reference Number: FEMS /233/2017

Date: 7 June, 2017

This Ethical Clearance Certificate is issued by the University of Namibia Research Ethics Committee (UREC) in accordance with the University of Namibia's Research Ethics Policy and Guidelines. Ethical approval is given in respect of undertakings contained in the Research Project outlined below. This Certificate is issued on the recommendations of the ethical evaluation done by the Faculty/Centre/Campus Research & Publications Committee sitting with the Postgraduate Studies Committee.

Title of Project: Assessing The Effective Implementation Of The Fourth Strategic Plan (2011-2015) Of The University Of Namibia

Nature/Level of Project: Masters

Researcher: Anne-Marie Biwa

Student Number: 200509691

Faculty: Faculty of Economic and Management Sciences

Supervisor: Prof K Mchombu - International University of Management (IUM)

Take note of the following:

- (a) Any significant changes in the conditions or undertakings outlined in the approved Proposal must be communicated to the UREC. An application to make amendments may be necessary.
- (b) Any breaches of ethical undertakings or practices that have an impact on ethical conduct of the research must be reported to the UREC.
- (c) The Principal Researcher must report issues of ethical compliance to the UREC (through the Chairperson of the Faculty/Centre/Campus Research & Publications Committee) at the end of the Project or as may be requested by UREC.
- (d) The UREC retains the right to:
 - (i) Withdraw or amend this Ethical Clearance if any unethical practices (as outlined in the Research Ethics Policy) have been detected or suspected,
 - (ii) Request for an ethical compliance report at any point during the course of the research.

UREC wishes you the best in your research.

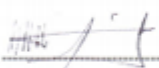
Prof. P. Odonkor: UREC Chairperson

A handwritten signature in black ink, appearing to be 'P. Odonkor', written over a horizontal line.

Ms. P. Claassen: UREC Secretary

A handwritten signature in black ink, appearing to be 'Paula Claassen', written over a horizontal line.

APPENDIX 2: Research Permission Letter

CENTRE FOR POSTGRADUATE STUDIES University of Namibia, Private Bag 13301, Windhoek, Namibia 340 Mandume Ndemutayo Avenue, Pioneers Park ☎ +264 61 206 3275/6662; Fax +264 61 206 3290; URL: http://www.unam.edu.na	 UNAM UNIVERSITY OF NAMIBIA					
RESEARCH PERMISSION LETTER						
Student Name: Anna-Marie Biwa						
Student number: 200509691						
Programme : MBA						
Approved research title: Assessing The Effective Implementation of The Fourth Strategic Plan (2011-2015) of The University of Namibia.						
TO WHOM IT MAY CONCERN						
I hereby confirm that the above mentioned student is registered at the University of Namibia for the programme indicated. The proposed study met all the requirements as stipulated in the University guidelines and has been approved by the relevant committees.						
The proposal adheres to ethical principles as per attached Ethical Clearance Certificate. Permission is hereby granted to carry out the research as described in the approved proposal.						
Best Regards						
 Dr Marius Hedimbi Director: Centre for Postgraduate Studies Tel: +264 61 2063275 E-mail: directorpgs@unam.na	<i>21 June 2017</i> Date					
<table border="1" style="margin: auto;"><tr><td>Centre for Postgraduate Studies</td></tr><tr><td>Office of the Director</td></tr><tr><td>2017 -CG- 21</td></tr><tr><td>University of Namibia</td></tr><tr><td>UNAM</td></tr></table>		Centre for Postgraduate Studies	Office of the Director	2017 -CG- 21	University of Namibia	UNAM
Centre for Postgraduate Studies						
Office of the Director						
2017 -CG- 21						
University of Namibia						
UNAM						

APPENDIX 3: Individual Survey Questionnaire for Academic and Administrative Staff

My name is Anna-Marie Biwa, studying towards a Master of Business Administration at the Namibia Business School within the University of Namibia. I am conducting a study titled “Assessing the Effective Implementation of the Fourth Strategic Plan (2011-2015) of the University of Namibia”.

You have been selected to participate in this study, hence, you are requested to complete this questionnaire. You are not required to provide your personal details for confidentiality reasons. The information you are providing will be used solely for the purpose of this study. You are cordially required to sign the attached consent form, to show that you understand the purpose of this study and you have voluntarily agreed to take part.

APPENDIX 4: Informed Consent Form and Questionnaire

My name is Anna-Marie Biwa, a student at the University of Namibia pursuing a Master's Degree in Master of Business Administration (Management Strategy). It is part of the university's requirements that I must do research in partial fulfilment of the requirements of this degree. I am carrying out an interview on assessing the effective implementation of the fourth strategic plan (2011-2015) of the University of Namibia.

