A strategy for the implementation of performance management in schools in a province of Zimbabwe

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I TALKMORE SAUROMBE, hereby declare the contents of this thesis represent my own unaided work. The thesis for the Doctor of Philosophy in Education Management at the POTCHEFSTROOM Campus of the North West University has not previously been submitted for academic examination towards any qualification. The ideas expressed throughout this research reflect my own perspective and where sources were consulted they were referenced accordingly.

_____ 30 APRIL 2014

Signed **Date**

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SUMMARY

This study set out to study performance management implementation in the education sector in a province of Zimbabwe. The study argues that the implementation of performance management in schools has been done in a haphazard manner without serious consideration for the factors that impede successful implementation of change programmes. The study identified the human, financial, technological, information and structural issues that influenced the commitment to successful implementation. Other factors are the lack of material resources and other intangible resources such as organizational culture and deemed necessary for the successful implementation of practices such as performance management together with the intangible

A literature search and empirical study were developed through focussed study on an international level, the international perspective on how performance management is implemented in selected geographical locations to establish what international practice is regarding performance management implementation was done. Qualitative approaches to data collection were involved in the study as focus groups and in-depth interviews with twenty-six respondents were done.

Findings suggest that the implementation process is flawed and does not consider deeply the factors that are necessary for implementation of performance management. Implementer perception issues bar see performance management being implemented in ritualistic manner as a way of satisfying policy requirements without any improved out come from the process, There is widespread evidence that the performance information is used selectively in a manner that satisfies the needs of the employer and not for purposes of developing, training and remunerating employees.

The study recommends high participation and commitment of implementing agents for the implementation process to succeed and the heavy investment in training of human capital, the availability of requisite resources and the building of high level hard skills and soft skills as necessary for the successful implementation performance management in schools. Remuneration plays a very important part in

ensuring the promotion of the individual's goals in order to realise the organizations goals. The flow of information as communication and feedback from the lower reaches of the province's lower rungs ensure that the programme is well understood by implementers and at the same time the information is used to clarify theposition of the programme so that impediments may be minimised. Lastly, the study identified areas for further research which if carried out will improve the knowledge of how such programmes may be perfected in order to ensure a high degree of success with the implementation process.

KEY WORDS IN THE STUDY

Performance management, performance information, work plans, involvement, goal commitment, perceptions, training and development, implementation, policy, innovation, remuneration, accountability, management

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LIST OF ABBREVIATIONS

APPP	African Power and Politics Programme
DEO	District Education Officer
DPED	Deputy Provincial Education Director
E.D57	Education Document 57
E.D94	Education Document 94
ECA	Economic Commission of Africa
EU	European Union
GoK	Government of Kenya
GoZ	Government of Zimbabwe
IMF	International Monetary Fund
IQMS	Integrated Quality Management System
MBO	Management By Objectives
MoESAC	Ministry of Education Sports Arts and Culture
NGOs	Non-Governmental Organizations
NPM	New Public Management
OECD	Organization for Economic Cooperation and Development

PM	Performance management
PMS	Performance Management Systems
PSA	Public Service Association
PSC	Public Service Commission
PSC	Public Service Commission
PTAs	Parents Teachers' Associations
PTUZ	Progressive Teachers Union Zimbabwe
RBM	Results-Based Management
SDAs	School Development Associations
SGBs	School Governing Bodies
SIDA	Swedish International Development Agency
SMHC	Strategic Management of Human Resources
SMTs	School Management Teams
TQM	Total Quality Management
UK	United Kingdom
USA	United States of America
WB	World Bank
WTO	World Trade Organization
ZCTU	Zimbabwe Congress of Trade Unions

ZIMTA	Zimbabwe Teachers' Association
ZINA	Zimbabwe Nurses Association

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CHAPTER 1
RESEARCH ORIENTATION

INTRODUCTION

This study is motivated by issues arising from the adoption and implementation of performance management in Zimbabwean schools since the year 2000. The methods for the implementation of performance management and its related procedures and strategies have largely been unchanged until now. The primary purpose of this study was to establish the degree of effectiveness of performance management, starting with the way it was implemented and the professed benefits that performance management was expected to bring to the schools system. Claims of benefits that could be realized by implementing performance management were quite many and they ranged from staff issues such as potential for career development, motivational aspects of the programme, remuneration and incentives issues and learner performance issues that focused on the contribution to raising student achievement and the performance of the schools.

1.1 BACKGROUND TO THE BIRTH OF PERFORMANCE MANAGEMENT IN ZIMBABWE

Prior to the adoption of performance management in schools in Zimbabwe, it is recorded that numerous complaints had been raised by citizens, civic organizations and various stakeholders about the quality of service delivery by the civil service. The Public Service Commission, which in the Zimbabwean context, is the employer of all civil servants (including teachers), had to come up with a solution in response to these numerous complaints. Thus, in 1989, the Kavran Public Service Review Commission was mandated to carry out an evaluation of the whole public service in the view that the causes of the challenges faced would be identified and that solutions to these problems could be found.

1.1.1 Conditions of the Public Service Commission

The findings by the Kavran Commission (1989:6-13) are summarised as follows:

- Civil servants were insensitive to the needs of the citizens they were supposed to serve, thus civil servants were said to show unsympathetic attitudes to the citizens in their discharge of duties. Civil servants were slow to respond to citizens' demands as evident in the delay to attend to written queries, for example, letters took months to be responded to.

- The public service was said to have complicated procedures due to the bureaucratic red tape that characterised government ministries and departments.

- The public service was said to have insufficient delegation procedures, thus decisions that were supposed to be made by officers who interfaced with the public had to wait for the approval of head office, resulting in delays in the delivery of specific services to citizens.

1.1.2 Response of Public Service Commission to Kavran Commission findings.

In order to respond to and address the concerns of the citizens, all government ministries and departments were instructed by the Zimbabwe Public Service Commission (ZPSC) to introduce performance appraisals (ZPSC, Circular Minute 7, 1995). However, in the short time that performance appraisals were implemented, a lot of irregularities and flaws were evident. Thus, the Zimbabwe Public Service Commission, The Ministry of Education Sport Arts and Culture with the Swedish International Development Agency (SIDA) as technical partner, embarked, in 1998, on a programme to train all civil servants towards the adoption of performance management. According to ZPSC (1998), a series of three day training workshops on the process and implementation of performance management were conducted for all teachers and school heads as orientation towards the introduction of performance management in the Ministry of Education Sport and Culture, and subsequently in schools. The ZPSC (2000:2) observed that it was critical that those who manage people and those who are managed, have a shared understanding of the concept of performance management and the circumstances that led to its introduction by the ZPSC. According to the ZPSC (2000:2) it was also believed that such a common understanding would facilitate the proper and successful implementation of performance management.

1.1.3 Legal framework for adopting performance management in public service

The implementation of performance management in all the ministries and government departments thus, became a legal requirement through Public Service Regulations Statutory Instrument 1(ZPSC, 2000). In terms of paragraph 8(1) and (2) of Public Service Regulations of 2000 (Government of Zimbabwe, 2000:12), "the performance potential and development needs of all members shall be assessed continually and final reports thereon shall be compiled and submitted at least once a year to the Commission". The report in respect of members was to be kept in the personal file of the member in the Ministry or department in which the member was employed. This was done in order to keep performance under review and to improve the provision of services to members of the public, According to the ZPSC (2000:7) the implication of the legal requirement on the implementation of the performance management was that:

- Every public servant was to be subjected to the requirements of the Performance Management System in order to achieve the goals and objectives of the Ministry or Department in which they were employed. (In the case of teachers, performance management was meant to achieve the goals of the school in which they served);

- The results of the ratings from performance appraisals shall be used for the purposes of decision making in respect of the individuals' suitability for promotion, transfer, development, counselling and coaching, and should the need arise, termination of employment or other relevant benefits;

By adopting and implementing performance management in education it was hoped that the operational environment of the Ministry of Education, Sport, Arts and Culture would move from management by command to management by agreement or contract (ZPSC, 2000:2). Thus, the introduction and implementation of performance management in the schools was meant to bring with it the following benefits: (ZPSC, 2000:5):

- Improvement of performance by individuals, teams and organizations (teachers and schools in the context of the Ministry of Education Sport and Culture),

- Growth and development of teachers and school heads through training, increased organisational productivity by adopting a performance oriented culture.

- Provision of feedback to members (teachers) on their performance on the job, improvement of interpersonal relations between the supervisor (school head) and supervisee (teacher).
- Facilitation of decision making in terms of promotion, advancements, lay-offs, discharges and training, and rewarding those who performed well.
- Improved motivation of employees by increasing their ability to understand goals and means of attaining those goals, and the rewards associated with their achievement.
- Facilitation of effective supervision, Emphasis on efficiency and effectiveness.
- Transparency in evaluating performance.

Thus, the whole programme of performance management was to focus on these foundational issues which, if properly executed, were to enhance an effective and efficient implementation of performance management in schools.

1.2 REVIEW OF RELATED LITERATURE

1.2.1 Introduction

In this section, a brief discussion on performance management was given as a preamble to the detailed literature review that follows later in chapters two and three of this study. Brief discussions on the origins of performance management in the public sector are discussed and the understanding of what performance management stands for is given from the perspective of experts in the field.

1.2.2 Historical origins and meaning of performance management

Fryer, Antony and Ogden (2009:479), observed that whilst it was assumed that performance management was a modern invention, records show that the New York Council was analysing data and setting targets to report historical activity and forecast performance in the early 1900. The term performance management was not utilized until the 1970s (Armstrong and Baron, 2009). The value of performance management to the wellbeing of schools can be fully understood in view of Aguinis (2009:2) who concurs with Armstrong (2006), and sees performance management as a continuous

process of identifying, measuring and developing the performance of individuals and teams and aligning performance with the strategic goals of the organisation. The definition by Aguinis (2009) gives two critical components to performance management, namely:

• …that performance management is a continuous process. Performance management is to be understood as an on-going process. It is an unending process of setting goals and objectives, observing performance, giving and receiving on-going coaching and feedback, and …that performance management requires alignment with strategic goals.

Performance management requires that school managers ensure that teachers' activities and outputs are congruent with the schools' goals and, consequently, help the schools gain a competitive advantage. Performance management therefore creates a direct link between employee performance and organisational goals and makes the employees' contribution to the organisation explicit. Dent (2009:1) alluded to the fact that performance management was a system designed to improve organizational (school), team and individual performance (of both teachers and students)

1.2.3 Performance management as a strategic process

According to Van der Waldt (2004:39), "performance management is an approach to management that harnesses the endeavours of individuals and management towards the organizations' strategic goals". Armstrong (2006:495) define performance management as "a systematic process for improving organizational performance by developing the performance of individuals and teams". The same author goes further and states that performance management is a means of getting better results by understanding and managing performance within an agreed framework of planned goals, standards and competency requirements. A key idea in these definition was that performance management was a systematic process.

The purpose of a performance management system is getting better results from employees through an understanding and management of their performance as guided by agreed frameworks of planned goals, key performance standards in the context of policy expectations through available resources and implementer competencies. Performance management itself is not an event, it's a process, thus, Aguinis (2009:2-3)

define performance management as a continuous process of identifying, measuring, and developing the performance of individuals and teams and aligning performance with the strategic goals of the organization. Van Dooren, Bouckaert and Halligan (2010) take the issue of performance management in the public sector to a higher level and they situate performance management in some current public sector debates. They examine performance measurement and management issues and explore current challenges and suggest future directions of performance management particularly in public sector environments.

1.2.4 Perceptions of performance management

Numerous studies and many scholars such as Lebas (1995), Radin (2003), O'Donnell and Turner (2005), Armstrong (2006), Ohemeng (2009), Khan, Saeed and Fatima (2009)**,** Armstrong and Baron (2009) and Aguinis (2009) have gone to great lengths to show what performance management entails and its contribution to human capital management. However, there are still a lot of misunderstandings and lack of agreement on what performance management really entails, that is, its objectives, processes, and its assumed relevance in public sector settings, especially in schools. This implies that the implementation of performance management will be greatly hampered if there is no common understanding of what it entails. Brown's (2005) study further gives conflicting reasons for the implementation of performance management thereby providing an indication of the level of confusion surrounding this complex subject of performance management, particularly, regarding its implementation in the public sector.

1.2.5 The performance appraisal/performance management dichotomy

The different conceptual perspectives have led to some studies focusing on performance appraisals instead of performance management, while taking the meaning of performance appraisals as being synonymous with performance management and vice versa. As a result, in the performance management jargon, there is the dichotomous situation whereby performance appraisal and performance management are used interchangeably and are supposed to mean the same thing no matter what the context is. A study by Kelly*,* Ang, Chong and Hu (2008) focused on the attributes of performance appraisal and their subsequent effect on teacher satisfaction, performance bonus and stress and they found out that fairness of the performance appraisal and

clarity of appraisal system had more positive attitudes towards higher job satisfaction and motivation. The same study found out that those teachers who reported greater trust in their appraisers' credibility had also reported cooperativeness among teachers and their school.Hunnes,Kvaløy and Mohn (2008), conducting their study in Norway, found that performance appraisals had more negative effects on the promotion possibilities of men than women. This trend is also observable in South Africa where the emphasis is not on the development of teachers as the performance management system requires, but on the benefits accruing from being appraised (Bisschoff & Mathye, 2009). A study carried out in Scotland by Ozga (2003), shows that performance management in education was established as a result of the anxiety caused by underperformance that was experienced in some schools. In that study, schools were ranked according to their performance based on the national examination results. Therefore, schools were required to achieve better outputs and outcomes in order to avoid appearing at the bottom end of the league table. Studies in England by Ozga(2003) showed that performance management was introduced as a response to the outcry over the inefficient performance of schools. Ozga (2003) further contends that recent evidence from studies of teachers in Europe and Australia suggests that pay for performance which is an element of performance management has a number of negative consequences for pupils and teachers.

Instead of investigating the implementation of performance management, some studies sought to find the relationship between performance management and selected variables. According to the study by Jennings and Lomas (2003), head teachers in England had succeeded in establishing an effective culture of performance management. Improvements in the performance of these schools appeared closely linked to staff management systems. This indicates that performance management should be embedded within a positive management culture otherwise its implementation will be problematic. In a similar study, Moreland (2009) found a link between leadership effectiveness and the use of teaching and management competencies. Moreland (2009) proposes that future research should be conducted on the relationship between leadership and the implementation of performance management. In this study, perspectives on performance management gained from these highlighted studies are used to arrive at effective strategies for implementation of performance management in schools.

1.3 CHALLENGES AND CONSTRAINTS TO THE IMPLEMENTATION OF PERFORMANCE MANAGEMENT SYSTEMS

Studies that are specifically concerned with the implementation of performance management indicate challenges and constraints faced by school managers in this respect. Ohemeng (2009), in a research carried out concerning developing countries, found that the implementation of performance management is constrained by institutional and capacity problems such as culture, institutional fragmentation, public support and inept leadership. Not surprisingly, Ohemeng (2009) recommends that further research should be conducted to identify and propose solutions typical to specific countries. Radnor and McGuire (2004), in their study, concluded that the implementation of performance management in public sector organizations was closer to fiction than fact. These commentators (2004:259) posit that, for performance management to be meaningful, current skills and motivation of people within organizations have to be understood so that performance management systems (PMS) can ensure that these are developed and motivated in a proper way. Heinrich's (2003) research findings point to problems in the design and management of performance management systems and argue that performance management is not an effective tool for increasing accountability.

1.3.1 The performance management promise in the public sector

The practice and implementation of performance in the private sector motivated the adoption of the performance management regimes in the public sector. However, the public sector work environment is diametrically opposed to private sector work environments with different cultures and work ethics. The gospel of effectiveness, efficiency and economy did not quite manifest itself in the public sector. Studies by Fryer, Antony and Ogden (2009:478-498) found out that the expected improvements in performance, accountability, transparency, quality of service and value for money which performance management was supposed to usher in the public sector had not yet materialized. Further to that, they discovered three classes of problems with performance management in the public sector: technical, systems and involvement. This study by Fryer *et al.* (2009) also found out that externally imposed restructurings

and reorganizations restrict the successful implementation of performance management.

Armstrong (2006:495) portrays performance management as a systematic process for improving performance by developing the performance of individuals and teams. Thus, in school management, it is imperative that if the performance management system is to realise its full potential, teachers and the management teams should have a united approach on how to improve the performance of schools and how pupils perform academically.

1.3.2 The Zimbabwean performance management context

In the Zimbabwean schools' context, problems and objections to performance management stemmed from the manner in which Government imposed this innovation on teachers without involving them in decisions about the need to adopt and implement performance management in schools. The teacher labour unions, Zimbabwe Teachers' Association (ZIMTA) and Professional Teachers' Union of Zimbabwe (PTUZ) were also not consulted, hence; the real motive for introducing performance management in schools was not known.

According to Rwafa (1998:17), government thinking was that "there was no other option to performance management than to adopt it because the decision to implement it had already been taken." This, according to findings by Saurombe (2004: 58), represented an elite model of policy making. It is in view of these challenges to the adoption and implementation of performance management in schools in Zimbabwe that this particular study is premised and motivated. Government did not try to find out teachers' views on how a perceived challenge to effectiveness of the school system was to be improved. No consultative meetings were ever engaged in with teachers directly or through their labour unions, even though teachers were the technocrats that were going to implement this innovation. Teachers therefore, instead of being policy interpreneurers in implementing performance management, they became policy contrapreneurers and deliberately made no effort towards the successful implementation of performance management in schools. As Tranter and Percival (2006: xiv) observed, the implementation of performance management in schools became just another centrally imposed burden on teachers. In the schools, the direct benefits of performance

management are still vague and much of what performance management promised to deliver is still a pie in the sky.

In Zimbabwe, performance management lived much longer than its predecessor (performance appraisals) that was introduced in the schools in 1995, it later faced resistance from teacher organizations before being phased out in 1998, the current innovation may face a similar fate. If performance management is to be effective in bringing out effective schools, teacher teams and individuals, a holistic approach has to be taken in its implementation.

1.4 PROBLEM STATEMENT

From the above literature review several themes for further research emerge. Although the performance management system that operates in schools in Zimbabwe covers the critical components of the performance management process (such as performance planning, performance implementation, performance measurement, reviews and appraisals) there are still some problems that are caused by the implementation of performance management in schools. These problems are too glaring to be ignored. Even at its inception, such challenges had been enumerated as possible challenges to the successful implementation of performance management. The Zimbabwe Public Service Commission [ZPSC] **(**2000:30-31) noted that the implementation of performance management was marred by lack of a shared understanding, lack of accountability for the implementation of performance management system by the schools, lack of transparency with regards to ratings, use of partial rating to reward certain members, lack of consistency in training and inadequacy of resources (financial, human and material). The problem of conceptual misunderstanding of performance management has been highlighted in the above literature review.

Another aspect that may be researched is the existence of problems related to implementation strategies whereby in Zimbabwe, performance management was imposed by the Public Service Commission without tailor-making it for implementation in educational institutions. Schools are unique organisations and their character cannot be equated with the character of the police services, the army, home affairs section or the clerical staff in the Ministry of Education, Sport, Arts and Culture (MoESAC) per se. As indicated earlier, externally imposed restructurings and reorganisations restrict the

successful implementation of performance management. This implies that those who have to comply with government directives experience problems and develop negative attitudes towards implementing such an innovation.

The literature review also reveals that performance management has been inadequately implemented. As one commentator, cited above, puts it, “the implementation of performance management in public sector organisations was closer to fiction than fact”. What needs to be researched in this aspect is to find out **how the current performance management is implemented in schools in Zimbabwe so as to suggest a strategy for the implementation of performance management in schools.** Another aspect is that the results expected from implementing performance management have not been realised and the positive effects thereof on learner performance and on teachers’ job satisfaction remain an elusive ideal. For the Zimbabwean teachers, the reasons for implementing performance management are not clear. It is a truism that people resist change due to a misunderstanding of the reasons why change is introduced.

1.5 RESEARCH QUESTIONS

In view of the arguments and scenarios deliberated upon above, this study is carried out in order to answer the following pertinent questions:

- What does the current performance management being implemented in Zimbabwean schools entail?
- Are the current strategies for the implementation of this performance management system in schools achieving the objectives for which it was introduced?
- What is the understanding of teachers regarding reasons for implementing performance management systems in schools since 2000?
- What strategy could be used to enhance the successful implementation of performance management in schools

1.6 AIMS OF THE RESEARCH

The overall aim of carrying out this research is to assess the whole performance management process as it is applied and implemented in the schools system in Zimbabwe in order to ascertain its effectiveness as a facet for improving the performance of schools as agents of change. The aim to this study is fulfilled through these objectives;

AIMS OF THE RESEARCH ARE AS FOLLOWS

- To give an account of performance management that is being used as a management tool in the schools in Zimbabwe.
- To explore the effectiveness of the current strategies of implementing performance management in schools.
- To explore how teachers, school managers, and MOESAC officials at District and Provincial levels understand and experience the performance management programme.
- To assess the extent to which performance appraisal information is used for decision making in schools.
- To propose a strategy that empowers and capacitates teachers, school heads district education officers and provincial education directorate to successfully implement and monitor performance management in schools.

1.7 RESEARCH DESIGN AND METHODOLOGY

1.7.1 Literature Review

Leedy and Ormrod (2005:64) state that a literature review describes the theoretical perspectives and previous research findings regarding the research problem. Hart (2007:13) defines literature review as the selection of available documents (both published and unpublished) on the topic, which contain information, ideas data and evidence written from a particular standpoint to fulfil certain aims or express certain views on the nature of the topic, how it is investigated and the effective evaluation of these documents in relation to the research being proposed.

In this thesis, the literature review took the form of an analytic synthesis that covered a

considerable amount of sources that covered much of the known literature on the problem. Both summative and formative evaluation of previous work on the problem depth and breadth of discussion on the relevant philosophical traditions of performance management processes and ways in which they relate to the current problem are given. The literature review on strategies of implementing performance management in schools was developed considering examples from international studies, local studies and the thesis findings. Thus, in order to obtain relevant literature on this topic, a variety of electronic databases such as NEXUS, EBSCO-Host, and ERIC and SA e-Publications have been used. Internet websites and portals such as Google and Google Scholar were consulted. Government policy documents and statutory instruments that cover performance management issues in schools in Zimbabwe have also been used. The following terms and phrases have been used as search terms:

- ✓ performance management, performance planning, performance measurement, performance appraisals, performance improvement, performance information, performance management implementation;
- ✓ training and development of change agents in performance management,
- ✓ Coaching and mentoring in performance management in schools, human capital and performance management in schools, and;
- ✓ Other terms relating to implementation of performance management.

1.7.2 Interpretive Research Paradigm

This research study is pursued through the philosophical lens of the interpretivist framework of qualitative research. According to Myers (2009:38), “Interpretive (*or interpretivist*) researches assume that access to reality (*given or socially constructed*) is only through social constructs such as language, consciousness, shared meanings, and instruments.” The interpretive paradigm in this research aims at reconstructing the self-understanding of actors [*teachers, school heads, education officers and education officials at province level]* engaged in the implementation of performance management in schools in a province of Zimbabwe (Denzin and Lincoln, 2003:299). This study does not have predefined variables, but as Kaplan and Maxwell (1994) as (in Myers, 2009:38) note, “focus on the complexity of human sense-making as the situation

emerges." Creswell (2007:24) posits that "interpretive positions provide a pervasive lens or perspective on all aspects of a qualitative research…the research questions explored aim to understand specific issues or topics" regarding performance management in schools in a province of Zimbabwe.

In the case of this research, the research questions explored how the adoption and implementation of performance management has impacted on school management, teachers and learners. In addition to the above issues, Creswell (2007:24) observes that the procedures of this research, "such as the data collection, data analysis, representing the material to audiences and ethics, emphasize an interpretive stance." The interpretive framework is believed to be the method that is most suited to studying this phenomenon, in order to elicit finer details from experiences of teachers and school heads who are implementing performance management in schools. This culminates in advocating for an applicable strategy for the implementation of performance management in schools in a province of Zimbabwe.

By adopting the interpretivist framework, the researcher was be able to delve deep into the beliefs, values, intentions and reasons given by participants about the implementation of performance management (Henning, 2004:20). According to Nieuwenhuis in Maree (2007:59), the interpretivist researcher "attempts to understand phenomenon through the meanings that people assign to events and occurrences through their construction of social reality." Instead of using quantitative research that prescribes a huge sample, this study moves from "a mile wide and an inch deep" type of research to "a mile deep an inch wide heuristic (Padgett 2009:1). The other reason for using qualitative research design is the fact that it is compatible with methods which result in improving the quality of the research product. The other reasons for choosing the qualitative research method, according to Padgett (2009: 2-16), was that qualitative research:

- Favours interviewing; therefore it gathers detailed data on the performance management phenomenon being studied.
- It has a degree of closeness to respondents and is less control oriented thereby favouring the nature of the topic being investigated because it allows informants to give as much information as possible without fearing to upset the researcher.

