

Assessing the implementation of the fourth strategic plan (2011-2015) of the University of Namibia

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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. The study applied the mixed methods research approach involving survey and key informant interviews. The population of the study was 689 and the sample size was 239, which was selected using MEDLAB computer software sampling technique. Purposive or judgemental sampling technique was used to select key informants while stratified random sampling was used to select the survey respondents. 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 and 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, the university management should provide strategic leadership to empower staff members to ensure the successful implementation of the strategic plan.

Keywords: UNAM, strategic planning, HEI, Namibia

The University of Namibia (UNAM) is the largest and leading national institution of higher education in Namibia 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, at the time of conducting

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this study(University of Namibia, 2017). The university consists of eight faculties and three schools with 12 campuses in nine regions where academic programmes are offered (University of Namibia, 2017).

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).

According to 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 framework, lack of proper monitoring and evaluation as well as inadequate communication and information sharing (Nghihangwa, 2007). 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.

UNAM's fourth strategic plan articulated a set of strategic objectives to guide its growth and development for five years (2011-2015). 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. UNAM's fourth strategic plan was developed using a 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 (Kaplan & Norton, 2007).

The primary purpose of this study, therefore, was to assess effectiveness of coordination and communication and overall execution during the strategic planning process and to establish the role UNAM's different stakeholders played during the implementation of the Balanced Scorecard strategic management system.

Kaplan and Norton (2007, p. 3) identified four process that this entails. First, the top management must come up with a vision for the whole organisation. Second, a required process is the communication and linking up the scorecard to the organisational chart to ensure the tool is available to everyone. The third process is the business planning and execution one which also requires constant coordination. The final process is the provision of constant feedback to enable learning and reflection which may be followed by adjustment of goals and targets to meet the vision of the CEO and top management

of the organisation.

Kaplan and Norton (2007, p. 5) note that there was often a gap “between the mission statement and employees knowledge of how their day-to-day actions could contribute to realizing the company’s vision.” Therefore, a balanced scorecard framework is transformational in nature in which the top leadership of the organization provides a sense of direction by crafting an organisationizational vision as to where they would like to see the organisation in future and cascade this vision downwards to the rest of the organisation for their buy-in and implementation. To what extent were these steps successfully carried out?

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 successful implementation of the strategic plan (2011-2015) and to provide recommendations on improving future implementation of the strategic planning process.

Literature Review

Strategic Planning

Strategy comes from the Greek word *strategos*, which means a general and the leader of the army (Cohen, n.d). Today, this word is used to describe steps aimed at achieving organisational vision and mission (Tsiakkios & Pashiardis, 2002). Mission is the first step of the strategy process that defines the long-term vision of the organisation hence if an organisation does not have a vision, then there is no reason for existing (Tsiakkios & Pashiardis, 2002). According to Fidler (1996), strategic planning is the process of responding to future events.

Similarly, Wilkinson et al. (2007) state that strategic planning focuses on the awareness of the present and the future situation; it is anticipatory decision-making. They posit that 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.

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. 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.

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 and staffs, recruiting stronger students, upgrading facilities, strengthening academic programmes and student services, and acquiring the resources needed to accomplish these objectives. Most institutions of higher education share similar mission and objectives, hence 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 et al., 2004, p.5).

According to Simerson (2011) 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. Simerson argues that strategic planning identifies future trends and formulates future possibilities. It decides on the organisation's core value proposition and develops or firms up the organisation's mission and vision. It determines the means that will be employed to attain the vision and accomplish the mission as well as identifies ways to mitigate or address challenges or obstacles likely to impede progress or sub-optimize overall success.

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

Harvey et al. (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: Implementation, formulation as well as evaluation and control. Additionally, Harvey et al. (1998) state that a strategic plan begins with 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 staffs and students. By setting future direction and goals, it generates a sense of purpose and ambition within an institution (Taylor & Miroiu, 2002). Higher education institutions cannot maintain the status quo and expect to deliver good service, let alone prosper (Wilkinson et al., 2007, p.11). Regarding the importance of strategic planning in higher education institutions, Hayward et al. (2003) explain that strategic planning in higher education has assumed greater importance. 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.