The primary purpose of this study, therefore, is to assess the effectiveness of the implementation process of strategic planning at UNAM. It is also the objective of this study to establish what measures were put in place to ensure the effective implementation of the strategic plan and to provide recommendations on improving implementation of the strategic planning process. The research will be carried out in line with UNAM guidelines, and all data collected will be treated confidentially and for the purpose of this study. If you have any questions regarding the study, kindly contact me on the following numbers: 081 256 6956 or 061- 206 3722

I, the undersigned, confirm that (please tick box as appropriate):

1.	I have read and understood the information about the project, as provided to me	☐
2.	I have been given the opportunity to ask questions about the project and my participation.	☐
3.	I voluntarily agree to participate in the project and my privacy will be respected.	☐
4.	The procedures regarding confidentiality have been clearly explained (e.g. sensitivity and personal information.) to me.	☐
5.	Consent for interviews, audio recording have been explained and provided to me.	☐

6.	The use of the data in research, publications, sharing and archiving has been explained to me.	☐
7.	I understand that other researchers will have access to this data only if they agree to preserve the confidentiality of the data and if they agree to the terms I have specified in this form.	☐
8.	I understand the interview will last for approximately 45 minutes to 1 hour.	
9.	I, along with the Researcher, agree to sign and date this informed consent form.	☐

Participant:

Name of Participant Signature Date

Researcher:

Name of Researcher Signature Date

APPENDIX 5: Questionnaire

Section A: Biographical Information

1. Please tick your gender

Female	
Male	

2. Please tick your age group

Under 25	
25-30	
30-35	
35-40	
40-45	
Over 45	

3. Please tick your highest academic qualification

Certificate	
Diploma	
Undergraduate Degree	
Honours Degree	
Postgraduate Diploma	
Master	
Doctoral Degree	
Other specify	

4. Indicate your years of service at UNAM

Less than 1 year	
1-4 years	
5-9 years	
10-14 years	
15-19 years	
20 and above	

5. Indicate the capacity in which you are currently serving at UNAM

Lecturer	
Administrative officer	
Dean	
Deputy Dean	
Director	

Deputy Director	
Other specify	

Section B: Coordination and communication

6. Did you take part in the strategic planning process?

Yes	
No	

7. If you answered “yes” to the question above, at which communication level did you take part in the strategic planning process? (You may select multiple answers). If you answered “no” to the question above, please go to question 12.

Departmental Meeting	
Faculty Board Meeting	
University Wide Strategic Planning Workshop	
Other (please specify)	

8. How do you rate the communication of the strategic planning process?

Not at all effective	
Somehow ineffective	
Moderately (neither effective nor ineffective)	
Somehow effective	
Very effective	

9. How was the strategic planning process communicated to you? (Please tick all that is applicable)

Newsletters	
E-mails	
UNAM Intranet	
Invitation to meetings	
Other (please specify)	

10. How would you rate your participation in the strategic planning process? **Low** – I only attended meetings where the strategic plan was discussed. **Moderate** –I collect evidence for my contribution to the strategic plan goals. **High** – I am a member of the Scorecard for our unit. **None** I know little about the strategic planning process.

Low	
Moderate	
High	
None	

11. How often did you receive information and feedback with regard to the strategic planning process?

1. Very rare	
2. Rare	
3. Moderate (neither rare nor frequent)	
4. Frequent	
5. All the time	

12. On a scale of 1-4 how would you rate the strategic planning coordination? 1- very poor, 2-poor, 3- good,4-neutral, 5-very good

Very poor	
Poor	
Good	
Neutral (neither good nor poor)	
Very Good	

13. Do you have any knowledge of the existence of the following documents? (please tick what applies)

	I possess a copy	I have Only seen a copy	I Only heard about it	I have neither heard nor seen it
University Strategic Plan (2011-2015)				
Annual Performance Plan				

14. Involvement of staff members in the development of the Strategic Plan of the University of Namibia

	Strongly Agree	Agree	Neutral (neither agree nor disagree)	Disagree	Strongly Disagree
(a) I want to be involved in the review of the future strategic plans					
(b) I want to receive copies of the strategic plan					

(c) I am totally in dark regarding the progress on the strategic plan					
---	--	--	--	--	--

Section C: Role played by UNAM's external stakeholders

15. How would you rate the role played by stakeholders during the planning stage, 1-not important, 2-moderately important, 3-important, and 4-neutral, 5-very important?