- Qualitative studies seek to present the complex world of respondents in a holistic fashion by including subjective meanings.
- Data collected through qualitative methods portray an insider point of view as opposed to the outsider point of view.
- It allows researchers to immerse themselves as research instruments in the data collection process.
- Qualitative research methods are favoured over the other methods because this study desires to get inside the “black box” of the programme and practice of performance management system in schools in a province in Zimbabwe.
- Qualitative researches provide a natural fit with formative evaluation given their capacity to identify unforeseen effects of new programmes that may hamper (or pave way) their implementation. Qualitative research methods only shed light on how (not whether) a programme succeeds or fails (Padgett, 2009:16).

1.7.3 Qualitative Research Methods

Welman**,** Kruger and Mitchell (2005:8-9) describe qualitative research methods as methods aiming at determining the dynamic and changeable nature of reality by collecting subjective data, presented verbally by people. According to Miles and Huberman (1994:10) qualitative data occur naturally as ordinary events in their natural settings, and thus, this study uses this strength of qualitative enquiry to capture events in schools that are a direct result of the implementation of performance management. Denzin and Lincoln (2008:4) posit that “qualitative research involves the study and use of a variety of empirical materials…personal experience, interview and visual texts that describe routine and problematic moments and meanings in individuals’ lives.” Thus, this study uses qualitative research methods to produce data that is recorded in the form of language unlike the other methods that record data as numbers.

1.7.4 Data Collection Strategies

According to Creswell (2008:213), qualitative research presupposes the identification of participants and research sites based on the ability of the likelihood of such places and peoples’ ability to provide valuable information on the phenomenon being studied.

There are many forms of data collection strategies that a researcher can engage with when conducting qualitative research. According to McMillan (2004:263), Gray (2004:187-232), Brenner (2006:357-370) and Yin (2008:101-114), the major methods for data collection are observation, field notes, interviews and document analysis, to name but three. The strength of qualitative data gathering methods is highlighted by Merriam (2009:85) who observed that qualitative data collection strategies consist of direct quotations from the people whose situations are being studied, thus their experiences, opinions feelings and knowledge can be captured vividly. In view of the above listed strengths of qualitative research, this study employed **individual in-depth interviews and focus group interviews** data collection techniques.

The in-depth interviews and the focus group interviews consisted of data collected as voice (*audio)* from the participants and was transcribed into word *(text).* Data were tape recorded to provide real time data for analysis including verbal cues *(stress and intonation)* the non-verbal cues *(laughter*, *facial expressions, throat clearing and hand gestures)* that were captured as field notes.

1.7.5 Document Analysis

One of the strategies used to gather data in this thesis was document analysis. Both public and private documents that contain information regarding the implementation of performance management in schools in Zimbabwe have been used as part of the literature review. According to Myers, (2009:161), "…documents are relatively cheap and quick to access; they make things visible and are traceable..." In this study, all the statutory instruments, government gazettes, and education policies that cover performance management procedures are utilized. These documents have the advantage of being mostly produced for non- partisan purposes, and are not subject to limitations as does observations and interviews. Merriam (2009:139) observes that the presence of documents does not intrude upon nor alter the setting in which the phenomenon being studied occurs, as does the physical presence of an investigator. Documents are also not dependent on the whims of human beings whose co-operation is essential for collecting quality data when you use interviews and observations as tour data gathering techniques. The term document in this research is used as an umbrella term that refers to written, visual, digital and physical materials that provide valuable information to this study. All those documents that address performance management

implementation in schools in Zimbabwe have been analysed.

1.7.6 Individual In-Depth Interviews

In this study, teachers and school heads who are the unit of analysis for this study were interviewed as individuals. Interviews were chosen because conversations form the basis on which people can exchange views, concerns and feelings to other people either in an informal or formal situation. Hatch (2002:23) and Yin (2008:107) both acknowledge that the interview was a powerful tool for gathering data in qualitative research. Wellington (2000:71) concurs with Hatch (2002) and Yin (2008) by observing that an interview was a conversation with a purpose. Based on this characteristic, the semi-structured interview schedules were used to collect data in this research. Semi-structured interviews were used for this research because they allowed the researcher to investigate the phenomenon in detail, with prompts to respondents on issues that can be observed such as peoples' values, prejudices, perceptions, views, feelings and perspectives.

1.7.7 Focus-Group Interviews

Lewis (2000:1) defined a focus group as "…carefully planned discussions designed to obtain perceptions in a defined area of interest in a permissive, non-threatening environment." Denzin and Lincoln (2005:703) understand the group interview to be "a qualitative data gathering technique that relies on the systematic questioning of several individuals simultaneously in a formal setting." Myers (2009:125) posits that, "The purpose of a focus group interview is to get collective views on a certain defined topic of interest from a group of people who are known to have certain experiences." Focus group methodology involves engaging small numbers of respondents, usually between four to six or six to twelve members, in informal group discussions focused on the set of issues being investigated (Lewis, 2001:1, Silverman, 2004:178, Myers 2009:125). These focus group interviews enabled the researcher to produce data and insights that would have been less accessible without the interaction that takes place during the focus group interview (Flick, 2002:120). This study therefore drew data from two focus groups of five and six participants each and real time data recording through the use of a Sony 2011 digital voice recorder to capture the proceedings of the interviews.

1.8 POPULATION AND SAMPLING

Population sizes for research differ greatly depending on individual research designs and research methodologies. This study, being a qualitative study, thus, focused on qualitative research techniques including the criteria for determining a population and sample size. Gray (2004:82) views a population as, "…the total possible unit or elements that are included in a study." This study focused on the implementation of performance management in schools in a province of Zimbabwe. Scott and Morrison (2006), observe that "…social scientists have neither time nor resources to study the whole population." Therefore, a sample of the teachers school heads, DEOs and Deputy Provincial Education Directorate personnel were selected. The sample selection was based on how representative it was of the main population group (Scott & Morrison, 2006). The sample chosen had characteristics of the main population group (Babbie and Mouton, 2002:312).

The sampling technique to determine teachers and school heads was based on purposive sampling frame. According to Denzin and Lincoln (2003:202), Patton (1999:169) and Silverman (2002; 103), purposive sampling allows the researcher to choose cases that illustrate some features or characteristics of a population found in the area that the researcher was interested in studying. Thus, according to Creswell (2007:125), "…the inquirer selected individuals and sites for study because they could purposefully inform an understanding of the research problem and central phenomenon in the study." Special attention was given regarding the selection of participants, the convenience of the facility used to collect data and the researchers' role as a research instrument and moderator. All the in-depth interviews and the focus-group interviews were recorded on a digital voice recorder to ensure authenticity of the collected data.

It was imperative, therefore, that the researcher chose only those teachers and school heads that were trained at the initial inception of performance management in the late 1990s so as to correctly assess the value of the programme of its implementation. The sample for this study comprises eight (**5)** class teachers, two groups of teacher focus groups in-depth interviews, one with seven **(6)** members, and a second group of five **(5)** members, eight (**5)** school heads, three **(3)** district education officers and two **(2)** deputy provincial education directors.

In order to achieve the aims of the study, a true cross section of the population was selected; therefore a purposive sample of about thirty **(26)** participants were drawn as follows:

TABLE 1:DISTRIBUTION OF PARTICIPANT CHARACTERISTICS.

PERSONNEL GROUP TYPE	QUALIFICATION	NUMBER / YEARS OF EXPERIENCE IN POST	NUMBER AND DATA COLLECTION METHODS
MINISTRY OF EDUCATION OFFICIALS (Provincial& district personnel)	Minimum of a Masters Degree	12 years in post since 1999	2 Deputy provincial education directors **3** (District Education Officials / in-depth interviews)
School heads	Minimum of a first degree	As given above	**5** (individual in-depth interviews)
Teachers	Minimum of a first degree	As given above	**5** In-depth interviews and: **2** focus group interviews(1x6)& (1x5)
TOTAL NUMBER			**N=26**

i

1.9 TRUSTWORTHINESS

When carrying out qualitative research studies, validity and reliability are assured through trustworthiness. That is to say the data that are collected are subjected to rigorous evaluation in order to show that the findings are not mere inventions (Neuman, 2006:194). Trustworthiness is used as a measure for establishing the quality of the research findings, to reduce the reactivity and bias and to give priority to participants' perceptions over those of the researcher. Creswell (2003:196) asserts that through enhancing the trustworthiness of data, the researcher ensures that the data is consistent and dependable, reflects the truth, is powerful and reflects the researcher's genuine experiences with the data. In this study, the researcher established trustworthiness by use of the following techniques that are advocated by Gall, Gall and Borg (2003:463-464) and Creswell (2003:196):

- Establishing applicability of results through subjecting the data to scrutiny.
- Using triangulation, whereby responses from verbatim transcripts field from individual and focus groups interviews and performance management instruments *(documents)* were compared and contrasted to establish consistency and accuracy of statements.
- Member checking was implemented by discussing the research results with liaison officers at schools to determine the accuracy of the findings.

1.10 DATA ANALYSIS

Data analysis is the process of making sense of the data by consolidating, reducing and interpreting what respondents have said and what the researcher has observed and read. Merriam (2009:176) acknowledges that data analysis is a complex process that involves moving back and forth between concrete bits of data and abstract concepts. Silverman (2000:121) goes beyond Merriam's' assertion and posits that data analysis does not come after data gathering, but that after each and every session with a participant the researcher starts transcribing. When doing research in the Interpretivism paradigm, Miles and Huberman (1994:8) say that human discourse and actions could not be analysed with numbers of natural science and physical science because human

activity was seen as text, as a collection of symbols expressing layers of text. As such, in this study, the data gathered is treated qualitatively. Data were coded, retrieved and transcribed before they were interpreted according to different themes derived from the research questions.

1.11 ETHICAL ISSUES

The dynamic and on-going nature of relationships that are cultivated in qualitative research demand that the researcher interact with the respondents in an ethically acceptable manner. Although qualitative research studies seldom pose serious risks of harm against participants, the sensitivity of some of the phenomenon investigated cannot be taken for granted. Care was taken to ensure that the study observed ethical measures (Creswell, 2003).This study complies with the requirements of the ethics committee of the North-West University through the following actions:

- A letter approving the research study from the North West University Ethics committee, (see annexure 1).
- An approval from the Zimbabwe Ministry of Education, Sport and Culture, that authorizes the researcher to access research sites (schools) and respondents (teachers and school heads, DEOs and Deputy Provincial Education Directors)(see annexure2)
- Letters that inform research informants on the topic of the study, what the study aims to find out from them, and also informing them of their anticipated roles in this research, that emphasize that their participation in the study is solely on their willingness to take part as respondents to the interviews used to collect data.
- Participants' rights to confidentiality were assured in writing.(see annexure 3)

Add ethical issues, see notes from Mosoge and Pilane and from Tsvara

1.11.1 Permission from the MoESAC

Before the researcher gained access into the research sites, permission was sought from the Zimbabwe Ministry of Education Sport Arts and Culture, in the province where research was to be done. The provincial office gave the

researcher access to schools in all the districts in the province by date stamping and signing the introductory letter from the North-West University (Potchefstroom Campus) that the researcher submitted had at the Provincial office. Further permission was sought at each district office through the District Education Officers, who date stamped and signed the letter from the North-West University.

1.11.2 Permission to enter research sites

Permission to gain access to each research sites was given at provincial office, district office and schools where the interviews were to be conducted. The research sites are the sites for this study were defined by Maree (2011:2) as where the researcher conducted the research. Appointments were made with the DPEDs, District officers and school heads and school teachers.

At each school, school heads granted permission for the researcher to interview teacher participants. The educator explained the purpose for the research to potential participants and motivated them to take part on the study and establish rapport between researcher and participants. Appointments were done for the date of the administering of the individual in-depth interviews and focus group.

1.11.3 Permission to record interviews

The researcher visited the research sites on the dates for which appointments were agreed and interviews were held with see participants at each strata and the participants signed consent letters (annexure 3) before the interview process could start. All interviews were carried out as planned from October 2011-January 2012. Participate were verbally informed of their right to consent or withdraw participation and their right not to answer questions they felt infringed their right to privacy. Interviews were carried out following an interview guide. In both the one on one face to face in-depth interview and the focus group interviews the researcher recorded the responses using a digital voice recorder.

1.12 CONTRIBUTION OF THE STUDY

It was hoped that the findings from this research will inform and shape praxis relating to how performance management can increase the effectiveness of schools, how teachers carry their performance management duties so as to improve the motivation of teachers and school heads. Through findings of this study, it is hoped, that a more holistic approach to implementing performance management will be advocated for. This study would be the foundation on which to formulate a strategy of implementing performance management that takes cognizance of different environmental inertias that act against the implementation of innovations in schools. The study was used to formulate a strategy for planning, implementing and motivating staff so as to ensure that teachers and school heads have ownership of reforms in the education sector. The research findings were used to enhance the value of future innovations in schools through insightful recommendations through this study.

1.13 STRUCTURE AND CHAPTER DIVISION

CHAPTER 1 Research orientation

CHAPTER 2 Theories inform performance management and performance management implementation in schools.

CHAPTER 3 The state of performance management in Zimbabwean schools

CHAPTER 4 Empirical research design and methodology

CHAPTER 5 Data presentation, analysis and interpretation

CHAPTER 6 A Strategy for the implementation of performance management in schools in a Province in Zimbabwe.

CHAPTER 7 Summary, findings, conclusions and recommendations

CHAPTER 2
THEORIES THAT ARE RELATED TO PERFORMANCE MANAGEMENT AND THE IMPLEMENTATION OF PERFORMANCE MANAGEMENT IN SCHOOLS

2.1 INTRODUCTION

In this chapter, this thesis draws on various literature sources such as journal articles, internet information, newspapers articles, books and unpublished theses to carefully outline and analyse the implementation of performance management in schools in different geographical regions. An attempt is also made to carefully study the implementation of performance management as practised in developed as well as developing countries. The historical origins of performance management and theories that inform it as a management strategy is explored and arguments for and against the implementation of performance management in schools are given. Detailed accounts and critical analyses and syntheses on the implementation of performance management in schools in both the developed and developing countries been chronicled.

The legal frameworks guiding the adoption and implementation of performance management in both developed countries and developing countries is synthesized in order to develop a complete understanding of the performance management philosophy. Insights to performance management implementation in schools are developed and documented. The various factors, processes and conditions for the performance management processes are also evaluated and critiqued. The chronology of the literature review follows the structure given below, but not necessarily be confined to this outline entirely as new insights are discovered, thus the literature review is modified. Lessons learnt from experiences of various countries are applied to inform the study.

2.2 CONCEPTUALIZATION OF PERFORMANCE MANAGEMENT.

Performance management is the process for assessing the overall performance of a teacher or head teacher, in the context of the individuals' job description and making plans for the individual's future development in the context of the school improvement plan (TDA, 2006). It is about people and not just strategies or other techniques. The whole concept of performance management rests on the way people are managed by leaders to attain the goals derived from the needs of the organisation, leadership, and those other people employed in that particular organisation. The Municipality of George (2008:3) views performance management as a management tool to equip managers, supervisors, employees and stakeholders at different levels with techniques to regularly plan, continuously monitor, periodically measure and review their work in terms of the indicators and targets. Bacal (1999), Groete (2000), Leece (2001) and Glendenning (2002), in Anderson, Leech and Teicher (2004) identify performance management as the measuring, appraising and improving of the activities of an organisation including the activities of individual employees to ensure achievement of desired organisational outcomes. Thus, managing the performance of employees is expected to lead to high performing organisations. De Ceiri et al (in Owusu, 2005:1) propose that a variety of systems exist for the management of performance. Owusu (2005:2) identifies motivating achievement of outcomes such as relating pay to performance or desired behaviours as one way of motivating superior performance of employees.

According to ST Bartholomew's School (2008:1), performance management in education is a process to support the development of all teachers, to improve teaching and learning and to support school improvement and raise the standard of teacher and student attainment. It is designed to improve the quality of teaching, for the benefit of teachers, children and schools and is a shared responsibility among teachers, school

heads and in some cases, the schools' governing bodies. Baines (2009:1) suggests that performance management is a means to ensure the best use of limited resources. The Australian National Audit Office (ANAO) audit report (2004/2005:18) views performance management as a programme that provides a mechanism to systematically improve organizational performance by linking and aligning individual, team and organizational objectives and results. It also provides a means to recognize and reward good performance and to manage/punish any identified underperformance. The Government of South Africa (2007:5) views performance management as a process that facilitates the management of employees through planning regular reviews and feedbacks as a way of motivating employees to attain their full potential in line with a department's objectives. It is assumed that this process enables the employer to deal effectively with inadequate performance and equally permits the recognition of outstanding performance.

The implementation of performance management can therefore be used to help raise standards of teacher and learner performance, increase teachers' job satisfaction and develop professionalism and expertise among all concerned parties to the programme Norfolk schools (2010). The guidance of Professional Standards on performance management therefore provides the backdrop to discuss the performance and future development of employees. Such standards define the professional attributes, knowledge, understanding and requisite skills at each career development stage for teachers and school heads, thus, providing an understanding for the concerned individual's responsibility in the performance management process. Performance management in schools is also seen as part of a broader workplace cultural change agenda that transforms the school workforce by raising individual performance standards. Performance management, just like education, is a dynamic process

(Ministry of Education, Wellington, 1999:1), it is not a standard process in all organisations, but the guiding principles are generally the same. The statutory frameworks for performance management in schools are formulated by national governments, education ministries, local education authorities or counties depending on which arm of government was mandated to oversee education in different countries. In England, this mandate was provided for by the government through The Education (School Teacher Performance Management) (England) Regulations of 2006.

Notwithstanding the perceptions on performance management enumerated above, another school of thought conceptualises performance management as a means of strengthening managerial control over the workforce (Lane in Owusu, 2005:1). The establishment of performance standards and the regular monitoring of work done were perceived as asymmetrical to management control and a way of perpetuating hierarchical relationships in work organisations. Similar assumptions on performance management as a tool for teacher control were alluded to in earlier works. Fitzgerald, Young and Grootenboer (2003:91-94) had claimed that the implementation of performance management policies in the New Zealand schools had been a political reaction to public calls for the identification and regulation of teacher performance and accountability. Thus, the adoption of performance management regimes in the governmental sectors has courted much resistance and controversy because of the existence of multiple explanations regarding its goals and what it was meant to achieve, more so in the education sector.

2.3 THE HISTORY OF THE ORIGINS OF PERFORMANCE MANAGEMENT.

The history of performance management can be traced back to the many management innovations of the past which evolved in industrial management such as Management by Objectives (MBO) and Total Quality Management (TQM) movements of the past centuries. However, in more recent times, the origin of performance management was motivated by the pressure in the economic environments of both developed and developing countries alike that made it mandatory for countries to adopt better techniques of managing available resources for greater outcomes. The World Bank (2008:69 - 70) and Olum (2002:10) cite the following factors as reasons for reforms that birthed the adoption of performance management in both the private and public sectors; Popular pressure and the desire for faster economic growth and improved public services, fiscal crises have frequently motivated countries to seek support from the World Bank and other donors for public sector reforms, the European Union accession has also motivated the public sector reforms due to the transition from state (centrally) planned economies to market economies, and in order to achieve efficiency in the public services, the World Bank sought to encourage competition and markets, and private /public enterprises reform of the civil service by reducing staffing, introducing budgetary discipline, decentralising administrative structure and encouraging greater use of Non-Governmental Organisations (NGOs).

Based on these prescriptions, it was therefore, the generally accepted assumption that adopting measures that mitigated the economic crises would enable service delivery improvement in governments departments by adopting strategies that had been tried and tested in the private sector organisations. According to the Government of Western Australia (2004:1) an effective employee performance management system is seen as a key component in creating a performance culture where staff adopt the values and

behaviours that enable an agency to achieve its goals. Thus, the implementation of performance management in all public sectors (*including education*) was perceived as the panacea to treat all economic ills inherent in the public sector for the past two decades.

2.3.1 Theories Underpinning Performance Management

Performance management is a management tool; therefore, this section takes a look at the management theories that inform the implementation of performance management in public services generally and specifically its implementation in schools. The discussion centres around six management theories that the author feels play a crucial role in informing the practice of management in school settings. These are human capital theory, bureaucratic management theory, classical management theory, managerialism, goal setting theory and neo-liberalisation theory. In the next few paragraphs, each of these theories will be outlined and their relevance in the practice of education explored.

2.3.1.1 Human Capital Theory.

The study of Performance management can be understood through the Human Capital Theory lens since the prime purpose of performance management is to make employees more productive and thereby add value to the employing organisation. The core thesis of human capital theory is that peoples' learning capacities are comparable to other natural resources involved in the production process; when the resource is effectively exploited the results are profitable both for the human enterprise and for society as a whole (Livingstone, 1997:9). The concept of human capital was originated firstly, in the work of Adam Smith (1723-1770) with his famous book on The Nature and

origins of the Wealth of Nations published in 1776. In this book, Smith is credited with formulating the basis of what was later to become the science of human capital.

Schultz (1993) provides some valuable insights into the topic of investment in human capital. According to Schultz, (1961a and 1961b)and Becker (in Texteira, (2002:1), human capital has long been acknowledged as an important factor contributing towards the productivity of individuals in organizations. Becker (in Texteira. 2002:3) included in his concept of human capital, activities such as formal education and on-the-job training (general capital) and on-the-job training (specific human capital) as the vehicles through which any given nation creates its wealth. Hence, both formal education and on-the-job training are forms of education that if appropriately utilised can result in the creation of wealth of any nation. In concurrence with this assumption there is an argument by Schultz (1993:17) who proposes that "...education is the most important component of human capital". Thus, the continued improvement of a country's human potential through education, training and development is believed to result in the accumulation of wealth in its various forms. In the schools sector, the adoption and implementation of performance management was motivated by the need to develop a human capita that can be drivers of economic growth.

2.3.1.2 Tenets of Human Capital Theory.

The central belief of the human capital theory is that education is the engine for growth rate, so the development of any nation depends on the quality and quantity of educational attainment of the people in that country (Olaniyan and Okemakinde, 2008:157). Thus, in adopting performance management into education systems, governments all over the world wanted to ensure that their education systems and schools remain effective in producing the human capital that would continue to be the

drivers of economic development. Both formal education and on-the-job training are forms of education, and as highlighted earlier by Schultz (1993:17) ...education is the most important component of human capital. According to studies by Bartel (1989), Howell and Wolff (1991) and Paris (1995) cited in Texteira (2002:1), it has been increasingly identified that human capital development is a factor that influences the competitiveness of firms and organisations *(including schools*). Hence, by implication, schools are organisations whose success is hinged on the competitiveness of the teaching staff at their disposal.

An attempt to define human capital can be viewed in light of past economists who considered human beings and/or their skills as a capital. Smith (in Texteira, 2002:2) asserted that the skills of men/*women* may be regarded as a machine that has a genuine cost and yields a profit. Further to this, Smith (1937:265-266) argued that:

> Fixed capital consists of the acquired and useful abilities of all the inhabitants or members of the society. The acquisition of such talents, by the maintenance of the acquirer during his/her education, study or apprenticeship always cost a real expense, which is a capital fixed and realized as it were, in his/her person. The improved dexterity of a workman may be considered in the same light as a machine or instrument of trade which facilitates and abridges labour in which, though it consists of costs a certain expense repays that expense with a profit.

Applying this to schools, one is persuaded to equate the abilities of the teacher to fixed capital, and as a teacher and as the teacher execute his/her duties they created a profit through the production of future human capital. This human capital is the people who will man certain jobs in future are and are nurtured in these schools,

2.3.1.3 Human Capital Theory, Productivity and the Efficiency of Workers.

Olaniyan and Okemakinde (2008:158) observe that human capital theory emphasises how education increases the productivity and efficiency of workers by increasing the level of cognitive stock of economically productive human capability which is the product of innate abilities and investment in human beings. In similar view, Psacharopoulos and Woodhall (1997:102) assert that human resources constitute the ultimate basis of the wealth of nations. Thus, according to Psacharopoulos and Woodhall's (1997), submission, capital and natural resources are passive factors of production, while human beings are the active agencies who accumulate capital, exploit natural resources, build social, economic and political organizations, and carry forward national development by engaging their knowledge, skills, aptitudes and potentialities in their quest to create economic value.

Schultz (in Marimuthu, Arokiasamy and Ismail, 2009:266) takes the human capital debate further and views "human capital" as a key element in improving a firms' or organisations' assets and employees in order to increase productivity as well as sustain competitive advantage. Thus, to sustain competitive advantage in school settings, the human capital (teachers and school heads) become instruments through which productivity, learner performance, and teacher and school management's output are improved. Marimuthu et al in Schultz (2009:266) further assert that human capital refers to the processes that relate to training, education and other professional initiatives that are engaged in order to increase the levels of knowledge, skills, abilities, values and social assets of an employee which lead to employee's satisfaction and performance, and eventually the performance of the firm.

2.3.1.4 Application of the Human Capital Theory to Education Management.

In the school set up, the intellectual and technical skills that teachers have are the ones that differentiate one school from another, and determine how well the school and its students perform. Teachers that are endowed with superior technical and pedagogical skills therefore stand a greater chance of influencing the achievement levels of their learners through their engagement of superior methods and use of high order teaching /learning skills. Hence, from the perspective of Classical Economic Theory, the human capital theory considers labour as a commodity that can be traded in terms of purchase and sale on the labour market. Classical Economic Theory, therefore, focuses on the exploitation of labour by capital. However, in educational settings, human capital refers to the knowledge, expertise, and skill one accumulates through education and training. Therefore, if performance management systems are to achieve meaningful results in schools, there is great need to recognize and reward the right knowledge, the appropriate level of expertise and pedagogical skills accumulated by teachers and heads of schools as a way of motivating superior preparation for exceptional performance.