Benefits of Strategic Planning

Strategic planning is intended to enhance an organisation's ability to think, act and learn strategically, through dialogue and conversation among key players (Bryson, 2004; Bryson & Alston, 2005). This, in turn, leads to improved decision making, enhanced efficiency as better results are achieved as well as 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 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 while being rational and in control (Ehlers, 2007; Mintzberg, 1994). Paris (2003) argues that a major benefit of strategic management in higher educational institutions is that it brings stability despite constant changes of the leadership.

In contrast, scholars have cautioned that the Balanced Scorecard (BSC) system of strategic planning has a number of shortcomings (Kraaijenbrink 2012; Pessanha & Prochnik 2006; Simons 1990). Kraaijenbrink (2012) has identified the lack of engagement of employees and the top down approach of the Balanced Scorecard system which tend to ignore the expertise of staffs who are lower down the organisation's hierarchy even if they have good ideas. Similarly, Pessanha and Prochnik (2006) are concerned at the lack of broad based participation of staff as well as their lack of involvement in the definition of objectives and measures. On the other hand, BizShifts (2010) concludes that the top-down design of the BSC is a conceptual limitation since it puts the success or failure of the BSC on senior management shoulders only.

Simons (1990) has criticised BSC as mainly a strategic control system which focuses on two specific issues: Firstly, whether the strategy was carried out as planned, and second, whether the results which came out of the implementation are similar to those which were intended. Thus Simmons concludes that there is little space for flexibility and generating innovations from the BSC planning system as it is mainly a control mechanism.

Coordination and Communication during Strategic Planning

The crucial role of communication in strategic planning has been emphasized by several authors. According to Simerson (2011), effective communication and coordination is the key to successful strategic planning. Coordination among different stakeholders is

essential to receive valuable feedback on successful efforts and on areas that require improvement (Miniace & Falter, 1996).

Strategic communication

Communication in strategic planning is crucial as it is the vehicle through which relevant information is transferred (Ivancevich et al., 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 (Kaplan & Norton, 2007; Lederer & Mendelow 1987).

According to Peng and Littlejohn (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 supported 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, horizontal and bottom-up communication.

Roles of Stakeholders in Strategic Planning

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, p. 42), "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." 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).

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. They argue that 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.

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.

Methodology

Since the aim of the study was to assess the implementation of the fourth strategic plan (2011-2015) of UNAM, pragmatic worldview, which underpins mixed method research was adopted. 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 adopted a mixed methods research design to enjoy the benefits of both quantitative and qualitative approaches. Mixed method 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 method research involves not only collecting, analysing, and interpreting both qualitative and quantitative data but also integrating conclusions from those data into a cohesive whole.

The study used two data collection strategies because weaknesses inherent in one approach would be counterbalanced via strength in another (Jack & Raturi, 2006). This study's method therefore involved survey and key informant interviews.

Population

According to Durrheim and Painter (2006), a population is a large pool from which sampling elements are drawn, and to which one wishes to generalise findings. Blanche et al. (2006) posit that the population selected should be those to whom the research objectives applies. For the purpose of this study, the population was UNAM, which has a staff complement of 689 members 300 of whom are administrative and 389 are academic staff based at the main campus.

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. Since the population being studied was large, heterogeneous and consisted of two groups (administrative and academic), this study used a stratified random sampling technique based on the principle to divide 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). MEDLAB computer software was used to arrive at a sample size of 239 respondents of 108 administrative staffs and academic staffs. From the 108 administrative staff, three members of UNAM Management were drawn. The purposive or judgmental sampling technique was used by the researchers 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 and as well as specific individuals with distinct knowledge and expertise on the subject matter.

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 close-ended and open-ended questions was administered to respondents in non-managerial positions (academic and administrative) concerning the strategy implementation at UNAM. Open-ended one-on-one interviews was conducted with the respondents in managerial positions as well as the Director: Strategic and Physical Planner to allow the researcher to ask more detailed questions. For quantitative data collection, a self-administered survey questionnaire was used.

Reliability and Validity

To establish the efficiency of the research instrument, the researchers 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 the final study. Through the piloting, the researchers were 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.