1. Not important	
2 .Moderately Important	
3. Important	
4. Neutral	
5. Very Important	

16. In your opinion, at what stage of the strategic planning process should stakeholders get involved? (please tick to select your choice)

Stage 1	(a) Initial Development of the Strategic planning	
Stage 2	(b) Compilation of the final strategic plan document	
Stage 3	(c) Implementation of the strategic plan	
Stage 4	(d) Monitoring and evaluation of the plan	
All stages	(e) Throughout all stages 1-4	

17. How would you rate the inputs of stakeholders during the strategic planning meetings?

Not important	
Moderately Important	
Important	
Neutral	
Very Important	

18. In your opinion, to what extent were the inputs of the stakeholders captured for inclusion into the Strategic Plan?

Uncertain	
-----------	--

None	
Low	
Moderate	
High	

Section D: Implementation, Monitoring and valuation

19. On a scale of 1-5, how would you rate the implementation of the University of Namibia fourth (2011-2015) Strategic Plan? Tick to select what applies

1	2	3	4	5
Poor	Fair	Good	Very Good	Excellent

20. Which of the following would you say has an influence on the strategy plan implementation and why? (You may select multiple answers)

External Factors	
Human Resources	
Finance	
Time	
Don't know	

Please explain your choice

21. What problems have you experienced with the implementation of the strategic plan (2011-2015) of the University of Namibia? (You may select multiple answers)

Stringent budget allocation	
Lack of commitment by policy makers	
Lack of strategic leadership	
Lack of communication	
Poor coordination and sharing of responsibilities	
Other (please specify)	

22. In your opinion, which of the following four key strategic themes would you say were achieved during the University of Namibia's 2011-2015 strategy plan review period?

	Achieved	Not Achieved	No idea
(a) Operational Management (Customers – Improve student and staff welfare)			
(b) Teaching and Learning			

(Customer – improve quality of teaching and learning)			
(c) Research and Development (increase and broader research output)			
(d) Stakeholders Relations (Promote corporate governance)			

23. For each of the following statements, indicate whether you agree or disagree

	Strongly Agree	Agree	Neutral (neither agree nor disagree)	Disagree	Strongly disagree
(a) The Vice-Chancellor is responsible for the implementation of the Strategic Planning					
(b) The Strategic planner is the overall responsible person to ensure the implementation of the strategic plan					
(c) There should be a committee to ensure implementation of the strategic plan					
(d) Each individual staff member is responsible for the implementation of the strategic plan					
(e) Strategic plan implementation solely lies on the shoulders of the University leaders					

24. How did the monitoring and evaluation process of the Strategic Plan took place?

	Strongly Agree	Agree	Neutral (neither agree nor disagree)	Strongly Disagree
(a) Implementation guidelines and framework were developed and measured against the objectives of the strategic plan				

(b) Continuous business review meetings were held to assess the performance against the key success factors				
(c) Faculties were assessing the performance through stake holder survey				
(d) Periodic re-assessments of the institutional environment were done				
(e) Regular consultations were held with the campus community to ascertain their views on the progress made				

25. Who do you think plays an important role during the review and monitoring process of the Strategic Plan?

Management Team	
Faculties	
Stakeholders	
All of the above	
Other (please specify)	

26. Can you identify 3-5 key objectives your position was expected to accomplish according to the Strategic Plan?

Yes	
No	

If yes, please name them

1. -----
2. -----
3. -----
4. -----
5. -----

27. For each of the following statements, please indicate whether you agree or disagree.

	Strongly Agree	Agree	Neutral (neither agree or disagree)	Disagree	Strongly disagree
(a) It is necessary for the University of Namibia to have a strategic plan					
(b) The strategic plan assists me with my annual report writing					
(c) I regularly make use of the strategic management plan					

(d) Every staff member is responsible for implementing the strategic plan					
(e) The strategic plan is easy to understand and use					
(f) Copies of the strategic management plan should be shared with all members of staff					

28. Please indicate how the Strategic Plan was cascaded into operational plans and implementation thereof.

	Strongly Agree	Agree	Neutral (neither agree or disagree)	Disagree	Strongly Disagree
(a) We used the strategic management plan to develop the annual plan					
(b) I use our annual plan to guide me through the day to day activities					
(c) Our section has an annual plan					

29. Which of the following would you say were the constraints hindering effective implementation of the fourth (2011-2015) Strategic Plan at the University of Namibia

	Strongly Agree	Agree	Neutral (neither agree or disagree)	Disagree	Strongly Disagree
(a) There was lack of communication between management and staff members					
(b) There were too many unplanned activities that disrupt the process					

(c) There is not enough time for staff to focus on the strategic plan					
---	--	--	--	--	--