According to Hung, Liou, Chiu and Chiu (2009:3), human capital is considered as the company's assets that include all resources based on human beings, ranging from corporate value, culture and philosophy, to the internal management classes and all employees who possess experience, professional knowledge and specialist skills, along with their individual attitudes, beliefs and behaviour, and the overall irreplaceable capital to help foster organizations to develop creativity. Furthermore, Hung, et al (2009:3) saw human capital as referring to the people that possess skills, experience and knowledge and are of economic value to organisations. Petrescu (2009:484) contends that human capital and its management are important because it gives the possibility to

organizations to use more productively their personnel by means of measurements, analysis and evaluations rather than by suppositions. This assumption therefore effectively leads this discussion towards the importance of placing a value on someone's' work in order to account and place a value on and for the time they claim to be spending in endeavours that enhance the acquisition of profits for the employing organisation.

Yaping and Jingfang (2007:30) emphasize that organisations decide on the amount of human capital investment they make by comparing it with the potential future benefits to be accrued. Thus, human capital in this context refers to technical training and knowledge build up for employees. According to Yaping and Jingfang (2007:30), two central themes that emerge in the human capital theory are that;

- People are assets whose value can be enhanced through investment. Therefore, with investment the main goal is to maximize the value of the human capital while managing to minimize the risk.
- The second is that as the value of people increases, so does the performance capacity of the organisation, and therefore its value to its stakeholders.

In any organisation, the most important resource that makes a difference is the human capital. All organisations thrive on their competitive advantage which is derived mainly from their human capital. So according to this view, it is important for organisations to invest and maintain human capital in order to sustain their strategic targets. Yaping and Jingfang (2007:29) further identify elements that contribute to the value of organisations as numerous, and these are organisational capital, customer (relations) capital and human capital. Yaping and Jingfang (2007:29) thus, argue that all these factors centre on human capital as the foundation for all sorts of capital. A similar thinking is provided

by Odden and Kelly (2008:1) who posit that the strategic management of human capital in education concerns the acquisition, development, performance management and retention of top talent in the nation's schools. So if schools as organisations are to make a significant impact they need to consider acquiring the best minds that may ever have been available, develop them to a level of their own, by inculcating their organisational culture and work-ethic of the school. Further to this, schools have to learn to retain whatever talent they have so that they may continue to offer that high class service to the school children.

2.3.1.5 Value of the Human Capital Theory to Performance Management.

Human capital theory speaks to and directly influences the philosophy of performance management in both the private and the public sectors, and filters its influence even more specifically to the schools sector. As alluded to earlier on, human capital refers to the expertise and skills that individuals acquire in preparation for employment. These levels of competence determine to a great extent the individual's ability to influence the uptake of facts and values by the student. Thus, from this perspective, human capital theory exerts great influence on performance management as currently practised in schools.

2.3.1.6 Application of the Human Capital Theory to Performance Management in Education.

The main reason necessitating the strategic management of human capital in education as observed by Odden and Kelly (2008:1) is for the improvement of student performance by substantially improving instructional practice and the effectiveness of teachers and principals in carrying out their responsibilities. Thus, enhancing the value of employees, according to Yaping and Jingfang (2007:1) is therefore a win-win goal for both the organisation and employees alike. This can be achieved by identifying

strategies, policies, and practices that can deliver and retain top teaching, leadership and management of talent in schools (Odden and Kelly, 2008:1). Thus, Yaping and Jingfang (2007:1) contend that the more an organisation recognizes the intrinsic value of each employee, the more it recognises that this value can be enhanced with nurturing and investment; the more it recognises that employees vary in their talents and motivation, and that a variety of incentive strategies and working agreements can be created to enhance each employees' contribution to organizational performance. Hence, the more likely the organisation will be to appreciate the variety of employee needs and circumstances and to act in ways that will make sense for both in the organisation and human terms.

In order to improve the quality of education, Odden and Kelly (2008:1) in their reference to schools in America, observed that when it comes to the performance of educators and their students, the first is talent per se. The extent of talents possessed by the principals, teachers and students determines the level of performance of the school in its academic endeavours. Odden and Kelly (2008) suggest that one of the primary objective of Strategic Management of Human Capital (SMHC) is to identify how the highest quality of human capital-talent can be recruited to work as teachers, principals and human resource management leaders in the schools.

It is therefore imperative that if schools are to perform exceptionally well, there is great need to recruit personnel that have some exceptional talents and skills that are capable of inducing positive responses by students and influence them towards exceptional performance. Highly talented and skilled teachers and principals contribute to the efficiency, effectiveness and economic use of meagre resources available in schools in order to yield high returns from minimum inputs which are pillars of any performance management philosophy whether it is practised in the private or public sector.

2.3.2 CLASSICAL SCIENTIFIC MANAGEMENT THEORY

Classical Scientific Management is a theory of management that analyses and synthesizes workflows with the objective of improving productivity. The core ideas of the theory were developed by Frederick Winston Taylor in the late1880s and early1890s. Scientific Management Theory, though generally credited to be Frederick Winslow Taylor's work; it should be acknowledged that Taylor recorded work from a pool of engineers whom he worked with at the Steel works industry. Frederick W. Taylor (1856-1915) is largely credited as the Father of Scientific Management Theory, which sought to improve industrial efficiency (Hunter 2001:1; Serrat, 2010:1). It is important to acknowledge at this juncture that Scientific Management is rather a mechanistic theory of management. Based on the time and motion studies, classical scientific management tended to reduce the employee to the level of a machine in the organisation and as such employees were considered as asserts that could be given specific values in terms of cost (value) to the organisation.

2.3.2.1 Tenets of the Classical Scientific Management Theory.

The greatest fundamental of Classical Scientific Management is that the principal object of management is to secure the maximum prosperity for the employer, coupled with maximum prosperity for the employee (Taylor, 2003:9). Maximum prosperity, thus, according to Taylor (2003) meant the development of every branch of the business to its highest state of excellence so that prosperity may be permanent. According to Hunter (2001:1), the aim of scientific management was to increase productivity, and this is the core of the whole theory. Literature records, according to Hunter (2001), that there was resistance to the implementation of scientific management at its inception even in the private sector, this scenario, it was argued, was closely related to human behaviour towards any new innovation whose intentions they do not fully comprehend. The

emphasis of scientific management was mostly anchored on production and output (Hunter, 2001:2) as a means of ensuring that the organisation can develop and realise its full potential in order to evolve to the next higher level it was capable of propelling itself to.

Scientific Management Theory relates to performance management mostly on its notion of ‘payment by results’ and the sequence of the series of steps as prescribed under time and motion studies of F. W. Taylor. It is argued that it is these steps that workers ought to follow that result in increased efficiency and the improvement of results. Whereas Taylor looked at the time and motion studies on the best use of a shovel for feeding machinery, for the performance management systems, Helm, Courtney, Holladay and Tortorella (2007) argue that it aims to determine the effectiveness of organisations in aligning the individual employee’s performance goals to institutional goals and linking individual employee performance to organisational rewards. This focus by performance management is a deliberate attempt to distinguish between high performers and low performers in the organisation (school) situation with the aim of administering rewards for outstanding performance and to mete out sanctions to low performers as negative reinforcement. The allocation of rewards according to each employee’s productivity is therefore meant to bring contentment and commitment for those who have been rewarded positively while also sending a message to underachievers so that they may also double their efforts for their own good.

Moving from the specifications of efficiency under Taylor’s Scientific Management, Helm, Holladay and Tortorella (2007), proposed that performance management was a complete system that encompassed goal attainment, education, communication and continuous feedback that lead to the recognition of top performers in an organisation. Recognition of top performers was viewed to be important as organizations try to retain

their top talents and improve the performance of all employees in an effort to positively influence outputs.

Research to date has primarily focussed on one component of performance management - the linking of performance to pay. Thus, it is not surprising because many organizations are implementing pay–for–performance initiatives, using subjective managerial ratings to determine merit-pay (Helm, et.al 2007). According to Helm et al (2007), pay for performance initiative was in place in many organizations, but only a few organizations specify the goals for the performance management system, also, very few organisations evaluated whether or not those goals are achieved or aligned to the goals of the organisation and employee of the organisation and the organization's strategic plans. Helm et.al.'s (2007) study wanted to determine the effectiveness of aligning individual performance to institutional goals and to bring a better link between performance management and rewards (i.e. to distinguish high performers from low performers).

The history of results oriented management has largely been a top down approach in terms of its inception and implementation. Those in high management levels analysed performance of their organisations and came up with strategies to improve the performance of the organisations they led, hence, the top down nature of such interventions. In modern day management, Sandfort (2009:2) also observed that result oriented management systems were first imposed as top-down innovations during the mid-1970s; and as such, today's management system evolved from that foundation. According to Perrin (2009) research in Sweden show that there was a considerable resistance to performance management in both the private and public sectors, and that managers and staff are not clear about what the value of performance management is to such organisations. Over all, the research in Sweden also concluded that there was

need for the creation of buy-in in the use of performance management down the line (*up to grassroots level*) if it was to have any value amongst people who were to implement the innovation. Thus, the modern day employee had some negative perception of any innovation that originates from high in the organogramic structure as they lack the participatory approach to innovations and leadership in organisations.

2.3.2.2 Scientific Management Theory, Performance Management and School Effectiveness

The link between scientific management theory and the practice of education is a very close one. The implementation of performance management in schools derives directly from the classical work of Frederick Winston Taylor that advocated predetermined ways of doing things as suggested Taylor's time and motion studies. One of the concepts deduced from Taylor's time and motion studies is the amount of time the educator spends performing given tasks. For a school to run smoothly there was need for doing activities according to the time allocated that particular activity. As a result of this, schools today were guided by time tables that are used to allocate periods for the teaching of all curricular subjects in the school system. The quality of the educators' interaction with students (time-on-task) determines the quality of student achievement and this also derives directly from the time and motion studies. Taylor's time and motion studies advocated for minimum waste in order to achieve higher operational efficiency and this also directly relates to expectations of performance management in schools where the education system and different schools in particular are expected to achieve more returns on limited budgetary resources.

2.3.3 BUREAUCRATIC MANAGEMENT THEORY

Bureaucratic management theory may be described as a formal system of organisation based on clearly defined hierarchical levels and roles in order to maintain efficiency and

effectiveness in an organisation. Bush (1995) indicates that the main features of bureaucratic structures are hierarchical structures of authority that were characterised by formal chains of command between different positions in the hierarchy. This pyramidal structure is based on the legal authority vested in the office-bearers who hold positions in the chain of command. Bureaucratic management is conceptualized as necessary for the effective administration of public programmes. However, some authors express the fact that bureaucratic management is also known for being legalistic and indifferent to the needs of the citizens (Peters, N/D). According to Styhre (2008:635)

> ...bureaucracy is known for the establishment of routines, standards, operating procedures, clear organization, boundaries, hierarchical chains of command, and fixed roles and assignments, and other typical bureaucratic mechanisms that enable predictability and effectiveness and celebrated organizational accomplishments, but it is also fiercely criticised...

Bureaucracy was characterised by tightly formulated systems of rules, standard operating procedures and clearly demarcated domains of expertise and authority. Styhre (2008:639) further observes that in a bureaucracy, control is inscribed into the job and role descriptions. The bureaucratic system was based on formal documentation and reporting. Bureaucracies are embedded in writing practices: the writing of manuals, routine specifications, contracts, scripts for standard operating procedures and so forth are activities preceding, supporting and reinforcing bureaucratic organization (Styhre, 2008:645). Thus, bureaucratic management may be described as a formal system of organisation based on clearly defined hierarchical levels and roles in order to maintain efficiency and effectiveness. The main focus, therefore, in the bureaucratic management systems was that of dividing organisations into hierarchies, establishing

strong lines of authority and control so as to enhance efficiency of the management process.

2.3.3.1 Tenets of the Bureaucratic Theory.

The basic assumptions of bureaucratic theory can be summarised as follows: Its hierarchical nature emphasised systematic communication of orders, authority among formally established positions. Thus the top-down authority epitomizes bureaucratic management, focused on division of labour based on functional specialisation, guided by a system of procedures, rules and regulations covering rights and duties on the workplace. In bureaucratically managed organizations, leadership teams derive the changes from the top with very little if any involvement from the staff on the ground. Thus, most changes in bureaucratically managed organisations and programmes are conceived from the top, as opposed to from the bottom up, reason being the understanding that change programmes can be more successful when directed from the top, bureaucratic management relies on the impersonality of interpersonal relationships, and promotion and selection that is based on technical expertise (Bush 1995:14-15). Bureaucratic management theory seeks to influence promotion and selection of employees based on merit.

2.3.3.2 Relevance of the Bureaucratic Management Theory to Performance Management.

Throughout the practice of education the influence of the bureaucratic management theory is overly evident. The operation of school systems is based on a hierarchical structure that derives directly from bureaucratic management. At the top of the school organogram is the school head, followed by teachers, below it are the auxiliary staff and learners are at the bottom of the organisational structure. Bureaucratic management theory influences operations in education and the division of labour is derived directly

from this theory. The school head has specific tasks to perform in the management of the school whist teachers and learners also have to perform their specific functions in schooling organisation. Rules and regulations in the school system ensure the smooth running of the organisation and promotion to posts of responsibility is based on ones' technical expertise and experience. Weber cited in Bush (1995:47) argued that bureaucracy was the most efficient form of management capable of attaining the highest degree of efficiency and most rational means of carrying out imperative control over human beings. Since one of the pillars of performance management anchors on efficiency, the focus of bureaucratic management theory dovetails perfectly with performance management. However, Bush (1995) challenged this view and suggested that an organisation should not ignore or underestimate the value of the contribution of individuals within the organisation. The value of the contribution of the individual in an organisation is of immense proportions because the individual acts as the foot soldier in an organisation and thus through his / her experiences the organisation is able to identify where the shoe pricks or where it itches and thus, can provide valuable and credible information that can help nurture the organisation and spur it to great heights.

2.3.3.3 Application of Bureaucratic Management to Education.

The bureaucratic management system has had great influence on how the practice of education is managed even today. In this section, the points raised above are expounded on and its direct relevance and application to education is given.

- **Hierarchy:** The effectiveness of any organisation is enhanced when there is a single head and when the super ordinates delegates authority. In education, bureaucratic management thrived in the school set up because the school head was the single authority who delegates authority to teachers in the school. In this

relationship, authority is dual, any superior has the right to command and subordinates are expected to be compliant and carry out the delegated responsibility to the expectation and satisfaction of the super ordinate. Formal position, authority and its control over rewards and punishment are the main means of gaining compliance from subordinates.

- **Division of labour:** Bureaucratic management systems thrive on division of labour. In a school system, the division of labour is based on grade allocation or subject specialization for effectiveness of teaching purposes. There are specific roles that are played by those who occupy the different offices such as the school head and the school deputy head, head of department and so forth.

- **Procedures, rules and regulations:** In bureaucratic organizations, there were systems of rules and regulation that act as guide to behaviour and performance. Schools as organizations borrowed heavily from bureaucratic management theory by following strict rules for the accountability of teachers and the behaviour of learners in order to achieve its goals. Based on these rules, school heads have an enhanced opportunity to control the activities of their subordinates through full implementation or selective implementation of these rules.

- **Impersonality of relationships:** In bureaucratically managed organisations, Weber contends, that there should be the existence of impersonal relationships between management and employees. Thus, Weber in Bush (1995) argued, it was necessary for managers to maintain an impersonal relationship with employees because of the need to have rational decision making process rather than one influenced by favouritism and personal prejudices

- **Promotion based on merit (competency):** Competence should be the basis for all decisions made when hiring, for job assignments and promotions. Weber's argument for this was that following this process would eliminate personal bias and the significance of "knowing someone" in central personnel decision making system or structure.

2.3.3.4 A Critique of the Bureaucratic Management Theory.

Bureaucracies have been blamed for almost everything from passing the buck to the downfall of civilizations. In politics, bureaucracy birthed dictatorships because of its ability to control people. Bureaucracies are often criticised for exhibiting qualities being out of touch with the needs of the people they must serve, exhibit qualities of sluggishness, and show complacency and arrogance in the way service is delivered (cf. par. 1.1.1). According to Seidman (2011:1) everybody seems too quick to the finger of blame at bureaucracy when things go wrong including the media, politicians and academics. However, on a positive note, bureaucracies are credited with bringing orderliness in the manner that governments, organisations and institutions operate in real life.

Bureaucratic management systems are known for over conformity, (Kimani, n/d: 22), they encourage conformity and continuity of the status quo through adherence to set rules. Thus, it discourages the promotion of change through the over emphasis on adherence to rules. The implementation of change, such as performance management in schools requires schools as systems to be creative and this creativity is stifled under bureaucratic management systems.

Bureaucracies also do not allow two way communication (Kimani, n/d: 23). Orders are from the top and sometimes difficult for subordinates to communicate with top

management. Bureaucratic organizations are slow in decision making decisions and the insistence of bureaucracies on the search for rationality normally creates communication blockage which generally contributes to delays in decision making.

2.3.4 GOAL THEORY OF MANAGEMENT

Goal theory is a theory of motivation that influenced performance management. The theory was developed by Locke (1960). After a series of experimental studies he wrote an article titled “Towards a Theory of Task Motivation and Incentives”, published in 1968, which became foundational to goal theory.

2.3.4.1 Tenets of the Goal Theory.

According to Latham and Locke (2006), Locke and Latham (2002) goal setting involves establishing specific, measurable, achievable, realistic and time targeted (SMART) goals. Literature on goal setting theory suggests that it was a tool for making progress in an organization by ensuring that participants in a group with a common goal are clearly aware of what was expected from them.

It was the understanding of Locke and Latham (2002) that much of human behaviour and action is purposeful in that it is premised on and directed by conscious goals. To them, Goal Theory stems from dissatisfaction with current performance. The four peculiar tenets of goal theory identified by Latham and Locke (2000) are that: Goals focus attention towards goal relevant activities and away from goal-irrelevant activities: goals serve as an energizer for action. Higher goals induce greater effort while low goals induce lesser effort, goals affect persistence; constraints with regard to resources

affecting the workplace, and that, goals activate cognitive knowledge and strategies that help employees cope with the situation at hand.

From the four major thoughts on goals outlined above, it was strongly evident that goals were of vital importance to performance because they facilitated the individual in focussing their vital efforts in a specific direction thereby resulting in the achievement of success. The literature further attest that Locke and Latham (2003) and Latham (2004) observed that goals can boost motivation and performance by leading people to focus their attention on specific objectives, increase their efforts to achieve these objectives by persisting even in the face of setbacks by developing new strategies to better deal with the complex challenges to goal attainment. In support of this view, Heslin, Carson and Vandewalle (2009) agree with Locke and Latham (2003) and Latham (2004) and conclude that by providing direction and a standard against which progress is measured and monitored, challenging goals can enable people to refine and guide their performance.

Participation in decision making, feedback, competition and the availability of monetary incentives only affect individuals' behaviour to the extent that they lead to the setting of and commitment to specific high goals (Locke and Latham, 1990; Latham, Borgogni and Petutta, 2008). Thus, as alluded to earlier on, achievement of challenging goals might lead to recognition, promotion or increase in income from one's work and become the energizer and motivation for their action.

2.3.4.2 Comparison of Goal Theory and Performance Management.

A close examination of the goal setting theory shows the closeness of its relationship to performance management in the way it was conceived and how it operated in organizations. Public organizations' existence is anchored in mission statements.

Mission statements are declarations of the purpose for which they are in existence. In order to fulfil their missions, organizations have to establish goals to help focus how energy will be expended. Goal theory recognises the importance of goals in guiding activities towards the fulfilment of mission, such is with performance management and both derive directly from management by objectives. .

TABLE2: Summary of the comparison between goal theory and performance management is given in the table below:

Goal-theory (guided by goals)	**Performance management (guided by objectives)**
Premised on specific and challenging goals that are (SMART)	Guided by specific objectives that are formulated in SMART terms.
Goals used to guide performance and action (Barney and Griffin,1992)	Objectives are the backbone for action, and are the drivers of action.
Goals used to facilitate planning (Barney and Griffin 1992)	Objectives used to give focus and guide planning
Goals help formulate a basis for evaluation and control of performance	Objectives used to formulate measurable standards on which discrepancies in performance will be evaluated against

Goals motivate employees towards superior performance with the anticipation of extrinsic rewards.(such as **promotion**, **salary increase** and **improved recognition**)	The achievement of smart objectives led to extrinsic rewards such as promotion, salary increase and higher recognition in an organisation.

Source: Authors' own thought

2.3.4.3 Application of Goal Theory to Performance Management in Schools.

According to Locke and Latham (2003, 2006) goals affect the performance of individuals in a number of ways and these were directly linked to the implementation of performance management in schools. In the school setting, goals help learners, teachers and management to focus their energy and actions, measure progress in the teaching process and ultimately help them achieve purposeful results of continuous improvement which were the major goal of performance management in schools. In supporting this argument, Robinson, Hohepa and Lloyd (2009) identified that establishing goals and expectations had major influence in the success of an institution. Furthermore, they identified goal setting in the education context as the process of setting, communicating and monitoring of learning activities, the setting of standards for evaluating success and expectations, the involvement of teachers and other stakeholders so that there can be consensus about the goals.

Goals can be viewed as drivers of action and contribute to the level at which energies will be expended in order to achieve them. These goals, according to Robinson et al (2009) can only be motivational when the following three conditions are met: Teachers, students or parents feel they have the capacity to meet the goals. Either they believe their current resources (*human capital, cash, equipment and technological*

requirements) are sufficient for the purpose or they are confident that they will be given additional expertise and the support they need, people are committed to the goals. This requires first of all that they understand and value them (*they need to have sufficient buy-in, ownership and goal commitment*), the goals are specific and unambiguous.

In view of the argument presented above, Staniok (2012) posits that according to goal theory, commitment to goals can be expected to have considerable influence on performance (*management*). Deriving from earlier work by Locke and Latham (1990) and Latham, Borgogni and Petutta (2008) on goal setting and its effect on the performance of employees in organizations, Staniok (2012:15) argued that;

> Goal commitment has an effect on organizational performance in that employees focus on what is to be accomplished and enhance the effort and persistence of the employees' work behaviour towards achieving those targets. Employees take the organizations' goals to be their own and work harder towards their achievement.

Staniok (2012) comments further and highlighted that participation in decision making, the availability of timely feedback, competition and monetary incentives only affect individuals' behaviour to the extent that they lead to the setting of and commitment to a specific high goal. Thus, in the school situation the setting of high goals can lead to teachers directing their energies towards achievement of these goals which leads to improvement of results among students, through participative decision making.

Management plays its part in the formulation of high level goals, providing necessary resources that can directly influence the achievement of the high goals. These resources include technological resources and incentives that help teachers focus on the task without being distracted by negative circumstances in the school situation. Thus, when these positive conditions are met, the implementation of performance

management in schools can be expect to be powered properly as described by the goal theory.

2.3.4.4 A Critique of The Goal Theory.

In spite of the positive talk about goal theory and how it relates to performance management implementation in schools; it is also true that too much reliance on goal theory may produce negative results. Whilst specific and challenging goals can produce positive results, there are situations where goals can be a deterrent to the achievement of such goals, (Ordonez, Schweitzer, Galinsky and Bazerman, 2009). Scenarios that are believed to lead to such occurrences are the fact that:

- **Goals are too specific**- In a situation where goals are too specific people end up overlooking other important features of a task (see Simons and Chabris 1999; Neisser, 1979 cited in Ordonez et al 2009) as posited in the well-known study of intentional blindness. This focussing problem has broad implications (Bazerman and Chugh, 2006) and direct relevance to goal setting. In case of schools, too much focus on results of students enforces the intentional blindness to implementers and makes it appear like schooling is all about quantifiable academic achievement.

- **Narrow goal focus**- another well-known weakness of the goal setting theory is that when you frame goals, people tend to narrow their focus, and may lead people to exert their efforts in one aspect of the organisations life to the detriment of other aspects (Ordonez, Schweitzer, Galinsky and Bazerman 2009:7). Thus, consistent with the classic notion that you get what you deserve, goal setting may cause people to ignore important dimensions that are not

specified in dimensions of performance or those that are not specified in the goal setting system (Kerr, in Ordonez et al, 2009).

- **The use of goal setting creates a focus on the end rather than the means**- This scenario is highlighted by Barskey (2007) who argues that goal setting impedes ethical decision making by making it harder for employees to follow ethical procedures. Ordonez et al (2009) posited that aggressive goal setting actually made it easier for people to rationalise unethical behaviour such as teaching to the test and creaming.

- **Goals create a culture of competition**- Mitchell and Silver, (1990) allude to the fact that organisations that rely heavily on goal-setting may erode the formulation of cooperation that holds the group together, thus, over reliance goals may promote competition rather than cooperation and will ultimately lower overall performance.