Research Ethics

Ethics in research refers to formulating and clarifying research topics, designing

research and gaining access, collecting data, processing, storing and analysing data in a moral and responsive way (Blanche & Durrheim, 2014; Saunders et al., 2009). The study respondents signed a consent form that explained the purpose of the study and their rights. In addition, permission to undertake the research was obtained from the UNAM Centre for Postgraduate Studies (UPGSC) and the University Research and Ethics Committee (UREC). The study addressed ethical issues by ensuring that the data collection techniques employed would not cause any physical or emotional harm to the respondents. Respondents were free to withdraw from the interview/survey at any time if they wished. 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 and deleting recordings in line with best practice (University of Virginia, 2015).

Data Analysis

The data collected from questionnaires and interviews through 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 handed out hard copies of the questionnaires which were completed by the respondents. These questionnaire data were captured in a Microsoft Excel Spreadsheet. The researchers applied descriptive statistical tools to analyse quantitative data obtained from questionnaires by using Excel Spreadsheet to produce the graphs. Qualitative data from interviews were subjected to thematic analysis to substantiate the findings from the quantitative data (Braun & Clarke (2006).

Findings

The survey component of the study registered a 27% return rate even though reminders were sent but this did not make a difference and thus this was regarded as adequate based on the concerted effort at improving the number of copies returned (Galea & Tracey, 2007; Morton et al, 2012). The discussion of findings is presented under the following main research objectives:

- Assess the coordination and communication during the planning process
- Establish the role UNAM's stakeholders played during the implementation of the strategic plan (2011-2015)

Coordination and Communication

The purpose of this section was to establish how well the strategic planning process was carried out and whether the respondents participated in the process. The findings indicate that 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, deputy directors and HODs, thus excluding those at lower level such as the general administrative and academic

staffs. It was also observed that inclusivity was very high at departmental level but lower at bigger strategic planning workshop meetings.

The study revealed that participation at the university-wide workshops was only limited to the gathering and sharing of required information. The study further revealed that most respondents 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. The study further found that from the communication methods used to share information about the strategic planning process, most of the respondents received information via e-mail, while a minority received some information via official invitations to meetings.

On the aspect of strategic planning coordination, the study found that out about a quarter of respondents (26%) indicated that the strategic planning coordination was poorly done. About the same number (25%) said that it was neutral (neither good nor poor), while 23% rated the coordination process as very poor. About a fifth of respondents (20%) indicated that the coordination was good, while 6% indicated it was very good. Thus, the study found that most respondents (74%) indicated that the strategic planning coordination was poor, while a minority of 26% stated that the coordination was very good. This is at variance with the literature and does not make for success in the strategic planning process (Kaplan & Norton, 2007; Lederer & Mendelow 1987; Miniace & Falter, 1996; Simmerson, 2011).

Establish the Role UNAM's Stakeholders Played

The data collected from the questionnaires and interviews revealed that external stakeholders played 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 of the university. This is supported by the reflections where 65% of respondents indicated that the external stakeholders should be involved from stage 1 to stage 5 (initial development plan, compilation of the plan, implementation of the strategic plan, monitoring and evaluation of the plan and throughout all stages). In support of this, Ehlers and Lazenby (2013) posit 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, more than half (58%) of the respondents indicated they were uncertain whether their inputs were included in the strategic plan, as there was no documentations presented at strategic workshops indicating the presence and inputs made by stakeholders. 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. Data obtained from the interviews also revealed no

evidence of stakeholders involvement during the strategic planning process. Therefore, the study concluded that the stakeholders' views were not fully 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.

Conclusion and Recommendations

The study has 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.

Based on the above findings, the following recommendations are made in order to improve the strategic planning process at UNAM:

1. The study recommends the establishment of a strategic planning committee at the institution to coordinate and communicate the strategic planning process throughout the entire organisation. That this committee be tasked 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 to ensure effective monitoring, evaluation and implementation of all future plans.
2. The study recommends the development of a communication plan that will reach out to all staff members as well as stakeholders.
3. 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 to avoid a top down approach.
4. The study recommends that in future plans, stakeholder consultation be the first step towards formulating a new strategic plan in order to accurately establish societal expectations and determine what they would like the university to offer them in exchange for their support and collaboration.

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