30. What impact does a strategic plan have on the efficient and effective delivery of services at the University of Namibia? Tick to select what applies

(a) Significant impact on my faculty, departmental activities	
(b) Little impact on my faculty, departmental activities	
(c) No impact on my departmental activities	

Please comment on your answer

31. Is there any significant improvement on the service delivery that is attributable to the implementation of the fourth Strategic Plan? Tick to select what applies

(a) Significant improvement in service delivery	
(b) Little improvement in service delivery	
(c) Not sure if there is any	

Please comment on your answer

32. How often was the strategic plan reviewed during the 2011-2015 period for monitoring and evaluation purposes?

a) Never	
b) Always <1-2 years intervals	
c) Sometimes 2-5 years intervals	
d) Rarely < 5years	

33. Were the results of Strategic Plan review communicated to all staff members at the institution?

Please tick

Yes	
No	
Don't know /Not sure	

If yes, please explain how the results were communicated

If no, please elaborate on the reasons why?

34. Were there any corrective actions taken in response to the results from the review?

Please tick

Yes	
No	
Don't know /Not sure	

If yes, please state the corrective actions taken.

If not, please explain why corrective actions could not be put in place.

Section D: Capacity building and growth

35. Was there any capacity building provided to enable staff members to participate in the Strategy Planning process?

Yes	
No	
Don't know /Not sure	

36. In your opinion, which of the following would you regard as one of the capacity building and growth measures on a scale of 1-4? (1 lowest and 4 highest)

	4	3	2	1
(a) A Champion was appointed to co-ordinate the process on a rotational basis				
(b) In-house meetings were held where staff members were informed on the progress with regard to strategic planning until the actual implementation				
(c) Staff were nominated and empowered through active participation during				

the strategic planning process				
(d) All staff members were involved during the planning and execution				

37. How would you rate the capacity building efforts mentioned above on a scale of 1-4 (1 lowest and 4 highest)

	4	3	2	1
(a) Peer-to-peer Knowledge, skill, resources and tools were shared that allows for motivation to change				
(b) Networking Groups of acquaintances and associates were created and kept active through regular communication for mutual benefit				
(c) Mentoring Succession plan were in place during the period under review to allow continuity of faculty and departmental management planning process				
(d) Coaching A number of in-service training and guidance were provided during the period under review management and subordinates				

38. Were there any capacity building efforts made that created opportunities for peer-to-peer networking, mentoring and information sharing to ensure succession planning activities?

Yes	
No	
Don't know /Not sure	

Thank you for your time!!

**APPENDIX 6: Interview guide for Executive Management Team and Director for
Strategic Planning**

My name is Anna-Marie Biwa. I am a Master of Business Administration student within the Namibia Business School at the University of Namibia. I am conducting a study titled “Assessing the Effective Implementation of the Fourth Strategic Plan (2011-2015) of the University of Namibia”.

Thank you for agreeing to take part in this study. All information will be treated with strict confidentiality.

Section A: Biographical information

- 1) What is your current position at the University of Namibia?
- 2) How long have you been in the position?
- 3) Did you take part in the implementation of the fourth Strategic Plan (2011-2015)? If you did, what was your involvement?

Section B: Coordination and Communication

- 4) Can you please describe your role in the Strategic Planning Process at UNAM?
- 5) Briefly explain the key result areas your position is designed to accomplish?

Section C: Role of UNAM's Stakeholders

- 6) What role did UNAM stakeholders played during the strategic planning process?
- 7) To what extent were the inputs of the stakeholders captured for inclusion in the Strategic Plan?

Section D: Implementation, Monitoring and Evaluation

- 8) Which strategic objectives were achieved during the implementation of the Strategic Plan?
- 9) How often is the Strategic Plan reviewed for monitoring and evaluation purposes?

Section E: Capacity Building and growth

- 10) What procedures are in place to ensure continuity of the strategic plan development and implementation?
- 11) What supporting programmes are in place to ensure building and maintaining skills, infrastructure and resources to achieve the strategic objectives?

APPENDIX 7: Editing letter

P O Box 55303

Rocky Crest

Windhoek

Namibia

26 October 2018

TO WHOM IT MAY CONCERN

RE: Language Editing

This serves to confirm that I have rendered language editing services to Anna-Marie Biwa on her research thesis "Assessing the effective implementation of the fourth Strategic Plan (2011-2015) of the University of Namibia".

I have looked at grammar, language, punctuation and sentence flow in the abstract and Chapters 1-5 of the document.

Yours sincerely



Nkazana Sarah Mwanandimai

Sub-Editor, Proofreader

Associate Member #NKA001: Professional Editors' Guild (SA)