2.3.4.5 Section summary.

The formulation of challenging goals has, according to various scholars been accredited with improved employee performance in their jobs. Goals help give focus and drive to employees so that the day to day work processes focus directly on those aspects that improve performance by eliminating effort and resources leakages while focussing on key organizational expectations. The availability of timely feedback also energizes employee performance. The capacity of the organization to provide requisite resources together with appropriate incentives are claimed to provide the extrinsic drive to employees and results in them wanting to own organizations' goals as their own.

2.3.5 MANAGERIALISM THEORY AND PERFORMANCE MANAGEMENT.

2.3.5.1 Tenets of Managerialism (philosophy) Theory.

Managerialism is not management or leadership as such, but it is underpinned by the assumption that all aspects of organisational life can, and should be controlled (James, n/d: 8). It is also characterised by marketization of public services, privatization, performance measurement and accountability regimes (Tolofari, 2005:75). The wave of managerialism gave birth to a number of changes in which organisations were managed, both in the private and public sectors. As a result of the managerialism movements, all governments (whether in the developed or developing world, were to govern in a context of accountability in the face of social movements and more aggressive and intrusive mass media operating in a highly competitive information seeking and processing environment (Lynn, 2003:21, citing Aucoin and Heintzmann, 2000:46). Thus, managerialism gave birth to the state's ability to control education and teachers (Gamble, 1999).

Managerialism, according to Yamamoto (2003:6), which birthed New Public Management (NPM), unites the institutional economics and the managerialism from business management thought that originates from private sector administration. Yamamoto (2003:6), opined that it was the conflation of elements of contract in the new organisational economics about the fusing of the contractual elements in the field of new institutional economics-such as the principles of measuring performance and introducing competition as described in Hood's list (see Hood,1991:4-5;1995b:96) that gave birth to concepts such as performance measurement, the introduction of competition in the public sector, coupled with the concept of management by objectives (MBO) borrowed from business administration that gave managerialism its character and content. Under managerialism, the public sector strategy was to use contractual arrangements as a tool for output control and management freedom. According to

Hoyle and Wallace (2005), managerialism proposes that everything falling under the authority of a manager has to be controlled by management tools and techniques. Thus, by adopting private sector management techniques in the public sector, it was believed that it would alleviate the chronic management challenges that bedevilled the public sector which were almost non-existent in the private sector organizations. NPM (managerialism) was therefore seen as the panacea for management ills in the public sector since it had been successful in the management of private sector organizations.

2.3.5.2 The influence of managerialism theory on performance management.

Most of the terminology and concepts that are used in performance management have a direct origin in managerialism. The issue of the large-scale privatisation, corporatisation and commercialisation (Boston, Martin, Pallot and Walsh, 1996: Ferlie, Pettigrew, Ashburner & Fitzgerald, 1996) that took place in the education sector from the early 2000s were a direct product of managerialism. The adoption of business style marketization (Boston et al., 1996; Ferlie, et al.; 1996; Larbi, 1999; Yamamoto, 2003) heralded the business sector and management style, wherein, top public managers can exercise a great amount of discretionary power exhibited in such tools as mission statements, development plans, labour contracts and performance agreements were all born out of managerialism.

According to Boston et al. (1996), Ferlie, et al (1996), Larbi (1999) and Yamamoto (2003) the issue of cutting costs in the provision of education, where the least resources are maximally utilised with the aim of achieving maximum utility possible is also a direct influence from managerialism. In some instances, the adoption of cost cutting measures have led to the introduction of user fees being paid by consumers of education (parents of learners), this has become a departure from the ideology of welfarism in education

that many developed countries practise and has evolved into the practice where the consumer (student) of the product (education) pays for the service rendered.

2.3.5.3 Application of Managerialism to education management.

The adoption of market driven and managerialistic principles from business are all too evident in the education systems practiced the world over today. The adoption of performance management system and its implementation in education is one such direct influence of managerialism on education. Performance measurement and management systems generate information that can be used to control and monitor processes in the education system. This is done through the introduction of accountability measures through institutional performance monitoring evaluation. This aspect has also been derived directly from managerialism. Simkins (2000:327) argues that the reinforcement of the position of the school heads/ principals that focus on overriding accountability of the institutional leader is also derived from managerialism.

Managerialism brought changes in the way education is run, at the school level, the greater involvement of parent boards in the managing of schools is a result of reforms brought by managerialism (Tolofari, 2005:84). In secondary schools, managerialism has been justified as a means of cutting costs whilst simultaneously raising standards (Beckmann & Cooper, 2004). Ozga and Deem in Alexander (2001:414) argue that even policy makers have increasingly defined education along lines of its economic functions, with reduced emphasis on cultural, social and political contributions education makes to society at large. In emphasizing the influence of managerialism on education, Barton (1998:81) highlighted that in America, schools were encouraged to compete for pupils, introducing new funding arrangements... and the requirement of the publication of performance league tables and the establishment of new forms of inspection. All these

were justified by the claim that schools would be more effective, more efficient and generally improve the educational performance.

In conformance with managerialism, everyday language of the business world has permeated all areas of education (Barton 1998) thus; education policy and practice have been greatly influenced by managerialism, even to the extent of making education a private rather than a public good. In education institutions, management is required to be more tight, more controlled and accountable to its stakeholders, yet they are also to foster entrepreneurialism to bridge the widening funding gap created by the reduced funding votes from governments as they battled to control expenditure. Ferlie et al (1996), Arnott (2000) and Raab (2000) outline the structural changes that took place in education as a result of managerialism as follows:

- **Roles and relationships have changed:** In schools, management has become more hierarchical and staff participation in decision making in the devolved management of schools is dependent on the management style of the head or leadership. However, statutory powers have been given to parents to be involved in the decision making process.

- **Pattern of accountability:** The requirement for accountability to stakeholder expectations was increased by the adoption of managerialism approaches to managing schools.

- **The flow of resources:** The number of learners the school has on its roll determines directly the size of the budget a school can expect. Therefore, schools have to play in a quasi-market scenario in order to attract pupils in competition with other schools.

- **Head teacher/ principal roles:** The school head/ principal is now more of a manager, the business style, than a teacher who leads a group of teaching professionals. According to Simkins (2000:327) managerialism brought about reinforcement of the positions of the heads/principals and a focus on overriding accountability of the institutional leader. Under the modern set up, the school head must acquire skills in finance, budgeting, human resource management and other skills in managing the school.

- **Performativity:** This is the concept that observes that the efficacious use of allocated resources is the determinant measure of true value in any organisation. Performativity is synonymous with the business focus on the value of shareholders to the organisation (Peters, 2004). This has led to the new emphasis on performance appraisals where in a school situation, performance was judged by output which also leads to output-related-pay systems that are prevalent in all performance management regimes in education today (Reeves, 2003). Heystek (2007:496) writes on the state of managerialism in education particularly in South Africa and argued that managerialism is established on the principles of control, performativity, and assessment. Heystek (2007) citing Gewirtz and Ball (2000:254) further asserted that managerialism is seen to move the focus away from the learners' needs to the organisational needs of the organisation as its focus has almost moved from the need to focus on learner needs to how organisations can achieve maximum efficiency and effectiveness on meagre resources.

- **Other changes.** Other changes brought about by managerialism include tighter senior management teams such as school management teams (**SMTs**) in the schools, school development planning, the introduction of School Governing Bodies (**SGBs)** in the case of South Africa and the United Kingdom contexts, and

School Development Committees **(SDCs**) in government aided schools, Parent-teacher Associations **(PTAs**) in Trust Schools, and School Development Associations (**SDAs**) in the case of government schools (in the Zimbabwean context). In schools there has been evidence of an increasing cultural distance between the senior managers in a school and the rest of the staff (Simkins, 2000:327). Because of the demand for academic ranking that is being enforced in education systems the world over, school managers are now more concerned with school effectiveness and school position in quasi-market style, whereas the teachers' concern is the curriculum and pupil performance.

However, in spite of all these changes that managerialism brought to education, evidence abounds to show that these changes have not necessarily achieved what they intended to achieve. To this end, Walker and Scott (2000:66) argued that neither the quality of student learning nor the capacity of teachers to improve their classroom skills had been affected. In fact, Walker and Scott (2000) posit that indeed reforms aimed at standards alone have been judged as largely unsuccessful. Alternatively, the ideological drive towards performance improvement is said to be placing enormous pressure on both teachers and pupils (Chitty and Dunford 1999, Bottery, 2000) to the extent that it has brought stress and related illnesses among teachers. In other cases, this has forced teachers to resort to the use of unethical practices in order to improve grades of learners so as to be seen as being successful in the implementation of performance management.

2.3.6 NEO-LIBERALISM THEORY

One theory that has had an influence on the practice of education is the neo-liberal theory. There are many definitions of neoliberalism; however, Harvey (2005.2) defines neoliberalism as "... a theory of political and economic practices that propose that human well-being can be best advanced by liberating individual freedoms and skills within an institutional framework." Thus, liberalisation was meant to be characterised by

strong property rights, free markets and minimum state interference in market activities. Seifert (2011:4), agrees with the above thought and reported that; "…neoliberalism advocated for the liberalisation of trade, finance and lets the market forces set the price of goods and services on the trade market". Seifert further asserted that the market is seen as the best allocator of resources and this applies both for the public and private sectors. In relation to this, prior ideas by Tabb (2002) suggested that under neoliberalism, there was a move towards the privatisation of public provision of goods and services(*including education, health and social-welfare among others*), moving their provision from public to private sector along with deregulation (*of the economy*) is seen as the major characteristic this neo-liberalism theory.

2.3.6.1 Historical origins of neo-liberalism theory

The origins of neoliberalism and its defining material and ideological characteristics have been well charted historically. It was firstly advanced by theorists like Milton Friedman and Friedrich Von Hayek of the so called Chicago school of economics. Neoliberalism, or advanced liberalism emerged as an academic counter-discourse to Keynesianism in the post war period (Rose, 1996). From its humble beginnings, it gained popularity when the USA was under Reagan and the United Kingdom was under Thatcher. Its tenets have since achieved wide consensus as the only natural way of managing the new technologically, demographically, and environmentally changing world (Harvey, 2002, 2005). Dean (1999, 2007) posits that neoliberalism seeks to limit governmental involvement in the public sector. Means (2008) records that neoliberalism calls for the deregulation and privatisation of public systems and the dismantling of trade barriers in order to maximise global mobility of capital.

2.3.6.2 The tenets of neo-liberalism theory.

From the definition of neoliberalism given above, it can be deduced that its tenets hinge around deregulation of the economy, trade liberalisation (Hursh, 2005: 4) and the dismantling of the public sector such as the provision of education, health and social services (Vilas, 1996). The prescription of the neo-liberalism theory is summarised by its features which include among others, according to Vilas (1996) and Hursh (2005) holds perceptions that; Market competition is the best allocator of resources, profit seeking and maximisation are the best forms of incentives in business, claims that if efficiency is practised at the point of production, wastage will be eradicated, replacing producer domination (the professionals) with customer sovereignty enhances greater accountability in organisations, entrusts greater authority to senior managers through performance measures and targets, use of performance indicator tables, inspections, tight regulations and name and shame measures, it advocates for the marketization of services through competitive supply side institutions, and instead of getting financial votes from government, neo-liberalisation suggests that privatization initiatives, the outsourcing of management, student fees charges and patient charges in the health sector ensures viability in providing social services.

2.3.6.3 Influence of neo-liberal theory on performance management.

Contributions of neoliberalism to performance management cannot be overemphasised. The changes that have been introduced in education the world over in the name of performance management are all a result on the neoliberal policies. The push for deregulation and decentralisation of education in the early 1990s derive directly from neo-liberalisation (Hill, 2005:259). According to Hill (2005) the adoption of the new public management form of management into the management of schools, colleges and education services; commercialisation of education services and the charging of fees

and outsourcing of services to privately owned companies all derive from the neoliberal ideology.

It is important to acknowledge at this point as Harvie (2005:4) stated, that, the neoliberal obsession with 'performance', efficiency, external controls and measure (*metrics*) …had an adverse effect on how education is administered and managed .Therefore, the shift to neoliberalism, education systems themselves have come under increasing pressure to restructure; to become more efficient to provide value for money. It is these pressures therefore, as Levidow (2002:18) proposed, that have driven the marketization of schooling, the corporatisation of schools… and various attempts to design and impose metrics across this sector.

2.3.6.4 Impact of neo-liberalism theory on education management.

Neoliberalism has impacted on education systems both in the developed world and the developing countries alike. According to Hill (2005:4) for neo-liberalism the market is both a democratic and efficient solution in the distribution of resources. In this respect, Whitty et al. (1998), Robertson (2000) and Hatcher (2003) have described how the United States and the United Kingdom and its former colonies have embraced the markets and choice as a means of improving education.

In an analysis of the changing systems in education in five countries, Whitty et al. (1998:35) and conclude that "within the range of political rationales, it is the neo-liberal alternative that dominates, as does a particular emphasis on market mechanisms." These authors describe how proponents of market reforms argue that they will result in more efficient and effective schools. On the other hand, Robertson (2000:174) notes that "Much of the choice/markets agenda has been shaped by the criticism of schools as inefficient bureaucracies that are unresponsive either to community or individual

interests". Schools and particularly teachers are said to be unresponsive to the expectations of communities because it is claimed they know parents cannot take their children elsewhere, but just enrol learners at schools near their zones of residence.

In the United Kingdom, the provision of education has been exposed to marketization and privatisation through the ideology of managerialism and its belief in business management practices. The provision of education in the United Kingdom has been affected by what Beckman, Cooper and Hill (2005) record as follows:

- Private sector involvement in education services, which includes the selling (sub-contracting to private providers) from educational institutions services such as cleaning, catering and security services,
- Those schools that perform poorly are offered to private management by a sponsor who then is authorised by law to appoint their own school head-teacher and decide the curriculum they implement,
- Successive negotiation rounds in which government sought to claw back conditions while offering minimal pay rises accompanied by extreme intensification of teachers' work, and,
- Imposition of market models in the management of schools which has lead to extensive inequalities in conditions for teachers and students alike.
- Proponents of liberalisation claim that 'private' is better than 'public' and that competition improve standards, productivity and efficiency (Hill, 2005:259).
- Greater difficulty in securing recognition for trade unions and their rights to represent workers.

- Lower pay and increased differences in pay and conditions through performance-related-pay.

- An increase in the levels of report writing, testing and accountability, monitoring and surveillance, both by in-house management and by government external agencies (Hill, 2006:8).

- Reduction of funds towards public education, imposition of standardised tests to regulate freedom of teachers in the name of accountability, and privatisation of schooling among others (Ross and Gibson,2007:2-3)

- In the United States, England and Wales, neoliberal education policies have transformed educational systems according to the market principles of accountability, choice and efficiency (Ross and Gibson 2007:219).

- Also in the United States of America, the Federal No Child Left Behind (NCLB) Act which uses students' scores on standardised examinations to determine whether schools are succeeding or failing is a direct consequence of neoliberal policies on education (Kumar,2007:219)

- In the United Kingdom, schools that have open enrollment receive funding based on the number of students in the school, consequently, schools compete for students who require fewer financial resources and are more likely to raise the school's aggregate test scores published in the annual school, league tables (Kumar, in Hursh, 2005:220;

- According to Hill, (2007:223), the most significant impacts of neoliberalism on education is the "loss of critical thought" due to increasing subordination of education and its commoditisation.

The above mentioned changes were adopted as a result of the recommendations and claims by the World Bank (1991:64) that virtues of the private sector, especially, compared to the public system included positive characteristics of internal efficiency which had almost no waste, lean organisational charts, better decision-making, and flawless discontinuity of administration, agility in crises solution, better student teacher and student staff ratios. Thus, premised on this assumption, Hill (2006a:5) observes that the private sector model of management has been adopted into the management and provision of education services almost everywhere in the world today and thus, neoliberalism got its influence on performance management in educational institutions.

Beckmann and Cooper (2004) argue that liberalisation and marketization in education has had, and continues to have profoundly damaging consequences for the British education system and society more generally. As observed by Ball (1998:190) this market restructuring has led to forms of organisation control, and Ball (1998) refers to it through the term of performance, efficiency and performativity. Performativity, according to Beckmann and Cooper (2004), works in at least two ways.

- First, it works as a disciplinary system of judgements, classification and targets towards which schools must strive and against and through which they are evaluated...

- Second, as part of the transformation of education and schooling and the expansion of the power of capital, performativity provides sign systems which 'represent' education in a sub-referential and reified form of consumption...

The concept of performance management in education derives directly from neoliberalism ideas which are dominated by the market-based reforms of the 1980s. The introduction of self-managing schools under neoliberalism justified changes on the

basis of enhancing economy, efficiency and effectiveness. These three Es were meant to increase value for money, and the extension of the “freedom of choice” to parents in order for them to select the appropriate school for a child. Thus, according to Beckmann and Cooper (2004) managerialism largely involved the introduction of private sector techniques to public sector management techniques in the name of the three Es, namely, **economy**, **efficiency** and **effectiveness**. It is also these three Es that are the foundational themes upon which performance management in education are currently premised, (Beckman and Cooper 2005).

Therefore, proponents of choice and markets argue that efficiency and equity in education could only be addressed through choice where family or individuals were constructed as consumers of educational services (Robertson, 2000:174). Those agitating for ‘choice’ argued that increasing the range of parents’ choice over their children’s schools and funding schools based on the number of students that they attract introduces a competitive market approach to the allocation of resources.

In England specifically, education is seen as an opportunity for corporations to produce human capital for competitiveness in the global economy. Gewirtz, Ball and Bowe (1995) assert that schools in England were set within the whole paraphernalia of the market system philosophy. Lewis (2004b) follows up the same argument and observes that in England and Wales the experiences of students has been larger classes and a lowering of standards such as less contact time with staff. However, by comparison, the involvement of multi-national corporations in education in Africa does not equate to the circumstances of the United Kingdom because most corporations in Africa have their parentage elsewhere. Thus, the level of private sector participation in education in African countries is still at a minimum since the corporate social responsibility of such multi-national companies is in countries where they originate from and not in countries

where they perform their business operations. It is however, in these countries where a dire need for capital, technological and infrastructural injection is priority in order for them [*developing countries*] to emulate or operate in close comparison with situations obtaining in the developed world. .

Henales and Edwards (2002) give experiences in Latin American countries, and they report that neo-liberalisation imposed programmes such as decentralisation, deregulation, privatization and tax reforms and these reforms contributed to the worsening level of the state of education in these countries. Furthermore, Henales and Edwards (2002:121) argue that the neoliberal theory emerges from the International Financial Institutions (IFIs) headed by the World Bank and International Monitory Fund. According to Henales and Edwards (2002), it is these institutions that then championed programmes of structural adjustment; they inspired the policies now known as neoliberalism. Experience and documented evidence show that these reforms in both the education and several African economies were a direct prescription of these two aforementioned institutions.

The extreme case of the impact of neo-liberalisation in education can be given as the case of Pakistan, which, according to Niazi and Hameed (2002) privatised all 19 432 public institutions under the guise that the state alone could not provide universal primary education and shoulder the cost of the entire education system alone. By 2004, there was an estimated 56 000 private institutions operating in Pakistan providing education to about six million students (Government of Pakistan, 2004).This practise expressly show how certain governments' education systems have been fully decimated by the impact of neoliberal policies on education.

Under neo-liberalism, the mandate of education has moved to creating employability and economic productivity which have become central to the need to developing skills required for a person to become an economically productive member of society. Robertson (in Hill, 2005:5) describes the changing mandate as thus; '…educational systems, through the creation of appropriately skilled and entrepreneurial citizens and workers able to generate new and added economic values, will enable nations to be responsive to the changing conditions within the international marketplace. Thus, the whole discourse of neo liberalism according to Hill (2005:5) has connected the education system to the economy by explicitly blaming schools for the economic challenges that faced most countries all over the world, including the failure of the United States economy under Ronald Regan in the 1980s. Therefore, because education systems had been framed as the root cause of the economic problems, this justified the call to reform education systems such that as rightly expressed by Hill (2005), governments had to be seen to be doing something to alleviate the economic problem, hence the introduction of reforms in the education sector.

2.3.6.5 Neo-Liberalism and Privatisation of education systems in the USA and UK, and New Zealand Australia.

The United States of America and Britain enacted education policies emphasizing choice/markets, standards, accountability, privatization and diversity (Hill, 2005:6). In Great Britain, the market system of education was introduced and this allowed for the open enrollment system resulting in more parental choice on decisions pertaining to the type of schools their children could be enrolled in. In the United States, the adoption of the No Child Left Behind (NCLB) policy explicitly introduced choice and competition by suppliers of providers of education into the education system (Hill, 2005:7) According to this policy, students had the ostensible option to leave a school that failed to make

adequate yearly progress. Such failing schools did not only lose students, but they also lost out on funding as the financial support system was heavily reliant on the number of students enrolled in any particular school.

In Great Britain for instance, Robertson and Lauder,(2001:232), noted “that middle-class parents sought out a segment of the market...that enabled them to access the ...educational settings that can convert into a positional good in a more competitive labour market. Studies by Gewirtz (2002) indicate that school choice exists differently for some socio-economic groups than for others. All these changes can be attributed directly to the changes that have been dictated on education by the neo-liberalisation ideology.

According to Laitsch, Shaker and Heilman (2002), leaders from such organisations as The Heritage Foundation, the Thomas B. Fordham Foundation, the Hoover Institution and the Education Leaders Council, emphasized the principles of individual economic and political freedom; [and] private enterprise to take root in education. It is the leaders of such organisations that formed the brain trust behind the support for educational markets and the privatisation of public education, which is now a common feature the world over. As a result, the Department of Education of the United States of America in the early 2000s, supported privatisation by allocating funds to organisations that promote the voucher system to the tune of US$50 million for a voucher programme in Washington DC (Miner, 2004:9). Further to this, Miner (2004) records that from 2001 to 2003 the Bush administration granted US$77.6 million to groups dedicated to the privatisation of education through the voucher systems. According to Miner (2004), these groups aimed to replace public schools with private schools. While the situation in the United Kingdom and the United States of America are not really identical, Harvey (2005:3) argues that there were many common themes which are even shared by

education systems in other developed states. Some of these themes include for profit education institutions, the invasive intervention of both private sector corporations and government in the day to day running of schools (*and universities*). Thus, as argued by Harvey (2005:3) it has led to the following: The increasing importance of market relations, management's use of performance indicators, performance management and various forms of performance-related pay (or merit pay), and the rhetoric of "efficiency" and global competitiveness ", among others. In England, the education system is seen as an opportunity for corporations to 'produce human capital for competitiveness in the global economy and to open up state education systems to private education for profit companies (Hatcher, 2003:1). For example:

- School inspections and professional development, previously carried out by the state, are now conducted by private corporations (Hatcher, 2003:4).

- Corporations sponsor 'specialist schools', and through their sponsorship gain the ability to appoint the majority of the school board and control the direction of the curriculum of the school. While corporations cannot now make profit from their sponsorships, the conservatives are hoping to eliminate that restriction (Peterson, 2004:32).

- Schools were encouraged to market their curriculum; one school has made US$10million profit over two years by selling its courses that prepare students for exams (Peterson, 2004:34).

As summarised above, it is evident that education reforms of the last two decades have resulted in systems that emphasize individualism, competition, marketization, and auditing through standardized tests and other accountability measures (Hill, 2005:13) which forms the whole corpus and fabric of the neo-liberalisation agenda in education.

Writing on how schools have been victims to marketization in some developed countries, Lynch and Moran (2006:4) report that in countries like the United Kingdom and Australia, education is clearly defined as a market commodity at an official policy level. In stark contrast though, to the developments in the other developed countries, Lynch and Moran (2006) observe that Ireland outlawed the performance league tables and discouraged competition between schools by prohibiting the selection of students on the basis of the academic attainment.

Ball and Youdell (2008:19) recorded that the first nation to engage in a thorough going market reform of education was New Zealand. This was due to the fact that several of the Labour party government members had been educated within and influenced by the Chicago schools of free market economies. The liberalisation of education in New Zealand, according to Codd (2004:21) became a major export industry. Codd (2004) estimates that foreign fee-paying (FFP) students in New Zealand institutions created up to twenty thousand jobs, and contributing NZ$7 billion per year to the New Zealand economy, making education the fifth largest industry in their economy. This reflects a picture of the rapid commercialisation of New Zealand's public education system. Codd (2004) thus, argued that commercialisation of public education experienced in New Zealand could be seen as the latest phase of a neoliberal agenda that began with policies of decentralisation, marketization, privatisation and general subordination of education to economic objectives.

According to this submission, in many ways, New Zealand schools now function like small businesses. Codd (2004:27) recorded that schools were required to carry out strategic planning, to exercise efficient management, and to engage in entrepreneurial activities so as to generate their own incomes and lead self-sufficiency. Further to that, Codd recorded that other sources of income may derive from fundraising, parental

donations, sponsorship or the marketing of education services to fee-paying foreign students.

According to Easton (1999), a New Zealand economist who clearly did not subscribe to the economics of neoliberalism, the purpose of such commercialisation (in schools) is not only to improve education, efficiency in the utilisation of resources, but to change the very nature and purpose of education. Thus, Easton (1999) argues that in the 1990s, under the influence of neoliberalism the central focus of education policy shifted from citizenship to national economy and the role of schools in fostering an enterprise culture so that in the words of the then Minister of Education, Hon Lockwood Smith, "…education would deliver the skills and attitudes required for New Zealand to compete in an increasingly competitive international economy''.

Thus, the real philosophical, psychological and sociological aims of education as promulgated in the past have been distorted and in its place commercialization, commodification and businessification purposes have been imposed on the education system. Hence, the education systems of the whole word stand in awe of this adverse development that threatens to obliterate the foundational purpose of education in present day civilisations.

2.3.6.6 Standards and Assessments in the education system in the UK and the USA.

Stringent measures to ensure compliance with curriculum requirements were adopted in both the United Kingdom and United States of America, and these required subject area tests administered at several stages, in the form of standard assessment tasksIn the USA, the promulgation and adoption of the No Child Left Behind (NCLB) policy introduced the requirement for the development of standards and the giving of standard

tests in mathematics, reading and science. As a result, in some states the combination of the federal and state testing requirements results in students facing a minimum of 33 standardised tests during their school career (Hill, 2005:8). This had a profoundly great influence on the curriculum as teachers are compelled to prepare students by teaching towards the tests and avoid the negative consequences that are meted out towards non-achieving teachers and under achieving schools.

2.4 UBUNTU PHILOSOPHY AND MANAGEMENT IN EDUCATION

2.4.1 Introduction and background of Ubuntu

Management theory was intricately intertwined with the way of life of a people. From the time of primitive societies to the industrial revolution and the computer age, the cultural values of the time permeate management literature and folklore. In African literature, the management philosophy that guides action is appropriately called Ubuntu. According to Karsten and Illa (2005), Ubuntu provides a strong philosophical base for the community concept of management. This management philosophy permeated and resonated within African cultures and was an ever present reality in all Bantu civilisations of sub-Saharan Africa. Tambulasi and Kayuni (2003) aptly captured and locate the spirit of Ubuntu in African societies and cited African languages such as Shona (Zimbabwe), Chewa (Malawi), and Zulu (South Africa) in which the principle of communalism was heavily evident and say the central doctrine of ubuntu is “umuntu ngumuntu ngabantu abanye / munhu, munhu ngevanhu”. When loosely translated this means “a person is a person through and because of other people”.

2.4.2 Definitions of Ubuntu

In an attempt to fully understand the concept of Ubuntu this thesis tries to define what Ubuntu really is. Even though it is difficult to pin down the meaning of this philosophy to a few countable words, the following definitions bring the reader closer to what Ubuntu stands for Koster (1996:11) sees Ubuntu as the underlying foundation of African culture, It is a way of life that characterizes the communal nature of African communities as it brings to the fore images of supportiveness, cooperation and communalism. Another scholar, Nussbaum (2003:2) conceptualises Ubuntu as the "capacity in African culture to express companion, reciprocity, dignity, harmony and humanity in interest of building and maintaining community with justice and mutual caring.

2.4.3 The philosophical content and contexts of Ubuntu

According to Kochalumchuvattil (2010:46) the system of Ubuntu revolved around a universal recognition of human worth which formed the spiritual foundation of African societies. Supporting evidence to this thinking was given credence by the work of Shuttle in Kochalumchuvattil, 2010:109) who affirmed that the name is given to the underlying philosophy called Ubuntu *[in IsiZulu*) and Hunhu [*in Chi Shona*] and believes that who a person was", is a result of what is seen *[perceived]* in him by other persons. In this regard, Kochalumchuvattil (2010:110) opined that according to Ubuntu, there exists a common bond between all human beings and it was through this bond that our interaction with our fellow human beings that we discover our own human qualities. Therefore based on such understanding, this philosophy of Ubuntu *[or humanness*] continues to gain significant attention in the African philosophical discourse. Thus, from a geographical/historical perspective, sub-Saharan African societies had been known for their collective purpose of existence in the historical past, as opposed to individualistic and cut-throat competition that is synonymous with and symptomatic of western civilisation.

According to Gelfand, (1973:57-121) the aspect of **Ubuntu in Nguni and Unhu/ Hunhu in Shona** derive from parents and tribal practices from the distant past. These practices were passed down as oral traditions taught to the youth at various stages of their development and growth. This difference in the purpose for existence between Western civilisation and the African civilisation is echoed by Ramose (1999:80) who observed that “Ontologically, African traditional thought emphasises the primacy of the greater environing wholeness over that of the human individuality. On the cosmological front, Ramose (1999) further asserted that the implication of Ubuntu is that the human individual is inextricably linked to the entire encompassing universe. That is, the individual exists within a state of symbiosis with everything that exists around them.

According to contemporary thought of Ubuntu, Ubuntuism (the philosophy) as expressed by Kasenene (in Masengwe and Machingura, 2012:19) has three main principles to fulfil in the African realm of existence namely; communalism, holism and vitalism. In the spirit of the theory and practice of Ubuntu as inspired by these above named principles, the community was obligated to the life and well-being of individuals through the same individuals or rather the individual was obligated to the life and welfare of the community. Thus, as observed by Ndebele, Mfutso and Masiye (2008) this communalism refers to the life of equitable sharing, solidarity and hospitality shown every member of society for the sustenance of the community during difficult moments. Murove (2009) argued persuasively and stated that sharing, solidarity and hospitality were the cornerstones of the Bantu survival in a cruel world.

Murove (in Masengwe and Machingura, 2012:21) asserted that, these values [*of communalism, holism and vitalism*] were regulative elements of social organization where no individual expected payment for serving the community where they live and come from. Furthermore, the value of Ubuntu to African life is summarized by Shonhiwa

(in Lutz, 2008), who opined that the idea to promote the good of a community is to promote the good of all its members: the underlying tenet of Afrocentric leadership which was collectivism. This notion refers to communalism or living collectively with the objective to ensure that no one falls too far behind anyone else.

By holism, the Bantu viewed life as a holistic unit; where spiritual and material could not be separated. Both were important at the same time (Murove 2009). Murove as cited by Masengwe and Machingura (2012) assert that as building blocks to communalism, the spiritual world was part of the community and for her future generations who were implied by the concept of vitalism. Murove (in Masengwe and Machingura, 2012) further asserts that vitalism refers to the energy and power to live shown by self-development and life enhancing strategies. In Bantu societies, reproduction was numbered among examples of vitalism where children represented ones energy and a promise for community survival.

Ubuntu is the principle of caring for each other's wellbeing in a spirit of mutual support (*where)* ...each individual's humanity is ideally expressed through his or her relationship with others and theirs in turn through recognition of the individuals' humanity. On the other hand, Tutu (1999:34-35) characterises

> "…a person with Ubuntu as one who is open and available to others, affirming of others, one who does not feel threatened that others are able and good; for he/she has a proper self-assurance that comes with knowing that he or she belongs in a greater whole and is diminished when others are humiliated, when others are tortured or treated as if they were less than who they are".

Tutu in Kochalumchuvattil (2010:110) celebrated Ubuntu and proclaimed that, "It is part of the gift Africans will give to the world". Its major tenets are that it embraces

hospitality, caring about others, willing *[ness]* to go an extra mile for the sake of others. We believe a person is a person through another person that my humanity is caught up, bound up and is inextricable in yours. When I dehumanize you I inextricably dehumanise myself.

The central focus of Ubuntu is the status of the self in African socio-ethical thought and is reflected by the communitarian features of its social structures. This makes the foundational beliefs of Ubuntu which sees life as part of the invisible constituent parts of the universe. Things are said to be ontologically related to one another, and there is a belief in the intercommunications between the visible created order and the invisible world of God, spirits...which are only possible when human beings become the ontological means between entities acting above and below them (Kochalumchuvattil, 2010). Prior to the above, evidence from Temples (1959:108) had captured the essence of such thinking when he points out that ”Bantu psychology cannot conceive of a man as an individual, as a force existing by itself and apart from its ontological relationship with other living beings”. Another author, Senghor (1964:93) concurred with the above and asserted that; “Negro-African society puts more stress on the group rather than the on the individual, more on solidarity than on activity and needs of the individual, more on communion of the persons than on their autonomy” Mbiti (1969:108) acknowledges the communal dimension of the African way of life and contributed to the debate by stating that;

> “In traditional life, the individual does not and cannot exist alone except corporately. [*S/He the individual]* owes this existence to other people including past and future generations and ...contemporaries. *[S/He]* is simply part of the whole. The community must therefore make, create or produce the individual, for the individual depends on the corporate group, and whatever happens to the whole group happens to the individual. The

> individual can only say, “I am because we are; and since we are therefore I am”.

Thus, as Mbiti (1969), rightly observed, this is the cardinal point in the understanding of the African view of man.

Nasseem (1992) also acknowledged the above thoughts and states that the starting point of African epistemology is the premise that, “we are, therefore I am” In Nasseem’s understanding, the African philosophy is a collective mind and for the African, “I” pre-supposes a “We” in fact “I” is contingent upon “We.”

Gyekye (1997) in his moderate communitarian theory argues that the individuality, autonomy and responsibility are to some extent respected and catered for in the African communalistic understanding, one cannot fail to notice that the assertions of individual freedoms , autonomy and responsibility are rarely exercised owing to the authoritarian hierarchical structure and deep respect for tradition found in the African culture.

According to Chimuka (2001:29) Ramose has given an elaborate exposition of **Ubuntu** (**Hunhu**) philosophy; the basis of ontology and epistemology for the Bantu-speaking people of which the Shona is part. **Ubuntu** (**Hunhu**) is thus, the ontological and epistemological moral fountain of African philosophy (Chimuka 2001:29). Murove (2005:143) subscribed to the views of Ramose (1999) and argued that traditional African thought espoused the idea that the individual exists by virtue of belonging to the community. Thus, according to Murove (2005: 144) the understanding is that the individual is what they are because of the existence of other people or the community *in which they live*. (Emphasis is mine). This belongingness is popularly known as the ethic of Ubuntu. This collective concept of existence common among sub-Saharan Africa has grown in stature and has evolved into a management philosophy known as **Ubuntu**.

In the Zimbabwean context, specifically, with reference to the philosophy of Ubuntu, Samkange and Samkange (1980:38-39) proceeded to define Ubuntu/Unhu as the attention one human being gives to another; the kindness, courtesy, consideration and friendliness in the relationships between people; a code of behaviour; an attitude to other people and to life is embodied in Unhu or Ubuntu. Humanism is therefore, something more than humanness deriving from the fact that one is a human being. in the views of Sindane and Liebenberg (2000:38) all these authors concur that Ubuntu affirms the humanity of the individual (the "I" or subject) in direct relation or reciprocity with other fellow humans. In the following paragraphs, this thesis outlines the concept of Ubuntu and analyse the link it has towards the way how educational institutions are managed in African societies, particularly those identified in later sections of this literature review.

2.4.4 Tenets of Ubuntu philosophy and the dilemma of borrowed management philosophies.

The history of management and leadership literature both in the private sector and public sectors is dominated by Western thought and ideas. Nkomo (2007) citing House & Aditya (1997) reports that 98% of leadership theory emanates from the United States and has been developed by studying American leaders. Yet, leadership theory is largely presented in management literature as universal. In an earlier response to this anomaly, Minnick (1990) points to faulty generalisation or non-exclusive universalization of American management ideas and theories as a significant error in the production of knowledge. The error, Minnick (1990) conceded, occurs when one group (American leaders) is studied but the knowledge generated is then used to represent the whole ***univers*al** concept of leadership [emphasis supplied by author].

Kiggundu (1991) asserts that western leadership and management ideas are generally used for the evaluation of African leadership and management processes. Thus, as argued by Jackson (2004) this ends up perpetuating the binary categories of developed versus developing world classifications and reinforce western management and leadership as the solution to complex social, economic and political problems. Nkomo (2007:6) posits that United States theories of leadership and management may not apply outside of the United States because of difference in national cultures peculiar to different countries. As a result of the universalization and imposition of the American management thought on African education management systems and leadership, it has been generally difficult to assign value in terms of the success or failure in implementation of these philosophies because of their alien natures based on their places of origin, their objectives, national cultures and the general socio-economically different environments they are made to operate in.

The second wave of attack on African institutions is in the form of the chorus for good governance which may apply both in politics and to the management of organisations. Commenting on the points of departure of the African Power and Politics Programme (APPP), Booth (2009;2) observes that good governance provides an inadequate agenda for Africa because it contains a surfeit of purportedly universal notions about what is good which actually reflects certainly rather specific features of the history of the West.

According to Hayden (2006; 2008) and Shivakumar (2005) it, 'good governance' fails to reflect on the more genuinely universal experience that institutions work better when they build on what exists, make use of indigenous institutional creativity or are otherwise rooted in their socio-cultural context. They work badly when they rely heavily on the implantation of alien ideas without major modification of models that have worked in

other times and places. Consequent to the implantation of these ideologies, African literature on management and leadership has also become a casualty to this status quo and has been relegated to a second tier of management thought not only throughout the western world but also on the African continent itself. However, there has been a systematic attempt in the recent past years by African authors and scholars to try and write on an African management philosophy. Thus, as observed by Masengwe and Machingura (2012) the policy of performance management in education lacked correct information from incubating nations, but depends on developing country's experiences in implementing western policies, and thus fails to integrate the international dimension of astute policymaking and implementation where implementers take cognisance of the local environmental factors that militate policy implementation.

Edoho (2001) contends that an African management philosophy is a practical way of thinking about how to effectively run organisations on the basis of African ideas and in terms of how social and economic life is experienced in the region. Nkomo (2007:6) observes that proponents of African management philosophy argue that Africa's effort to engineer authentic development will continue to be unsuccessful until endogenous leadership and management systems are established and institutionalised. Writings and researches by fellow African scholars and authors on African management systems such as Gelfand,1973; Samkange and Samkange, 1980; Blunt and Johnes,1997; Ramose, 1999; Kamoche,2000; Ayansi-Archibong, 2001; Chimuka,200 1; Edoho, 2001; Mangaliso, 2001; Mbigi, 1997, 2005 & Ngambi, 2004;and Murove 2005 also attest to this thinking.

2.4.5 Ubuntu Management Theory as a Sub-Saharan Africa management concept

Ubuntu management philosophy derives mostly from the Sub-Saharan concept of personhood which is common in all the Sub-Saharan African countries. Many authors such as Khoza (1994), Mbigi (1997; 2000; 2004) Pinsloo, (1998), Teffo, (1999), Edoho (2001) Mbigi and Maree (2005), Broodryk (2006), Nkomo (2007), and Shumba (2011), have written extensively on the **Ubuntu** philosophy. According to Mbigi (2000:6) **Ubuntu** simply means “I am because you are - I can only be a person through others” and he contends that this concept is uniquely African and even universal for it is implicitly expressed elsewhere in the world. Broodryk (2007) defines **Ubuntu** as a world view that contains the basics values of humaneness, caring, sharing, respect and compassion. **Ubuntu** is seen as an African ethic, a humanist Sub-Saharan African Philosophy, and a way of life that emphasises cooperation ,compassion, community and concern for the interest of the collective, for others and respect for the dignity of personhood (Barrett, 2008: **Ubuntu** Network, 2007). Msila (2008) goes further and identifies that the **Ubuntu** style of leadership and management involves a departure from hierarchically structured management relations and rather produces a cooperative and supportive form of leadership. Shumba (2011:85) proposed that **Ubuntu** is an ecologically relevant management philosophy peculiar to sub-Saharan Africa and is an alternative moral and ethical framework for sustainable development in both education and communication. Thus, Ubuntu has great relevance to education in terms of performance management because it engenders continuous communication between supervisor and supervisee throughout the performance management cycle starting with the planning phases of performance management, to the subsequent reviews and the final rating of the employee’s performance.

2.4.6 The influence of Ubuntu philosophy on performance management.

Performance management is a systematic process of improving organisational performance by developing the performance of individuals and teams (Armstrong, 2006:495) and according to de Waldt (2004:39) performance management is an approach to management that harnesses the endeavours of individuals, managers and workers towards an organisation's strategic goals. On the other hand, Heysteck, Roos & Middlewood (2005:2), viewed performance management as a process to set performance goals for the individual and help support the individual to achieve those goals. These definitions dovetail into earlier work by Dean (2002:1) who asserts that good performance management leaves staff ... feeling supported in their work ... helped overcome problems they may encounter. Lastly, Aguinis (2010:77) sees performance management as a continuous process of identifying, measuring and developing the performance of individuals [***and that]*** of teams and aligning performance with the strategic goals of the organisation (emphasis mine).

These definitions for performance management as outlined above strike a chord with the tenants of the Ubuntu philosophy as will be shown below. Performance management implementation from the western perspective thrives on mistrust and competition. It takes a mechanistic approach where the human being is equated to a tool to be used in the production of value. Much of the ideas on performance management are influenced by classical scientific management theory. Thus, instead of consciously working in tandem with team members, competition is cultivated amongst colleagues and this breaks the spirit of team building in schools. Pinsloo (1998) argues that the **Ubuntu** style of leadership involves a departure from hierarchically structured management relations and rather introduces a cooperative and supportive form of leadership in which collective solidarity of the group is employed and respected. It is therefore imperative under Ubuntu as observed by Mbigi (2004) who asserts that in

indigenous African traditions, the leader is the one who is the medium of hope and channel for meaning. Thus, in agreement with Mbigi (2004), Msila (2008:71) further asserted that under Ubuntu and the process of performance management in schools, the principals as the leaders need to take a leading role as they assist their teachers to make meaning of the challenges they meet in their schools.

Performance management advocates for team work. Real team work can only be arrived at when the school teams embrace Ubuntu because other management and leadership theories that are steeped in western management and leadership theories advocate for competition among colleagues and aloofness. Shumba (2011:88) opined that in western thinking (which permeates current performance management implementation) the individual is a basic unit while the African world view (**Ubuntu**) believes that the individual is, because of others thereby enforcing the group solidarity stance. This observation agrees with Khoza (1994) who observed that Ubuntu has practical implications for the workplace because it carries values of creative cooperation, empathetic communication and teamwork which are necessary to the success of teams in schools as organisations. According to Msila (2008), it is this value of the collective inherent in **Ubuntu** that makes Ubuntu relevant to performance management in schools because in the school situation, the sum total of the activities by members of the school teaching team are the enablers of effective performance of the school as an organisation.

2.4.7 Application of Ubuntu philosophy to education management and leadership in schools.

The various attributes and tenets of Ubuntu philosophy have a direct bearing not only on the practice of education management and leadership, but more significantly so, on the implementation of performance management in school settings. It is through this

understanding that the following paragraphs are dedicated to the explicit purpose of showing the practical relevance of **Ubuntu** philosophy to the implementation of performance in schools.

The ecological relevance of Ubuntu philosophy to education in the African contexts is underlined by the fact that **Ubuntu** frameworks regulate the behaviours and actions of individuals in favour of cooperation, solidarity and the collective (Shumba, 2011:93). It is these values of Ubuntu collectiveness, communalism (Shumba, 2011: Hofstadter, 1980, Sigger, Polak & Pennink, 2010), commitment and compassion (Broodryk, 2006) cooperation, solidarity (Jackson, 2004) that the successful implementation of performance management can be built around. Above all, Mbigi (2000) argued that it is these values that inspire the African genius in people management because it appeals not only to leadership and management, but that it permeates every fabric of the African life. Onyemelukwe (1973:115; 139) and Odubogun (1992) contend that for African organisations to function efficiently management has to be close to the workers, both physically and emotionally. They further asserted that these affectionate relationships between the manager and workers breed motivation which further on breeds success in an organisation. Thus, in the school situation, this closeness advocated by Onyemelukwe and Odubogun (1973) can be achieved through the collectiveness, cooperation and solidarity that are espoused by **Ubuntu**.

In the school set up, regarding the implementation of performance management systems, adhering to the principles of **Ubuntu** enables the school head to relate at close range with the team s/he manages and leads. This enhances the element of trust from the subordinates who will exude ownership of the implementation of the performance management with the desire to share in the schools success and not to be motivated by the individualism as promoted through the implementation of performance

management inspired by western management thought. Performance management implementation under the ethos of western management philosophies thrives more on competition, thus teachers in the same school will not be willing to share their skills, expertise and knowledge to the benefit of the school. Yet, from the **Ubuntu** philosophy management ethos, there is greater satisfaction in the success of the group than of the individual. This is because under **Ubuntu**, collectivism is practised and Africans do not regard themselves as individuals (Msengana, 2006:84). Hofstede, (1980:42) observes that Ubuntu emphasizes that irrespective of peoples cultural diversity and social backgrounds, people live together in peace and trust. African behaviour under **Ubuntu** recognises that leadership is not confined to any single person in a group, but depends also on other members as well (Hollander, 1984; 2).Thus in schools there is bound to realise greater progress because of the belief in distributed leadership that is practised under **Ubuntu** management philosophy.

Ubuntu also emphasizes the aspects of human relations in the management and leadership of organisations as opposed to the understanding that views the human being as a machine in the production process, thus, according Msengana (2006:153) leadership is viewed as a humanistic enterprise, thereby meeting peoples' needs and improving their skills and motivates them to a higher level of performance. The same author observes that **Ubuntu** leadership promotes stewardship (accountability) over the tasks of education and this suggests that the inclusive governance and community approach of Ubuntu is important for the survival and management of schools and furthermore, the implementation of performance management in schools in Africa. As alluded to earlier by Kasenene (1998) that Ubuntuism operates on the tenets of communalism, holism and vitalism, however, the philosophy of performance management departs from these radically in the sense that it assigns a market value to

human capital investment. Thus, human knowledge, skills and potentialities are viewed in the neo-liberal lens that glorifies private ownership of labour, profit making marketization, price deregulation and reduced public spending by government.

2.4.8 Section Summary.

The primary purposes of this section was to correctly position and establish the exact relevance, application and influence of the Ubuntu philosophy on the process of implementing performance management in schools in an African environment. Evidence from literature invariably points in favour of a performance management implementation process that is based on Ubuntu principles. The Ubuntu ethos advocates for the development of the school personnel as a body corporate if the success of the performance management programme is to be realised in schools. Instead of nurturing a competing staff complement, the school thus, will rely on staff members that cherish the success of each individual member to the benefit of learners. This bodes well with other African thoughts that “iron sharpens iron” and that it is only a mountain that has fog/mist that can pass on fog/mist to another mountain. The symbiotic relations between the supervisors and the supervisees and among supervisees themselves a foundational to the success of the implementation of performance management programme in schools in African contexts.

2.5 PERFORMANCE MANAGEMENT AND ACCOUNTABILITY SYSTEMS.

2.5.1 Introduction

Accountability is a widely used concept more so in public administration literature in the modern era There is great need, therefore, to understand the concept of accountability in order to avoid being entangled up in the misconceptions imposed on this concept due

to lack of clarity on it. The generic form of accountability refers to the providing of an account on ones' activities, in regard to agree upon performance standards or outcomes (Kearns, 2003). Accountability can thus be considered as answerability: someone is answerable to someone for carrying out specific tasks commensurate with authority and resources at their disposal. It requires that someone gives an account over their actions to specified others who have the right to and capacity to monitor performance and to invoke sanctions or rewards over those to whom responsibility has been delegated, and to answer these by giving an account of how and why decisions were made, discretion exercised and taken (Gregory, 2003:559) Thus, according to Kearns (2003), accountability involves both compliance and responsiveness to stakeholders.

In the education sector the concept of accountability is of even greater relevance. Public education is funded by taxpayers. These taxpayers expect that every cent that they pay as taxes is brought to good use and more so in the education sector which forms both the human capital production function and the socialisation process of a country's populace. Thus, as opined by McEwen (1995:28), the taxpayers want to know and have the right to know if they are getting value for their investment. This is the major rationale for accountability. Thus, accountability requires that information be made public and at the same time, available for public scrutiny as and when stakeholders need it for purposes of resource allocation and for other decision making purposes.

2.5.1.1 Conceptualisation and Operationalization of Accountability Systems in Education.

Before delving into intricate processes of accountability, a conceptualisation and operationalization of what the term means and how it applies in the management of public sector and educational institutions will be given. Accountability is a concept in ethics and governance with several meanings. It is often used synonymously with such

concepts as responsibility, answerability, blameworthiness, liability and other terms associated with the expectation of account-giving. Maile (2002:326) asserts that accountability should be regarded as one of the essential elements of school governance, in order to help strengthen the position of school managers, and share the much-contested power without losing it.

With regard to leadership roles, accountability is the acknowledgement and assumption of responsibility for actions, products of decisions and policies including the administration, governance and implementation of the role or employment position and also encompasses the obligation to report explain and be answerable for resulting consequences (Williams 2006). Therefore, accountability, as Beckmann (2000:8) observes, follows the exercise of power, use of resources and the implementation of policy. A simple definition of accountability was given by Artley (2001:21) who suggests that 'accountability refers to the obligation a person, group or organisation has for the execution of authority and or the fulfilment of responsibility. This obligation, according to Artley (2001), includes:

- Answering: providing an explanation or justification for the execution of that authority and/or the fulfilment of that responsibility.
- Reporting on the results of that execution and or fulfilment, and;
- Assuming liability for those results, the success or failure thereof.

From the points raised above, it is evident that defining the concept of accountability is not an easy thing and has been regarded as 'a slippery concept' (Bouckaert and Halligan 2008) Thus, Stapenhurst and O'Brien (2007:1) suggested that the notion of accountability was an amorphous concept that was difficult to define in precise terms. However, they summarise that the concept of accountability involves two distinct stages

of answerability and enforcement (Stapenhurst and O'Brien, 2007). Answerability refers to the obligation of government, individuals and organisations to provide information about their decisions and actions and justifying them to the public and those institutions of accountability tasked with providing oversight. The aspect of enforcement suggests that the public or the institution can sanction the offending party or remedy the contravening behaviour. But as aptly stated by Artley (2001:25) accountability was seen as the obligation to answer for the execution of one's assigned responsibilities. It entails reporting. A person reports to other people and it takes place in the context of relationships between the people and the organisations involved. Other tenets of accountability mean that the one who accounts has to be able to provide an explanation or justification for decisions and actions taken and the willingness to accept responsibility, for events or transactions and for one's own actions in relation to these events or transactions (Government of New South Wales, 2000). Pollitt (2003:89) synthesises most of the available definitions on accountability and opines that accountability is a relationship in which one party, accountor, recognises an obligation to explain and justify their conduct to another, the accounted. On the other hand, Thomas (2007) proposes that the term accountability should be restricted to describe an authoritative relationship between a principal and an agent which is supported by an interactive process.

2.5.1.2 The concept of accountability

It has been acknowledged that the concept of accountability can embrace different meanings in different circumstances, but it is generally associated with control, dialogue, responsibility, answerability or responsibility or responsiveness. In the context of the commonwealth public sector, accountability implies conformity with a system of administrative processes designed to provide authority for administrative actions and at

the same time, a framework for reports and checking on actions taken (Barrett, 2003). The same author further argues that though the process of informing and explaining are the core process of accountability, the core purpose for which accountability is exercised is for control.

Mulgan (2000:563) recognises that accountability is sometimes taken to be more than just a mechanism of control; it becomes identified with control itself. Through instituting accountability measures, Barrett (2003:23) observes that it serves as a means of having someone in an organisation who can accept the blame or praise for a decision taken. Heim (1995) concurs with Barrett (2003) and suggests that accountability may extend further to include responsibility for the consequences or results of one's own actions, whether positive or negative, and whether intended or not intended. This means that from the lowest levels of public service to the highest, each member is supposed to be accountable to a supervisor.

Accountability can be understood to imply the dialogical relationships that exist between elected officials and the citizens of any country. Thus, Mulgan (2000:570) recognises that accountability involves public explanation and justification and the other is identifying it with dialogue between the citizens in a deliberative democracy. In governmental interactions, the accountability of public officials is therefore understood as an unequal relationship between superior and subordinate in which the latter is required to take directions from the superior and accept sanctions where necessary for unsatisfactory performance. Accountability also involves reporting to other people voluntarily or compulsorily. Lello, (1993:1) proposes that accountability involves being answerable to other stakeholders, both junior and senior to one.

Taking this proposition to the school situation, it can be seen that teachers are accountable to learners especially in situations where students are part of the groups of people who evaluate the teachers performance at the end of the year, teachers are also accountable to their school heads who are their seniors, the parents who entrust their children to the academic care of these teachers while the school heads are also accountable to their students, parents, teachers and education officials from the Ministry/ Department of Education.

At other times the concept of accountability is used to mean responsibility. Though responsibility and accountability are not directly synonymous, Gregory (2003) identifies two forms of responsibility. These, he called objective responsibility and subjective responsibility. Subjective responsibility is one where someone is answerable to someone else for carrying out specified tasks commensurate with authority and resources at ones disposal according to pre-determined criteria. Objective responsibility on the other hand requires those concerned to be able to give account of their actions to people who have the right and capacity to monitor and evoke sanctions and rewards, and to account to these with an account of how and why decisions were made, discretion exercised, and actions taken (Gregory, 2003:559). Another conception of accountability comes from Maile (2002:328) who observed that giving account involves reporting and explaining or justifying the occurrence of educational activities. The production of information for the consumption of one's juniors, seniors, and external stakeholders thus, becomes one key function of accountability in modern organisations.

Subjective responsibility is related to moral obligations that individuals have as they are expected to answer for (*justify, explain*), both honestly and openly over their decisions and actions (Bovens, 1998:26). Thus, according to Gregory (2003:560), Bovens (1998) and Bovens, Schillemanns and 'THart, (2008) we accept that accountability involves not

a formal answerability (*answerability to*) but also a moral obligation (*answer for*) our actions. If these ideas of accountability and responsibility are fused together, then it emerges that the notion that a person "*should be held accountable*" that is, to be found blameworthy and punishable when something goes wrong.

Because accountability should not be limited to exclusively mean external mechanisms that demand answers on the basis of authority, some scholars have also proposed that accountability should be taken to mean responsiveness (Mulgan, 2000; Behn, 2001; Thomas, 2003 Gregory, 2003; Kearns, 1996, 2003). In this variant, accountability emphasizes the aim of making governments accord with the preferences of the people (Mulgan, 2000) or to that of the key stakeholders (Kearns, 1996, 2003). While control focuses on the coercive role of external pressure, it must be noted that responsiveness accedes more to the general compliance by public servants to popular citizens' demands.

2.5.1.3 Purposes of accountability systems

Gong (2000) notes that accountability systems are put in place with the ultimate purpose of fulfilling certain expectations. The same author proceeds to identify the following as the purposes of establishing accountability systems in especially in educational organisations.

- To inform and promote improved educational practices and results.
- To inform stakeholders of the condition of education at the school, district and province levels and to identify areas in which improvement is needed and success is being achieved.

- To obtain the support of all stakeholders in making the changes needed to enable all students achieve at high levels.

- To inform the policy decisions and actions at local and national levels by involving parents , students and members of the community, and other interested individuals to improve the academic performance where needed and to reward it where possible

2.5.1.4 Types of accountability.

A pivotal issue in democratic societies is the concept of accountability. As such, Aucoin and Heitnzman, (2000), advanced the fact that accountability is the cornerstone of public governance and management because it constitutes the principle that informs the process whereby those who hold and exercise public authority are held to account. The idea of accountability raises the questions of being accountable to whom? Accountability for what? And how? In trying to answer these questions it becomes evident that there are different types of accountability in the world today. Romzek (2000); Heinrich, (2003); and Bouckaert and Halligan, (2008) formulated a well-developed theoretical approach that deserves consideration here. They all subscribe to the understanding that accountability is a relationship in which an individual or agency is held to answer for performance, and this involves some delegation of authority to act on behalf of the public. Therefore, accountability requires that one to whom responsibility is delegated, be able to give an account of their actions and decisions to those senior to them and those they supervise.

In education, accountability refers to the practice of holding educational systems responsible for the quality of their products (*students*), knowledge, skills and behaviours (Stecher and Kirby 2010). There are many forms of accountability depending on the

context and sector under consideration. Adam and Kirst (1998) describe six types of educational accountability: bureaucratic accountability, legal accountability, professional accountability, political accountability, moral accountability and market or choice-based accountability. In this study, accountability will be discussed as it relates to management of public sector organisations and educational institutions (schools). This study limit itself to the types accountability identified below so as to be able to keep its focus and establish the relevance of the discussion regarding practice in the public and education sectors. As such, accountability has been discussed according to themes proposed by Heim (1995) and Kirst (1998) who assert that there is bureaucratic, legal, professional, and political and market based accountabilities.

2.5.1.5 Bureaucratic or Hierarchical accountability

Bureaucratic accountability is based on the superior-subordinate relationship that exists in hierarchical organisations. According to Heim (1995) bureaucratic accountability uses hierarchical structure and authoritative superior-subordinate relationships to enforce compliance with rules and regulations. Through bureaucratic accountability values like equitable resource allocation, equal access, planned management, and uniform/ standardised management. This type of accountability is premised upon the formal definition of responsibilities of positions within an organisation. The immediate supervisor performs periodic performance reviews that play a central role as a means of enhancing accountability. In a school situation, the hierarchy starts with the school head as the chief accounting officer, followed by teachers with students at the bottom of the deck.

2.5.1.6 Legal Accountability

Legal accountability relationships are based on detailed external oversight of performance for compliance with established performance obligations, such as legislative and constitutional structures, that is, in contrast to hierarchical accountability between two relatively autonomous actors. According to Schedler (1992) legal accountability entails the observance of legal rules and the rule of law in the process of transacting one's duties and responsibilities. In the practice of education, there are acts and statutes that are promulgated by government as instruments to ensure the smooth running of educational institutions. This is done to enable schools and other education related institutions to perform and provide education in a legally regulated environment. As such the personnel in schools (school heads and teachers) must be seen to work according to the legal prescriptions provided by the education act and other gazetted statutes. In their day to day activities therefore, as teachers execute their duties, they do so in compliance with the standing statutes that regulate all facets of school life. This is in recognition of their need to conform to accountability over the resources provided to them in terms of time, financial, technological and human resources.

2.5.1.7 Professional accountability

Professional accountability systems are reflected in work arrangements that afford high degrees of autonomy to individuals in their discharge of duties. This, according to Schedler (1992), entails the pursuance of ethical standards in the execution of one's responsibilities and decision making. Stecher and Kirby (2010) assert that professional accountability is built on the assumption that teachers are professionals who possess sufficient expertise to determine the best means of meeting the individual needs of their students

2.5.1.8 Political accountability

Political accountability refers to the relationships and opportunities available to managers to use their discretion in their bid to ensure that they are responsive to the concerns of key stakeholders such as elected official, clientele groups and the general public (Arambula, 2008).Seakamela (2011) posits that political accountability is the willingness of politicians and policy makers to justify their actions and to accept electoral legal or administrative penalties if their justification is found lacking. Public officials in this kind of relationship have the discretion to decide whether, when and how to respond to key stakeholder concerns over the organisations they lead and manage. In the public sector this regards the quality and quantity of service delivery which has to be customer oriented. As such provision of accountability information in the form of reports is standard practice that ensures that the public is aware of the achievements of government programmes towards them. Pertaining political accountability, Schedler (1992) assert that it involves the appropriateness of policies and the policy making processes that takes place in the environment of the organisation. In the school environment, the school head and the teachers must strive to promulgate policies that help mirror the expectations of the institution's personnel

2.5.1.9 Market accountability

With market accountability, children and parents are regarded as customers who choose and shop around for the school that best reflects their preferences. Stecher and Kirby (2010) assert that market accountability uses interactions between consumers (parents) and providers (schools) to regulate practice and ensure quality. In market systems, parents are allowed to select the schools that their children attend rather than their children being assigned to schools based on where they live (zoning). Marketized accountability in education enables parents to exercise their choice regarding where their children will learn and the kind and quality of education they will receive at what

cost. Choice, according to Cope and I'anson (2009:81) is seen as a lever by which quality will be enhanced through its direct effect on providers. Blair (2004) concurs with Cope and I'anson (2009) and argues that choice puts the levers in the hands of the parents so that they as citizens and consumers can be a driving force for improvement in the public services (education). The discipline of competition ensures that educators respond to parent and student preferences. Market accountability has become more popular as confidence in government provided education has waned. Under the marketized theory of education, good schools will certainly be successful and be able to enrol more learners whilst under performing schools will be driven out as they lose students to better run and performing schools.

2.5.2 Contractual accountability

Burgess (in Maile 2002) asserts that contractual accountability refers to being accountable to one's employer. This kind of accountability involves the restoration of confidence and quality and quality in the school system. Thus, contractual accountability is essential to the smooth running of the school as an institution and the restoration of the culture of learning and teaching. Contractual accountability is entered between the employer and the employee and there are some prerequisites in terms of expectations that both parties must fulfil. The employer is expected to be able to, by law, to among other things; remunerate the employee, provide necessary facilities for use by the employee in discharging prescribed duties, provide safe and healthy working conditions in the organisation's physical plant; and observe statutory duties, for example, to grant reasonable leave and observe working hours.

Contractual accountability has a reciprocal requirement in that it imposes duties to employees as well. These obligations, according to Maile (2002) citing Squelch (1999:11) include the fact that an employee has to provide services agreed to; Render services agreed to, fulfil tasks with reasonable competence and efficiency, act in good faith, carry out lawful instructions of the employer, be respectful and obedient. Thus, this symbiotic relationship that exists between employer and employee must be nurtured and nourished so that it results in mutual benefits in respect of each party carrying out its contractual obligations.

2.5.2.1 Accountability in the Public Sector.

The principles that are featured prominently in the accountability literature have their origins in the framework of new public management (NPM) (Hood, 1991; Rhodes, 1994) as cited in Davids (2012). The aim of the New Public Management among others was the modernisation of the state as premised on the neoliberal perspective that private sector operations were best equipped to deliver services. According to Dereli (2011), NPM on the one hand reflects the neo-liberalist view that the 'private sector does things best and therefore the preferred agency to deliver services and on the other hand, to the application of private sector management systems and managerial techniques into the public sector'. Hence, there was the widely accepted view that if the private sector is not rendering the services then its management principles must be adopted by the sector. Earlier writings by Van Gramberg and Teicher (2000) persuaded the state that the need for public servants to adopt private sector business principles and practices to pursue a results oriented approach had been hailed as the panacea for the challenges that characterised service delivery in the public service. Holzer and Kloby (2005) had been agitating for the public sector to adopt private sector principles in order to enhance their efficiencies.

In the context of the public services, there has been increasing demand to hold the state accountable for the poor service delivery or lack thereof (Jones and Kettle, 2003). Scholars such as Halachmi (2005) argued that communities demanded greater transparency on the part of the state and that the call for accountability in the public service was aimed at increasing efficiency and effectiveness of service delivery that was perceived to be poor. Davids (2012) assets that the severe criticism of government performance was based on the operational inefficiency public money, corruption, wastage of public money as the major outcomes stemming from the lack of accountability in the public services. Accountability in the Public Sector is thus, generally meant to make public officials responsible for their actions and responsive to customers (citizenry).

According to Economic Commission for Africa (2003), in African states, accountability programmes such as performance-based contracts, Citizen Charters and Public Reporting are part of the accountability measures being practised even though this is happening selectively in different countries. They were adopted to enable a management culture that emphasizes the centrality of the citizen or customer to government business as well as accountability for results. The Economic Commission for Africa (2003) suggests that this type of accountability derives from the New Public Management (NPM) and captures most of the structural organisational and managerial approaches and techniques borrowed from the private-for profit sector. In this essence, accountability involves both the political justification of decisions and action, and managerial approaches and techniques borrowed from the private-for-profit sector.

Accountability in the Public Sector, according to Day and Klein (1987) involves both political justification of decisions and actions, and managerial answerability for implementation of agreed tasks according to agreed criteria of performance. In the

Public service therefore, because of the multiple stakeholders, there are multiple accountabilities and these are political, managerial, financial and public accountability and each of them will be explained as follows:

- Political accountability is about those with authority being answerable for their actions to citizens, whether directly or indirectly. Political accountability also comes into play where reporting is required to those institutions that provide political legitimacy of the organisation, for example, public service organisations managers may be held accountable by politicians for the overall achievements of their organisations or for particular projects they have implemented.

- Managerial accountability which deals with making those with delegated authority answerable for carrying out agreed tasks according to agreed criteria of performance. Heeks (2003) observes that managerial accountability also denotes being accountable to senior managers within an organisation, for instance, public servants are accountable to their immediate bosses for their attendance record and so forth.

- Financial accountability which is a form of accountability to those institutions that provide finance to certain organisations, and lastly, Public accountability to the citizens outside of the organisation itself.

Thus, these forms of accountabilities enable those in possession of power to exert their influence over those to whom responsibility and authority is given to oversee the running of a particular organisation.

2.5.2.2 Performance management as a measure of accountability.

Based on the arguments proffered above **(*see, 2.5.2.2 para1 & 2)*,** it became imperative that the state respond to the demands of citizens. Most states, both in Africa and the developed world responded to this perceived lack of accountability in their governance systems by adopting performance management systems that aimed at providing corrective action to the identified challenges. Kaplan and Norton (1996), suggested that the adoption of these performance management systems allowed for the objective measurement of the states' degree of achievement of their strategic goals. However, this alignment of the state goals to individual goals is according to Kaplan and Norton (ibid) not the end in itself; instead, it leads to the analysis of goal achievement which in itself is more important. Therefore, according to Amaratunga and Baldry (2002), goal achievement analysis enables the organization to draw conclusions about what is doing well and what could be improved. Consequently, Davids (2012), emphasized that goal attainment analysis is particularly important in the public sector because it provides some understanding of what went wrong and what interventions are required. Most governments in turn, had to respond through the introduction of performance management system, and he further asserts that the belief was that the system would facilitate the measurement of output against input (Foltin, 1999), and hold management accountable for target achievement.

Any performance management system of value is, according to Curtis (1999), a useful tool to determine accountability, because it links organisational objectives to departmental and individual performance goals. Other scholars such as Behn, (2003) have advanced the understanding that performance management is a management tool that is geared at assisting with evaluation, controlling, budgeting, motivation, promotion, learn and to improve organizational efficiency. Holzer and Kloby (2005) further claim that performance management is an objective tool capable of improving decision

making and fostering fiscal prudence. This is actually one of the claimed important functions of performance management given the resource constraints that that characterised most governments at the time performance management systems were adopted worldwide. Thus, in this manner, the activities of the individuals are aligned to the achievement of overarching organizational goals.

Davids (2012:4588) advanced the fact that a functional performance management system holds many organizational advantages; some of these are enumerated as follows;

- Timeous corrective action could be taken during implementation and progress of programmes could be measured against the planned activities.
- Past experiences and lessons learnt would inform future planning activities.
- The state could be could be held accountable for the allocation and use of resources to achieve predetermined objectives.

In spite of these perceived advantages, Streib and Poister (1999) highlighted a number of challenges of implementing performance management system. Some of the most cited problems are the development of key performance indicators and dealing with resistance to change that is displayed by the different affected personnel groups. Another challenge noted by Boland and Fowler (2000) is that there is a huge difference between public sector and private sector and these differences in context does impact on the implementation of performance management system.

The evaluation of the effectiveness of performance management systems has since identified that poor designs contributed to implementation failure. Other implementation challenges include the lack of organizational structure, lack of management focus and

political issues. As a proactive measure, Neely and Bourne (2000) suggested that mapping the interrelatedness of the key performance indicators may influence the success rate of implementation of performance management systems. In spite of all the identified challenges, Manville (2007) still argued that the main reason why innovations fail is that most of them are poorly designed and poorly implemented. While de Waal and Counet (2009) seemed to emphasise the fact that the use of PMS improves the performance and overall quality of the organization, Davids (2012) purports that the failure in the implementation of the systems is mostly affected by design problems and also due to the lack of showing an understanding on how the performance indicators of a performance management relate to each other. Another challenge that militates against the successful implementation of performance management systems in the public sector is the inability of many countries on the African continent to achieve planned outcomes, and this could be attributed in part to the lack of know-how for implementing properly functioning performance management systems (Davids, 2012).

2.5.2.3 Rationale for accountability in education.

Accountability expectations transcend all aspects of public life and that includes education. As alluded to earlier on in this thesis, McEwen (1995) asserted that public education is funded by taxpayers money and those people who pay such taxes have the right to know how the public money is used. Thus, they demand information to be made available to them as and when they demand it. In other words, those entrusted with public money for implementing public programmes ought to account for the way such funds are expended to external stakeholders and even customers.

In the education sector the external stakeholders may include government, parents' organisations and students among others. Accountability reporting is thus necessary in

increasing public confidence in the way resources are utilised and also as a way of providing information for policy formulation, resource allocation and performance reporting (McEwen 1995). Seakamela (2011) cites educationists such as Dorn (1998) and Giroux (1998) who have raised their concern about the applicability of accountability schemes to education systems. They argue that education reforms have redefined the purpose of education so as to eliminate the citizenship function in favour of narrowly defined market perspectives. Thus, Seakamela (2011) cites Giroux (1998), who argues that the preoccupation of education schemes such as testing, accreditation and credentialing has turned schools into 'company stores'. This has diverted education and the schools from being institutions where learners are prepared and socialised to be able to adapt and play meaningful roles in the post school life to centres where the production of skilled human capital takes place as preparation for employment on the job market.

The development of the discourse on accountability is further explained by Gong (2002:4) who identified the following points as the primary purposes of accountability systems in education;

- To identify and promote improved education practices,
- To inform stakeholders of the condition of education at the school, district and state levels and to identify areas in which improvement is needed and where success is being achieved,
- To obtain the support of all stakeholders in making changes needed.
- To enable students to achieve at a high level; and/or,

- To inform policy decisions and actions of officials, parents ,students and the community and other interested individuals to improve academic performance where needed and to reward it where appropriate, and lastly,

- To identify high and low performing schools.

It is therefore clear that the theory and practice of all accountability programmes derive from the need to justify the expenditure of resources by those in positions of responsibility against the perceived outcomes in order to justify expenditures and ascertain whether the outcomes justifies the means of achieving them.

2.5.2.4 Accountability and performance management in schools.

Most literature on school accountability originates from the United States of America where the cornerstone of the federal education policy has been the expansion of school accountability based on measured student performance. Thus, according to Burgess, Proper and Slater (2005) in some US states, accountability is limited only to school performance through not only the sanctioning of poorly performing schools, but also the punishment of poorly performing students. Though accountability is an essential part of school governance, different countries approach the accountability expectations of schools in varied ways, for instance in the United Kingdom, the education has been subjected to relatively high levels of public monitoring since the implementation of the 1988 Education Reform Act (Proper and Wilson, 2003:10).

Other practises tailored towards conformance with accountability and performance management in schools in the United Kingdom is given by Burgess, Proper and Slater (2005) who stated that accountability in the English State schools had to be through the publication of information on school performance through “league tables”. The same authors reported that government would then use this information to sanction these

schools through name and shame or by closing the school if their performance was below expectations. Parents would use the information to enable them choose the correct school where they would sent their children based on their judgement of how well the school was performing on national examinations based on the position of each school on the performance league tables. Thus, poorly performing schools would lose pupils, resources and /or the management would be replaced while high performing schools would gain pupils if they are not to capacity.

In Scotland, Cowie and Croxford (2007) reported that local education authorities are required to identify and take action to continuously improve performance in their schools. These systems became statutory obligations under the Standards in Scotland's' schools Act of 2000 (Cowie and Croxford 2007). Also in Scotland, measuring pupils' attainment is a major source of evidence in the current accountability system for secondary schools. Such accountability measures were implemented through the setting of Standard Tables and Chats (STACs) that are used every year to compare the performance of Standard grade and National Qualifications (NQ) between schools and subjects (Cowie and Croxford 2007:4). Those school that do not perform according to their potential based on the resources at their disposal are therefore required by law account for their less than satisfactory achievements.

The practice and implementation of performance management in schools is a clear example of practising accountability in the management of schools. Performance management is meant to make school managers and teachers are accountable for the time they spent with learners in schools by enforcing observance of the three Es of Efficiency, Effectiveness and Economy in the use of meagre resources. In the southern African Region, it has been to the observation of the researcher that South Africa and Zimbabwe that the department of education and Ministry of Education, Sport, Arts and

Culture require schools to publish their performance on National Examinations be made public in the media in the form of performance “league tables” as a way of ensuring accountability to stakeholders. While South Africa only publishes Matric results, over the years it has been standard procedure in Zimbabwe for school to publish results for the National examinations at grade seven, “O” Level and “A” level results. Thus, by publishing these results the Ministry of Education Sport, Arts and Culture gives parents a form of feedback on how schools are performing which becomes a form of giving an account to stakeholders.

2.5.2.5 Accountability as an aspect of performance management in schools.

Education is viewed as an investment because of its role in the human capital production function. The development of human capital has taken centre stage in being the driver of development both in the context of developed countries and developing countries. Thus, regarding this, Nakpodia and Okiemute (2011) posited that it has become a matter of priority for both governments and individuals to allocate huge amounts of money into education with a huge expectation on a return on that investment. From this view of education as an investment, education is seen to be a function of cost-benefit, cost-efficiency and cost-effectiveness analysis which is measured in terms of utilization of resources. Accountability systems strive to affect the quality of school life by protecting the students from incompetent use of resources and inept teaching by teachers. It was with this purpose of accountability that performance management regimes were adopted in education, this, as a way of accounting for the human-capital hours, financial input and technology resources that would have invested into schooling organisations.

Accountability is seen as a measure of the extent to which all available resources in a productive system are used for the greater efficiency, effectiveness, economy and productivity. Pursuant to that, Hultt, (2000) understood accountability as aiming at the setting of goals for action and ensuring that such goals are achieved. According to Kokach, (2006) management of organisations was an acceptance of personal accountability determined by measurable results. These cognates are the very thesis of performance management in education. Nakpodia and Okiemute (2011:155) assert that accountability contends that performance is related to organisational goals. They further view accountability as a goal oriented activity viewed from the input perspective. It is, thus, the integration of accountability in the management process that helps control ill-discipline among educators, thereby increasing the likelihood of achieving efficient utilisation of resources and effectiveness of the system. In Lessing's (1974) submission, accountability is viewed as the manager's right to bring a subordinate to account for the authority and power delegated and tasks assigned to him/her by super ordinate. The subordinate then responds to the manager with regard to the responsibilities assigned to them. It is in this regard that the use of the performance management systems in education is thus, seen as a way of ensuring vertical accountability between subordinates and their superiors in the provision of education.

2.5.2.6 Section summary.

According to Maile (2002), accountability is an essential element of school governance. It involves the obligation of the school to report to its community (learners, parents, employers and government) about the quality of services it offers. As a school strives to make known its successes and challenges, it collects information which it then uses to justify resources spend against results achieved in trying to achieve the goals of the school as an organisation, and as it does so, it engages its community and stakeholders

in order to justify actions taken in the expending of available resources be they technological, financial or human capital.

2.6 PERFORMANCE MANAGEMENT IN DEVELOPED COUNTRIES.

The period of public sector reforms that began in Britain under Margaret Thatcher in the 1980s and continued under John Major in the late 1990s heralded the introduction of Performance management in the public services. The real reason for these reforms was the global forces, particularly the economic ones that contributed to organizational change in the 1990s (Levin, 2001:238). Also as noted by Fryer, Antony and Ogden (2009:478-498), during the time of the crisis, some operations could not be performed due to lack of funding; clinicians were clamouring for more money, there was widespread dissatisfaction with the public services and the government was trying to reduce spending. Thus, in response to these challenges the government of Margaret Thatcher (Fryer, Antony and Ogden, 2009:478-498) and John Major (Radnor and McGuire, 2004:245-260) adopted and implemented performance management in the civil service in order to mitigate the effects of the economic stagnation. There was need for government to be able to continue providing its citizens with quality service that was funded by smaller budgetary allocations.

This section gives an account of how performance management has and is being implemented in the developed countries and analyses how the chosen strategies have improved the performance of learners, teachers, school heads and schools as institutions and learning organisations. For effective management of the literature reviews, the discussion of relevant literature focused on developed countries such as England, Scotland and Wales in the United Kingdom, and in North America the review of relevant literature focuses on the United States of America and Canada. Further

afield, the literature reviews analysed the performance management implementation in Australia and New Zealand. The programme of performance management was undoubtedly perfected in these two countries where concerted efforts through research and government support made it possible for performance management to attain its current stature in the public sector and in schools. In the Nordic countries, focus will mainly be on Denmark, Sweden, Finland and Norway education systems.

The focus on performance management in developing countries was mainly on the African continent and specific attention and focus was on Ghana and Nigeria in West Africa, Uganda, Kenya and Tanzania in East Africa, and South Africa in Southern Africa, which mostly followed the Westminster style of reforms due to their historical past's political connection with the British system.

2.6.1 Performance management in England and Scotland schools.

Many resources have been invested in reforming not only education, but the public sector at large in the past 20 years. The greater part of these reforms focused on evaluation and performance as the central aspects of these reforms. Whilst the introduction of Performance Management was meant to improve the public sector in general by way of modernising government (Radnor and McGuire 2004:248), the implementation of performance management in schools was aimed at bringing economy, efficiency and effectiveness in the way schools were managed and how they performed. According to Storey (2002:321-338), performance management in various guises has been used in schools in many countries for some time, but it is implemented in very incomplete forms.

Taylor (2007:60) acknowledged that many schools have been using a form of appraisal and/or performance management for many years before the DfEE decided that it was a good thing for all schools to adopt it. The performance appraisal schemes tended to focus on the professional development and training aspect of performance appraisals. Very few schools appeared to use performance management information to further develop the schools' employees. Secondly, performance appraisals were dropped in favour of performance management because there was no link between/ impact on the performance of staff and children learning. Hence performance management was introduced in England (Taylor, 2007:60). The more formalised versions of performance management that have been tried in the UK have generally met with resistance often on the grounds that they poorly represent the rich complexity of the teachers' work. Storey (2002) observed that where performance-related pay has been used as key element of performance management, this device has distorted the assessment of 'contribution' by focussing attention on too narrow an agenda.

Other studies carried out in schools in England, Scotland and Wales show varying perceptions of the purpose for introducing performance management in schools. Chris and David (2004:45-65) in a research study entitled "Managing the Performance of staff in Wales: Practice Problems and Possibilities", state that it was the Local Education Authorities (LEAs) who instituted performance management in schools. Findings from this study gave insights into the management and organization of Local Education Authorities in Wales. This study specifically looked at Performance Management practice and the problematic nature of target setting; the issue of recruitment, succession planning and the capacity of those who work in LEAs to fulfil their roles with authority show that the adoption and implementation of performance management in any organization is not easily achievable. In an article by Cutler and Waine (2001:69-72)

it was explicitly recorded that both the Governments of Margaret Thatcher and that of John Major had been committed to making performance management the key to higher standards in schools. As such, a series of legislations were promulgated to strengthen this thought. A series of documents were formulated such as the DfEE (1999a) which was a technical document that developed detailed proposals of the performance management framework. According to this document as given in paragraph 9 of DfEE, it shows that, ...the setting of objectives which are clear ,measurable, the assessment of teachers' performance against their objectives in the context of the national development as well as appraisal informing decisions on pay and professional development. According to the DfEE (2000a) performance management was seen as a means of helping schools to improve performance by supporting and enhancing the work of teachers. It is claimed that performance management ensures that attention is focussed on effective teaching and school leadership which in turn benefits pupils, teachers and schools (DfEE, 2000a:3).

2.6.1.1 Implementing performance management for Head teachers in secondary schools in Britain

Reviewing peoples' performance is one of the managerial activities through which the performance of the whole organization is enhanced. As such, performance management and appraisal became the agenda of local and national governments in Britain throughout the 1980s. Jennings and Lomas (2003:370) recorded that according to the British legislation, all LEAs and the governing bodies of grant maintained schools had to implement performance management by the end of the school year 1994-1995. Harris (2010) in an article titled "Leading system transformation" outlines the progress made towards educational transformation in Wales and explores the way in which tri-level reform is guiding system level change and the implementation of School

Effectiveness Framework that includes building capacity for change. This article concludes that the school and system transformation will only be successful if the leadership capacity for change, at all levels in the system is established and sustained. The same can also be said with the implementation of performance management in the education system. The need for not only leadership capacity, but also the capacity of teachers is very instrumental in the success of the programme. One interesting article by Loveday (2010) looked at Performance Management and the decline of leadership within Public Services in the United Kingdom. His research article considers the impact of performance management in the public services. Though the article looked specifically at the police service, Loveday (2010) found out that the imposition of targets had helped create a tyranny of conformity within public services and argues that the creation of a good leadership might lead to encouraging the public service to be less risk averse.

According to Gleeson and Husbands (2003) a culture of performance management has impacted on schooling in the English setting and draws parallels with other post industrializing nations. Gleeson and Husbands (2003) further observed that there is a growing awareness amongst researchers and practitioners that improving the quality of teaching and learning through performance management is not working. The expected improvements in performance, accountability, transparency, quality of service and value for money have not yet materialised in the public sector. Fryer, Antony and Ogden (2009) noted that there are three classes of problems with performance management in the public sector and these relate to technical, systems and involvement, and they observe that externally imposed restructuring and reorganisations restricted the successful implementation of performance management.

In education policy terms, the UK Government has made much of the importance of modernizing the teaching profession in raising levels of achievement, attainment and success in schools and colleges through a proposed trade-off for teachers on improved pay for improved standards. Hayness, Wragg, Wragg and Chamberlin (2003) observed that for the first time, the performance of teachers in England and Wales began to be directly linked with their pay. In their study of performance management from the perspective of 12 primary and secondary Head teachers of schools located in three different regions of England, the following empirical findings emerged;

- Suggested that while heads may not be against performance-related pay in principle, its practical application is seen as fraught with difficulties.
- The lack of guidance and clarification regarding funding arrangements, the absence of nationally agreed criteria for judging whether post threshold teachers should progress up the upper pay scale,
- The potential divisiveness if is not perfectly implemented, of the scheme in a culture that depends on co-operation and collaboration meant that heads were anticipating the implementation of the link between pay and performance with some trepidation

Accordingly, after a raft of legislations that followed (DfEE, 1999, 2000a) performance management was introduced as a way of restructuring the teaching profession through the introduction of performance management and performance related pay. The methodology of the research described here challenged the appropriateness of the new performance management scheme which was championed differently by various stakeholder interests. The performance management centred around four key questions

in order to establish a new performance management for Secondary school Head teachers as observed by Jennings and Lomas (2003:371);

- Created a closer linkage between school and management systems ;
- Developed processes and strategies that improved management practise in raising standards in the classroom;
- Enhanced target setting and review procedures ;
- Engineered a rapprochement between the stakeholders to bridge the divide between the conflicting views about the purposes of appraisal and performance management system for personal development, performance monitoring and reward.

In the British schools system performance management was introduced because of the need to improve the performance of pupils (Jennings and Lomas, 2003:378). However, the keenness and overzealousness of certain school heads saw them diverting their roles to formulating complex objectives that made it difficult for teachers to fully realize the requirements of the system of performance management. Findings from the above research also show a volume of criticism expressed by respondents about the quality of the documentation and training programmes that preceded the introduction of the performance management scheme. Some of the respondents also expressed mixed views about linking performance systems to pay; others thought they were not motivated by such linkage, while others felt that if the fund were available they would be prepared to enjoy the benefits. Evidence from this study also showed teachers' hatred of linking pay to performance, and they wanted the system discontinued because it had been imposed on them (Jennings and Lomas, 2003:379).

Research on performance management in the United Kingdom continued to take various forms such as the implementation of the Performance Threshold in UK Secondary Schools (Croxson and Atkinson 2001), Performance Management and Performance Measurement in the Education sector (Mayston, 2000/40) in which the paper examined issues on the interface between measurement of performance in primary and secondary schools and the management of improved performance in this nationally important sector, and the impact of the performance reward system such as performance related pay and the methods of assessing educational performance. The reforms in the education system resulted in relatively high levels of public monitoring since the implementation of the Education Reform Act of 1988 which necessitated the creation of quasi-markets. Wilson, Croxson and Atkinson (2004:4) record that:

- These reforms introduced open enrollments, overlapping catchment areas and devolved budgets on per-capita funding with money following in schools.
- Parental choice is informed by two forms of publicly available performance measures through Ofsted reports and the annual publication of summary performance tables.
- Head teachers were made to be the relevant decision makers and had incentives to maintain the financial health of their schools either through a self-interested desire to keep their own jobs or through the more altruistic aim of creating a greater surplus with which to provide better services for students.

However, these reforms raised sharp criticism from various quarters and as highlighted by Deere and Strayer (2001) Wiggins and Tymms (2002) and Jacob (2002) and their argument was that this type of behaviour leads to strategies like for example “teaching to the test.” Some criticisms were based on the fact that the performance management

does not control for the heterogeneity of the quality of the inputs. The argument was that a performance management based on student raw test scores which therefore gave schools an incentive to select those students most likely to improve its ranking. Gewirtz , Ball and Bowe 1995 cited by Wilson et al (2004) noted that there was evidence of schools responding to requirements of performance management by engaging in 'creaming' strategies either when admitting students. In some schools, as reported by Fitz-Gibbon and Tymms 2002 cited in Wilson et al (2004) they created incentives to shift their activities or to target their resources to students who might otherwise just miss the target. Deere and Strayer (2001) and Wiggins and Tymms (2002) cited in Wilson et al (2004) both provide evidence of such behaviour.

In another study, McAdam, Hazlett and Cassey (2005) explored issues involved in developing and applying performance management approaches within a large UK public sector department such as education using a multiple stakeholder perspective. The study by McAdam et al (2005:256-273) used questionnaires to determine perceptions about the implementation and effectiveness of the new performance management system across the organisation. Findings from this study were that the approach was not continuously managed throughout the year and was in danger of becoming an annual event, rather than an on going process.

2.6.1.2 Section summary

This section has outlined how performance management evolved in the British public sector, more so in schools as a result of policy promulgations that were aimed at improving the quality of education by practising economy in the utilisation of resources, efficiency and effectiveness at a time when the system was experiencing dwindling financial resources from government caused by the tough economic environment of the

early 80s. After the British government under Margaret Thatcher, and later on, John Major contrived to impose these changes on the public service a few lessons became apparent and these were documented in researches that were carried out by British scholars and outlined as follows;

- Gleeson and Husbands (2003) found out that there was a growing awareness among scholars and researchers that improving the quality of teaching and learning through performance management was not working at the period in question.

- Jennings and Lomas (2003) noted that some overzealous school heads had made the implementation of performance management such a tedious process through adopting numerous and over-elaborate objectives which made it difficult for teachers to understand performance management. This study also found out that teachers hated the linking of pay to performance under performance management and they wanted the system discontinued because it was imposed on them.

- Hayness, Wragg and Chamberlin (2003) found out that implementation of performance management was fraught with difficulties, lacked guidance and clarification regarding funding arrangements of the programme. This research also highlighted the potential divisiveness of the scheme in view of a schools culture that depends on cooperation and collaboration as opposed to competition as espoused in performance management

- Fryer, Antony and Ogden (2009) concluded from their study that externally imposed restructuring and reorganisation restrict the successful implementation of performance management programmes.

- Harris (2010) in his research entitled Leading System Transformation found out that building the capacity for change is important for the success of innovations, and that transformation will only be successful if the leadership capacity for change is in place.

- Lovedale's (2010) research found out that the imposition of targets helped create a tyranny of conformity within public services and argues that the creation of good leadership might lead to encouraging the public service to be less averse.

The next section looks at critically reviewing the literature on the adoption of performance management in government in the United States of America and Canada, and thereafter analyse how it impacted on the provision of education in schools.

2.7 PERFORMANCE MANAGEMENT IN SCHOOLS IN THE USA AND CANADA

2.7.1 Introduction

The focus on performance management in the governmental sectors in the United States of America and in Canada is not new. Bourgon (2008:41) suggests that performance management in government can be traced back to the early 1900s in the United States and Canada, however at that time; the focus was primarily on the efficiency of local and municipal governments and not on the performance of education and schools per se. The performance management system in North America started with the adoption of ideas of re-inventing government under the Clinton-Gore administration. When President Bill Clinton signed the Government Performance and Results Act (GPRA) into law on August 3, 1993, he was beginning what may be the most comprehensive effort to change the traditional paradigm of accountability in American government (Metzenbauma, 2001). The adoption and implementation of

performance management in the American Public services was motivated by an era marked by public dissatisfaction with government performance which lead the public to demand for fiscal discipline, and by movements to “reinvent” government along the lines of private sector management reform.

Even though significant obstacles to the development of effective performance management and its use in the public sector was riddled with unanswered questions, questions about measurement (how to determine the “right” performance measures), management (how to use those measures to actually change organizational behaviour), political and systemic questions (whether and how elected officials would use performance management as a political and/or oversight tool) (Metzenbauma, ibid). However, in spite of all these unanswered questions, the desire to create an effective means of governance in American public services meant that the implementation of performance management in governmental sectors also spread to the schools system.

2.7.1.1 Legal Framework for the implementation of performance management in the United States of America and Canada.

According to the U.S. Department of Education (1997:5), a strategic Planning and Performance Management, the rationale for adopting performance management in the education sector was outlined in the Government Performance and Results Act (GPRA), through which performance management was made a tool that provided an idea for implementing change to government interventions. According to Hall (2000) the GPRA is a law that focused on interpreting strategies and resources to get the outcomes needed for unique missions. Lienert (2005:15) suggested that out of the performance oriented budgeting, which aimed to improve efficiency and effectiveness of the federal government In the US, the GPRA of 1993 was promulgated. The GPRA required federal agencies to: prepare multi-year strategic plans, annual performance

plans, and annual performance reports. These stated requirements birthed the current performance management initiatives currently practised the world over.

As follow up to the above, the Reinventing Government initiative launched by Vice President Gore was directed at making the management of government more responsive and cost effective. According to the U.S Education Department (1997) the education department was at the time, an agency with troubled management history had to embrace strategic planning and new management agendas of performance management was in a way to correct it's well documented management problems and to support implementation of its legislative reforms.

2.7.1.2 Rationale for the implementation of performance management in schools in United States of America and Canada.

Forsythe (2000) recorded that at the heart of the performance management movement around the world, was a set of insights aimed at correcting misgivings of past experiences, thus, according to Forsythe (2000:5), the thought was that managers cannot act consistently to improve services without data to track performance if they did not measure the performance of their organisations. Furthermore, Forsythe (ibid) asserted that policy makers and citizens could not make judgements about the relative value of government activities without measures of program performance and impact. The rationale on which performance management implementation was premised, was thus, anchored on the two goals of management improvement and better accountability of individuals, teams and organisations at large. Performance management was adopted for implementation in the education sector of the United States of America as a strategy to address the short comings that bedevilled the schools. Serious management problems were identified and had to be rectified through the adoption and implementation of performance management. Thus, according to the U.S. Department

of Education (1997:7) these deep-rooted deficiencies were evident in the following aspects of the education system: Lack of management vision, little commitment to management by Education Department leadership, critical need to improve basic management systems, poor human resource management, no formal planning process, a need for a cultural change from an agency that was focused on short-term, and a highly centralized decision-making system that had poor internal communication methods.

Through Vice–President Al Gore's re-invention initiative, it was imperative for the US government to sought implementing change to the culture of government by introducing modern business practices such as customer service standards and surveys, streamlining and delayering of organizational operations and structures, employee empowerment, and process reengineering. Thus, according to U.S. Department of Education (1997:8), performance management was born out of the reforms that needed firstly, a strategic plan focused on setting goals. Secondly, business quality principles that framed these goals around meeting customer needs and designing improvement strategies to strengthen agency processes critical to serving government's customers. And thirdly, performance measurement that assessed accomplishment and feed this information back to the education system and federal government as part of a continuous improvement process. The whole programme was crystallized into strategic priorities/goals of the U.S. Department of Education that sought to: help elementary and secondary students reach high academic standards, create comprehensive school- to-work system, promoting access to high-quality post- secondary education and lifelong learning, and, transforming the Department of Education into a high-performance organization. (U.S. Department of Education, 1997:13).

2.7.1.3 Critique of the implementation of performance management in the United States and Canadian governmental sectors.

In spite of the purported benefits accruing from the implementation of performance management in government departments, authors such as Bourgon (2008:41), assert that despite the progress to date, performance management is not currently well positioned to improve results in government by creating a higher net value. He further posits that both the performance management and performance measurement system is underperforming in the public sector, including education. Whilst Bourgon (2008:42,45) acknowledges that under the influence of Scientific Management, as discussed earlier, it was believed that with a few exceptions, it was possible to define the "best way " to achieve complex results by breaking them down into simple tasks. In spite of the invaluable benefits that performance management is thought to bring to implementing organisations, Bourgon (2008:45) maintained that performance management in government was not doing well. Based on these findings, Bourgon (2008:46) advocates for the repositioning of performance management in order to clarify its purpose, improved decision making, better disseminations of outcomes. Bourgon (2008:48) observed that for the past 20 years, performance management has been primarily used for control, efficiency and accountability purposes. On arguing for the repositioning of performance management, Bourgon (2008:47) advocates that:

i) Performance management for results should be kept distinct from control mechanisms so that it can be an instrument of innovation and performance improvement, and not an instrument of control and compliance.

ii) Performance management system should recognise that different users of a performance management regime have different information needs.

The model of the first generation of performance management programmes implemented in the United States of America brought about evidence that they were not carefully crafted and they were difficult to implement. Hence there have been numerous calls by scholars for the need to reposition it as a concept, and in its implementation.

2.7.1.4 Strategies adopted to improve provision of Quality education in the United States and Canada.

The performance management system followed in America was particularly tailored to the specific requirements of each state and the response to underperformance was even more drastic in some states than others. In a case in the District of Columbia Public Schools, in 2009 Michelle Rhee who was chancellor fired 241 under performing teachers, approximately 5% of the district's total (Seattle Education 2010). In Seattle , the district officials decided to use student achievement test scores to fire those teachers they claimed were responsible for the poverty and racial academic gaps and reward those with high improvement scores (Seattle Education 2010:17). According to Bailey and Femiano in Seattle Education (2010:17) this carrot-and-stick approach not only failed to reduce the achievement gaps, but was ultimately unhealthy for good teaching.

In 2004, The Chicago Public Schools District identified the core strategies required to better realize its vision of "every child, in every school on track for graduation", and in 2005 the district set new five-year goals for student achievement as the standard for education (Dell and Dell Foundation, Chicago Public School District (2001). Thus, the district set itself about five goals that were geared towards improving student achievement on various examinations and enrolment into colleges.

The Dell and Dell Foundation Chicago District Schools (ibid) record that to accomplish the goals above, the district focused on improvement in five areas; viz, instruction, staffing, student options and opportunities, resource alignment and performance management. In 2006, the Chicago Public Schools District received funding from the Michael and Susan Dell Foundation to develop and implement the tools and processes necessary to better manage classroom, schoolhouse, central office, and district office performance,(ibid). Enabled by technology, the process was able to reliably measure, collect, track and share timely performance information on students, teachers and schools across the district and the information user-friendly and easy to access through desk-top dashboards.

As administrators and teachers were enabled to collaborate and make more proactive decisions, instructional, instructional and programmatic, based on timely, relevant data to positively influence student performance. The funding for this programme was made possible through generous donations by the Michael and Susan Dell Foundation which donated money for the following initiatives; i) strategic planning and defining metrics for each of the key roles in the district(such as teachers, principle, area instruction officer and central office employee. ii) setting performance targets aligned with district's five year goal, iii) creating rewards for and consequences linked to the targets, and designing technology and dashboard tools.

2.7.1.5 Section summary.

The above section was an attempt to review the literature on the adoption of performance management by the governments of the United States of America and Canada. Further to that, a critical analysis of the legal frameworks adopted to institutionalise performance management in schools in these two countries was given.

The major outcomes of the review of literature in this section showed that;

- Performance management had a long history in the USA and Canadian governments and was probably first implemented in the 1900s in local government settings as a way of ensuring good governance in the municipalities (Bourgon, 2008).

- The second generation of performance management regimes were introduced in the 1980s as a responds to the USA government's desire to re-invent government under the Government Performance and Results Act (GPRA) spearheaded by the then Vice President of the USA, Al Gore.

- Performance management was meant to be a tool for establishing the relative value of government activities through the measurement of programme and performance impact, and also this programme was intended to improve the management of government programmes and activities and instil better accountability of teams and organisations.

- In the context of the American experience, Bourgon (2008) maintained that in spite of the invaluable benefits performance management is thought to bring to implementing organisations, it was not doing well in government and therefore there was need to reposition performance management in order to clarify its purpose, improve decision –making and better dissemination of outcomes.

- One observation by Bourgon (2008) was that over the past 20 years of its implementation, performance management had primarily been used for control, establishing efficiency and for accountability purposes.

In the next section, the review of literature on Australia and New Zealand is given. It is generally acknowledged that these two countries had the greatest input to the development and application of performance management firstly in government generally and secondly in schools specifically.

2.8 PERFORMANCE MANAGEMENT IN SCHOOLS IN AUSTRALIA AND NEW ZEALAND

2.8.1 Introduction

As performance management was introduced in the British schools system, most countries that followed the Westminster system of governance adopted the changes and innovations that had been initiated by Britain. In Australia, the implementation of Performance Management was left to the federal governments that had to take cues from the national government. According to the Queensland Government Treasury (2002) in the document “Managing for Outcomes: Performance Management Frameworks”, the Australian government propounded an organisational and accountability framework for implementation in the public sector. Since the concept of performance management was derived from private sector organizations, the performance management frameworks represented the delivery process based on inputs-outputs and outcomes. An accountability framework was based on measuring and reporting performance as follows;

- Outcome indicators that provided the means for tracking success in achieving outcomes, for instance in education improved literacy and numeracy would determine those outcomes that are achieved.

- Output measure which focused on the efficiency and effectiveness of the outputs.

- Input measurers comprising the financial, human and infrastructural management process that underpin the delivery of services.

However, reports from an Australian organization revealed that Performance Management System (PMS) had a more positive impact on performance than it did on employees. The report showed that the workgroups that were already performing well benefited from PMS, whereas those that were not , had a more negative attitude to PMS and was less positive about its impact on performance (Harper and Vilkinas, 2005).

2.8.1.1 Legal framework for performance management in the Australian Public Service

The legal framework for the adoption and implementation of performance management in the Australian Public Service as summarised in the Commonwealth of Australia (2007) was anchored on the following legislations:The Financial Management and Accountability Act 1997, the Commonwealth Authorities and Companies Act 1997, the Workplace Relations Act 1996, and the Public Service Act 1999 which comprise a legislative framework that focuses on effectiveness and the achievement of organisational objectives.

This framework, according to Commonwealth of Australia (2007) provides agency Heads with significant flexibility to pursue results and to tailor their approaches to managing performance to best suit the needs of their own organisations. This approach enabled the enactment of sector specific performance management regimes throughout the Australian Public Service.

2.8.1.2 The process of implementing performance management in Australian.

The Public Service and Merit Protection Commission performance management overview guides the implementation of performance management system in Australia.PSMPC's Corporate Performance Planning and Management Framework link its Corporate Plan, team business plans and individual performance agreements. The PSMPC's approach to performance management: is located within an overall corporate performance planning, management and accountability framework; relies on an achievements and values based performance appraisal; articulates a desired culture through organisational and workforce characteristics; and links individual development planning with corporate level planning.

A key element is the Performance Appraisal Scheme, which is aimed at further fostering a performance culture and contributing to achieving corporate outcomes. The Scheme operates on an annual business planning and management cycle and its key features according to Commonwealth of Australia (2007) are that; all employees, except those employed for very short periods, participate in performance management, individual performance agreements articulate expected achievements and are linked to team business plans, individual development plans feed into an annual corporate training calendar; mid-cycle and end-cycle feedback and reviews of performance, use of a five point rating scale, with performance based salary increases, payment of bonuses to superior and outstanding performing employees, and initiation of action and a process for addressing poor performance.

2.8.1.3 Benefits of implementing performance management in schools in Australia.

According to Commonwealth of Australia (2007:68), performance management benefits both employees and the schools by: aligning individual effort with organisational and

schools' business plans, encouraging regular feedback on performance, monitoring, reviewing and evaluating performance, rewarding high performance, supporting job and career goals with development strategies, and improving working relationships between managers and employees within schools.

2.8.1.4 Legal frameworks for performance management in schools New Zealand

The legal framework refers primarily to the body of high level and ordinary laws that support performance management system and these may be in the form of ordinances, regulations, decrees and instructions (Lienert 2005:5). The implementation of performance management in in New Zealand was overseen by the progressive policy promulgations and acts that made it feasible to implement performance management in the public service. The regulatory framework for teacher appraisal had a number of components among which are the following:

- The mandatory requirements for performance management in schools, *Guidelines onperformance management systems of 1977,*
- The Constitution Act of 1986
- Legislative framework provided by the *State Sector Act of 1988* and the *Education Act of1989*.
- Two sets of professional standards embedded in the guidelines on Performance Management Systems for the Primary and Secondary Teachers
- Collective Employment Contracts and the Registered Teacher Criteria developed by New Zealand Teachers' council (NZTC).

- Teacher appraisal for accountability purposes: registration against the set standards set by the NZTC for entering the teaching profession and maintaining on-going membership, and; and attestation against the professional standards for salary progression

- Teacher appraisal for improvement purposes linked to the on-going professional learning and developments to improve teaching and learning linked to either set of professional standards.

The introduction and implementation of performance management in New Zealand thus took cognisance of all these legislations as the legal basis on which the innovation was premised.

2.8.1.5 Rationale for the adoption of performance management in New Zealand education sector

Scott (2004:23) recorded that in October 1987, a group of four ministers and some concerned senior officials held several meetings to discuss how the New Zealand Public Service could be improved. In New Zealand schools, a major factor in the call for reform was the failure of the appraisal system in schools between 1990 and 1995 (Cardno, 1999) and the high level of public dissatisfaction with teachers and their professional work (Fitzgerald, Young and Grootenboer, 2003:91). Subsequently, the reform agenda incorporated the development of a system to appraise teachers and their performance in order to ensure that the incompetent teachers did not continue to teach. According to Fitzgerald, Young and Grootenboer (2003:93) the performance management implementation in schools followed the following steps;

- The formal development of written statements of performance expectations in consultation with the teachers;

- The identification and writing of specific development objectives and indication of professional support needed to meet these expectations; a formal observation of the appraisee's teaching;
- At least two formal meetings (setting objectives and annual review of objectives); and
- The completion of a formal appraisal report that was prepared and discussed in consultation with each teacher and lodged with the principal.

The performance management system (PMS) for teachers and principals has been mandatory in all New Zealand schools since 1997. According to Fancy (1997:3) and the New Zealand Ministry of Education (1999:4) the objectives of performance management in schools were to;

- Improve learning outcomes for students by improving the quality of teaching and leadership.
- Integrate policies, practices standards and procedures that link the goals and objectives of the school and its staff.
- Set and agree performance expectations and the process for measuring against those expectations.
- To focus on the professional development of each teacher.
- To deploy staff skills, knowledge, training and talent in a way that maximizes the learning outcomes for students. and,
- Rewarding performance and achievement.

This was done through the release of professional standards in June and August of 1999 respectively for schools to incorporate into existing performance management systems (New Zealand Ministry of Education, 1999:2). The intention of performance management in schools was to deploy staff with skills, knowledge, training and talent in

a way that maximizes the learning outcomes of the students (New Zealand Ministry of Education, 1999:4)

The New Zealand Ministry of Education spelt out that effective performance management occurs in a supportive working environment where there is a high level of commitment and trust (Fancy, 1997:3). The New Zealand Ministry of Education (1999:5) emphasized that performance management was not about setting people up to fail by setting unrealistic goals or surprising staff at the end of the performance period with tasks and responsibilities they should have achieved but were not aware of, or unreasonably justifying why remuneration increment should be withheld. This set the tone for the implementation of performance management in New Zealand, and this model was more defined than all that had been practised in other countries.

Whilst New Zealand has been applauded throughout literature for the way she introduced performance management in the public sector, Scott (2004:72) admits that not every aspect of reform has worked out as expected. Although its reforms have been more comprehensive and rigorous than those introduced in other countries, these reforms have neither been complete nor perfect and their effectiveness has depended on the manner in which they have been implemented as well as the underlying concepts or doctrines. However, according to Scott (2004:72) what was accomplished in New Zealand was unprecedented anywhere in the world.

Due to the immense success of the way in which performance management was introduced in New Zealand, all countries around the world adopted performance management as a way of improving service delivery not only in the education system, but in government in general Scott (2004:91) reckoned, however, that whether the aspects of New Zealand‘s system or any other advanced systems are appropriate for

developing countries was contentious and has been debated thoroughly internationally. This is supported by a number of studies carried internationally that have continued to question whether performance management is the panacea for the challenges to effectiveness, efficiency and economy in public organisations.

Schick, 1998; Odden and Kelly, 2002; Jennings and Lomas, 2003; Odden and Kelly, 2008; Fryer, Antony and Ogden (2009:478-498) Ohemeng, (2009) among others questioned the implementation of performance management in schools. In their study, Fryer, Antony and Ogden (2009) concluded that the expected improvements in performance, accountability, transparency, quality of service and value for money have not yet materialised in the public sector organisations. Ohemeng (2009) also chronicled the constraints of the implementation of performance management in developing countries which were based on research findings from a case study done in Ghana and Schick, (1998) whose study was on why developing countries should not introduce New Zealand's reforms. It is therefore important at this point to acknowledge that New Zealand is publicly credited with investing more financial and human resources to the perfection of performance management implementation in the public service and in schools.

Thus, the performance management framework was introduced with the sole mandate of ensuring that all students in New Zealand schools experience effective teaching (New Zealand Ministry of Education, 1999)

2.8.1.6 Section summary

This section has dealt with the literature review on Australia and New Zealand. One thing that stands out is that after the introduction of performance management in the United Kingdom, New Zealand took a leading role in researching on the concept of

performance management. It invested heavily on research and the refining of methods of implementation in education and other public sector organisations. The first version of performance management (called performance appraisal) is generally understood as having failed, hence the governments' decision to implement performance management. Further to this, there had been a general high level of public dissatisfaction with teachers and their professional work as noted by Fitzgerald, Young and Grootenboer (2003). The current structure of performance management practised all over the world is largely based on the New Zealand model whose main objective was to improve learning outcomes of students by improving the quality of teaching and school leadership. The New Zealand model of performance management focused on the professional development of the teacher and also focused on the supporting the teacher in achieving the goals of the organisation and not as a tool to justify the withholding of remuneration.

In the next section, the literature review looks at the process of adopting, implementation and evaluation of performance in the Nordic countries such as Denmark, Sweden and Finland. Through this process the thesis will analyse purposes of the introduction of performance management in these countries.

2.9 PERFORMANCE MANAGEMENT IN NORDIC COUNTRIES

2.9.1 Introduction

Performance management in Finland was heavily influenced by the quality of teachers that were recruited into the teaching profession. According to Dillon (2007:2), in Finland they selected their teachers from the top third of their college graduates and they pay their teachers better than the United States and Britain. Therefore, because of the high

calibre of their teaching personnel, the performance of their students and schools is also high.

A study on the effects of performance management reforms of Danish public schools which focused on the performance of over 80 000 lower secondary students found out that there was a very small improvement and in some cases no improvement at all on student achievement scores that could be attributed or linked to the implementation of performance management reforms in the said schools. These results, according to Andersen (2008) warrant the continued need for vigorous research on the topic and a closer analysis of the methodological challenges involved in estimating reform impact in the education sector.

2.9.1.1 Rationale for the implementation of performance management in schools in the Nordic region

The implementation of performance management in Denmark derives from the numerous attempts by government to improve the quality of services offered to the citizens as dictated by New Public Management. (NPM).

In Finland, the government embraced the doctrine of implementing performance management in the 1990s, while ministries and agencies were required to introduce performance management by 1995 (Ministry of Finance 2006:19). These reforms were premised on the promise that; better service and efficient operation were expected from public administration, public services had to be easily accessible and be of high quality, range of services had to match citizens needs even as society changes, the efficient use of resources was to be intensified (Ministry of Finance 2006:19)., and was influenced by the need to have increased market orientation thinking and emphasising the role of citizens as the customers of the civil service

Thus, the emergence of Performance management in Finland was arguably influenced by performance management reforms implemented in other OECD countries. Finland was copying other industrial societies that were modernising their public sectors by introducing doctrines of management systems of the private sector business management into their public sectors such as Britain and the USA.

2.9.1.2 Legal framework for performance management in schools in the Nordic region.

The implementation of performance management in the Nordic region school systems was through a series of legislations. According law, Denmark has nine years of compulsory education for learners in the 7 to 16 age bracket.

In Finland, the performance management legal framework was enacted through a budget legislation reform of 2004. The legal framework aimed at enhancing performance management and significantly improve accountability in administration (Ministry of Finance 2006), thus, it focussed on; policy effectiveness, operational efficiency, outputs and quality management, and management of human resources. Thus, the basic idea of performance management in operation was to balance resources and targets on the one hand, and efficiency and quality on the other as well as to ensure that the derived effects are cost-effectively achieved (Ministry of Finance 2006:7)

The work of Lienert (2005) offered questions that have practical relevance to the importance of establishing a legal framework prior to the implementation of reforms. A question that derived directly from such works asks if laws are needed for public sector reforms. As highlighted earlier, the need for a legal framework cannot be over emphasized because its purpose is to support the policies that are enacted to bring

about change. Thus, a legal framework is an instrument for legitimizing such changes so as to minimise potential resistance from the change agents or implementers. Finland adopted the State Audit Office Act of 2000, followed by the auditing of state activities Act of 2002 (Lienert, 2005).

The Ministry of Finance (2006: 119-120) suggests that the institutionalisation of performance management in the public sector was through Central Government Budget Decrees of 2003 and 2004 namely

i) The Central Government Budget Act of 2003/1216 , which sought to support the performance management socities

ii) Central government budget Decree 9 of (2004:254) which emphasised the use of targets and results and the use of limited economic and human resources for optimal results.

iii) The Central government of 2004 section 17 reported the other focus as on doing things for maximum returns from fewer resources

In Sweden, the first ever State Budget was adopted in 1996, and Lienert (2005:15) observes that the main highlights of that legislation were:

- To clarify the role of government in the budget process
- To formalise performance oriented budgeting introduced prior to 1996
- To emphasise key values of NPM, including the aim of a high level effectiveness and good economy in government operations, and
- To enable government to report/account to parliament the various objectives and aims and results achieved in various operations.

These legislations were the foundation on which the philosophy of performance management in government and education are premised.

2.9.1.3 Changes brought through the implementation of performance management

In Denmark the following changes were evident;

- More private schools have evolved some of which are religiously inclined
- Teachers' workloads have increased owing to the need for teachers to participate in different kinds of development projects (Johanneson, Lindblad and Smith 2002:230) and ,
- The amount of mandated ,regulated and controlled work teachers must do outside the classroom has increased resulting in greater responsibilities and higher workloads (Johanneson et al, 2002:230)

In the case of Finland, the following changes happened in the public sector;

- Increased freedom of action and accountability of government agencies, including education
- Gain better services for the citizenry
- Have a more efficient use of resources

2.9.1.4 Critique of the PM in schools in the Nordic region.

Performance management implementation in Denmark follows the structure of the New Public Management (NPM) regimes. There is, however, lack of clarity, no clear-cut evidence as to the kinds of benefits that have been realised from the introduction of private schools in Denmark. Further to that, no clear evidence is seen on how these

private schools are influencing the quality of education in public schools and if there are any, Nannestad, 2004 proceeded to argue that it could be positive, neutral or negative. Nannestad (2004:3) reiterated that while the existence of private schools does in fact create incentives for public schools to perform better, the extent of competition is not easily determined. Other literature suggest that the change only brought about "market segmentation" while some point to the fact that specific groups like the minorities, religious group affiliations (such as Catholics and Muslims) benefited from these changes because the liberalised and decentralisation of provision of education enabled these religious groupings to open up schools in the region.

In Finland, the Ministry of Finance (2006:21) reported that basic problems regarding to the implementation of performance management persists and these were that;

- performance management seem to make operations more inflexible
- performance negotiations were just a matter of going through the motions due to lack of time to plan and implement it
- Ministries have a belittling attitude on performance management, thus other tasks are seen as more important than implementing performance management

2.9.1.5 Section summary

The evidence in the literature showed that the implementation of performance management in the Nordic countries was mostly inspired by changes in either Britain and the USA and OECD countries. The adoption of performance management was largely birthed by supportive legislation at government level. The main goals for the adoption of performance management were to try and achieve greater results from less financial, technological and human resources.

2.10 PERFORMANCE MANAGEMENT IN SELECTED COUNTRIES IN AFRICA.

2.10.1 Introduction

Public services in many African countries have been confronted by many challenges, which constrained their capacities achieve their goals (Lienert, 2003). According to available literature, these challenges included among others, the human resource factors, such as the shortage of manpower in terms of the requisite numbers with appropriate key competencies to perform at certain levels, the lack of appropriate mind sets and the socio-psychological dispositions to perform at high levels of effectiveness. According to AAPAM (2005), there also happens to be a perennial shortage of financial resources, material resources and logistical expertise that were necessary to support effective service delivery. As a result, most public enterprises in Africa were and still are suffering from financial constraints and continue to seek financial assistance from external managerial and funding agencies. The AAPAM (2005), argued that the problems of African public services stem from unclear and conflicting objectives and a lack of autonomy accountability. On the other hand AAPAM (2005), reports that the gradual erosion of the ethics and accountability has continued to bedevil the public sector in delivering public service to people effectively as a result.

This section thus, documents and analyses the implementation of performance management in African contexts. It looks at how selected countries have implemented performance management particularly in their education systems. Greater focus was given to empirical research and the findings of such researches so as to be able to effectively draw lessons on performance management implementation in African contexts. In the following pages, this thesis made an exposition of how performance management came into existence in Africa, first in the public services, more specifically into schools.

2.10.1.1 West African Region (Ghana and Nigeria)

The advent of globalisation and the N.P.M did not only have an impact on world economies, but also on education systems of countries of the world. As a result, globalisation and N.P.M had enormous implications in all aspects of education than most nations and people are prepared to refuse or accept (Adelabu, 2006:2). Another study by Esu and Inyang (2009:98) made an analysis of performance management in the Nigerian public sector and observed that many businesses (including schools) have failed to meet the objective or purpose of their formation and why they were implemented. In that study, Esu and Inyang (2009) noted that the failure of businesses was mainly a result of managers' lack of requisite managerial skills in management. In their study, Esu and Inyang (2009:98), observe that although there are a plethora of studies on the reasons why business failed (Esu 2003; Abraham 1981), their paper argued that most businesses failed because of ineffective and inefficient performance management systems. What matters in business being the quality of management the organisation has at its helm. Just like all other regions that undertook to introduce reform in their public services, the Nigerian public service was said to have suffered setbacks which were largely attributed to in effective and inefficient management.

2.10.1.2 The Nigerian Experience

Challenges on how the Nigerian Public Service did its business were enunciated by the then Nigerian president, Obasanjo (2003), in Esu and Inyang (2009:99), that (i) Nigerians had been feeling short changed by the quality of public services, (ii) public offices had been showcases for combined evils of inefficiency and corruption, and (iii) was an impediment for effective implementation of government policies. Agagu (2008:243), asserted that the public service which was seen as the custodian of rules and regulations and the engine of the development had lost its prestige and confidence.

Esu and Inyang (2009:9), posit that the aftermath of this was the invention of series of reforms which led to the privatization, downsizing and right-sizing of the public services and even minimizing the role of the public sector in the national life. Thus, the adoption of performance management was seen as a tool that could focus on managing the individual and work environment in such a manner that an individual/team can achieve set organizational goals (Esu and Inyang, 2009:98). According to Esu and Inyang (2009:98) the concept of performance management was theoretically underpinned on the theories of motivation; therefore it was not possible to tackle issues of performance management without looking at it through the lens of motivation theories.

In respect of the education system of Nigeria, Ololube (2006:8) identifies that the decline in the standard of education and quality of education from kindergarten to university could be attributed to dwindling resources, poor national economic performance, inappropriate governing structures, political interference and educational instability. However, Shattock (2003), cited in Ololube (2010), suggests that the major cause of academic inefficiency was low academic moral and the low public esteem in which the education system is held so there was a desire by the education ministry of education to change the situation by implementing some forms of performance management in the schools.

2.10.1.3 The Ghana Case

In Ghana, various forms of performance management have been experimented with in the public sector. The OECD (1997: xii), records that as far back as 1996 the School inspectorate of the Ghana Education Service (GES) schools inspectorate was responsible for the verification of schools performance results. This process started at the school level and the data were passed upwards until they reached the national

offices. Since 1966, Ghana adopted the Free Compulsory Universal Education [FCUE] programme that was heavily supported by donor organisations. The programme meant to address the problems that were inherent in the education sector and ensure quality education was obtained through the following;

- Institutionalisation of the performance measurement test for all public schools.
- Efficient management which was addressed through PEM and management reform in the sector, and;
- Issues of access that were also the objective of the GPRS.

Research carried out in Ghana by Adei and Boachie-Danquah (2002:7) has shown that shown that performance management in the public sector was meant to address the capability of the public sector institutions to effectively and efficiently deliver anticipated missions. Therefore, since performance management must deliver on its missions, it was therefore imperative that targets, benchmarks, measurement (evaluation)... are all very important ingredients in the quest to achieve performance management in the public sector (Adei and Boachie-Danquah,2002:7). According to the 1992 Republic Constitution of Ghana Chapter 14,190, Public Services included many governmental institutions including the Education Service. Strategies adapted to reforming the civil service included the following:

- The introduction of a new performance appraisal system based on objective and target.
- A merit rather than a length of service based promotion.
- The revision of the Scheme of Service as a strategy for determination of career paths.

- The re-enactment of the Civil Service Law of 1993 after the revision of the old law.
- The retraining and redeployed workers.
- The development of training plans.
- The production of personnel procedures, and;
- The introduction of management concepts such as performance management (Adei and Boachie-Danquah, 2002:12-13).

In Ghana, Wereko and Dordunoo (2010:12) observed that lack of training for education administrators was attributed as the major missing ingredient in quality education. They argued that it takes trained and experienced head-teachers to create conducive environments for effective learning in schools. Furthermore, Wereko and Dordunoo (2010) argued that education had to be accountable for the huge public funds thrust upon them and had to deliver quality service in return

2.10.1.4 Critique of performance management implementation in Nigeria and Ghana

According to Owusu (2005:1), public sector reform programmes implemented across Africa including the World Bank's first and second generation reforms were based on the assumption that that all public organizations are inefficient. This assumption, as Owusu (2005) pointed out was problematic because it originated from a position that does not recognise the level of effectiveness that the public sector is capable of attaining in the face of various limitations imposed by a number of economic, social, political and other environmental factors. In spite of the insights provided by Owusu, performance management is still popular in African countries and is still expected to play a more central role into the life of the continent's public organisations. The observation by Ohemeng (2009) that performance management had become a key

element in modern public services sector has become more relevant than ever before but in West Africa there were some mutation of performance management systems.

The implementation of performance management in African countries had been affected by a number of institutional and capacity constraints, such as institutional work culture of organisations in Africa, insufficient capacity, inadequate political support from the top (***governmental***) and leadership among others. The OECD (1997: xiv) further strengthened this argument and observed that in Africa, leadership from the very top on performance management reforms is very crucial for the success of the innovation.

2.10.1.5 Section summary

The above section has given an account on performance management implementation in Ghana and Nigeria, outlining the challenges faced and interventions adopted to improve the performance of the education systems in those countries.

2.10.2 PERFORMANCE MANAGEMENT IN KENYA, TANZANIA AND UGANDA

There has been a growing body of literature on the modernisation of management control and information systems in developing countries, but most of the literature has been on accounting practices (de Waal, 2007:70). The same author, citing research experiences in a Tanzanian institution records that there has been very little research evidence on performance management in African organisations and this accounts for the limited knowledge on performance management on the African continent. According to Aziz in de Waal (2007:70), the scientific and professional literature specifically on implementing performance management in developing countries is scarce.

- **The Kenyan Case:**

According to DPM (2002a:3-5), there were inappropriate practices and growth in the size of the civil service in Kenya and this resulted in a number of circumstances that impacted negatively on the performance of the public sector. The following factors are identified as what caused the inappropriate growth of the civil service; a bloated workforce which by 1990 had exceeded the Kenyan government establishment by 21% which was an equivalent of 26 618 employees (Chepkilot 2005:16), an unmanageable wage bill, a decline in efficiency and effectiveness in service delivery; and staff imbalance and utilisation of staff.

- **The scope of performance contracting in Kenya**

According to Kobia and Mohammed (2006:4), performance contracting is a branch of management science referred to as management control system. They further explain that a performance contract is a freely negotiated performance agreement between government an organisation and individuals on one hand. The push factor for the introduction of performance contracting in Kenya underlies the assumption that institutions of performance measurements, clarification of corporate objectives customer orientation and an increasing focus towards incremental productivity and costs reduction can lead to improvements in service delivery (Government of Kenya, 2003).

In the Kenyan scenario, performance management was traditionally defined as the process of financial control, in which mission and strategy was translated to budgets whilst some of the organisations turned to the Balanced-Scorecard (BSC), (de Waal, 2005). In the Kenyan education sector, there was a lack of decisiveness and clarity on the programme that was being implemented to improve the performance of teachers and learners in schools. Whereas the private sector in Kenya is implementing performance management, or at best, the Balanced Scorecard (BSC), the schools

sector were still implementing Total Quality Management (Ngware, Wamakuru & Odebero, 2006), and this further affirms claims by Aziz in de Waal, (2007:70), who found out that literature on implementation of performance management in developing countries is still scarce. To further confound the confusion in the understanding of performance management in the Kenyan context, there was some evidence in literature on performance contracting being also practised in Kenya (Trivedi, n/d: 5).

2.10.2.1 Legal framework for the adoption and implementation of performance management in East African countries (Kenya, Tanzania and Uganda).

- **The legal/legislative framework for performance management in Kenya**

The legal framework for the implementation of performance management (known as performance contracting) programme in Kenya was started through the establishment of performance contracting steering committee in 2003 and the issue of the Legal Notice number 93 and the state corporations (performance contract Regulations, 2004 (Messah, 2011).

- **Policy and legal framework in Tanzania**

According to Kayombo (2007), Bana (2009) and Issa (2011) the implementation of performance management in Tanzania was in consonance with the Public Service Management and Employment Policy of 1999 (PSMEP) which was implemented concurrent with the Public Service Act Number 8 of 2002 (Bana 2009:5). These two instruments facilitated the institutionalisation of performance management in the Tanzanian Public Service, (*which also encompasses education*) (Public Service Act Number 8 of 2000:73; the Public Service (Amendment) Act ,2007:53, United Republic of Tanzania (1999) Public Management and Employment Policy, p.27-28). These acts

were used to regulate the implementation of performance management in the Tanzanian Civil Service.

The Tanzanian Civil Service Reform Programme (CSRP) launched in July 1991, and implemented until 1999 (Bana 2009). Issa (2011:5) observed that the public service reforms in Tanzania were motivated by challenges that plagued the public service, among which were as huge public service (employees and institutions), unmanageable public expenditure, low revenue collections, lowly paid and unmotivated public servants, poor service delivery to citizens, poor performance in most of the public institutions, and low accountability.

Thus, the major thrust of this programme was cost containment and restructuring of government (Issa, 2011:5). This was immediately followed up by the Public Service Reform Programme (PSRP) which was implemented in a series of overlapping but mutually supportive phases. According to Bana (2009:3) and Issa (2011:5) the three phases adopted for the improvement on the implementation of performance management were as follows:

- Cost containment, contracting and streamlining government structures, reduction of the number of employees in the public service and wage bill controls
- Installation of an integrated human resources and payroll management system (IHRPMS)
- Restructuring and the decentralisation for improved service delivery, capacity building, and
- Improvement of policy and legislative reforms to sustain reforms

2.10.2.2 THE PUBLIC SERVICE REFORM PROGRAMME IN TANZANIA

- **Phase 1 (2000-2007) Instituting performance management systems**:

According to Kayombo (2007:6), Bana (2009) and Issa (2011) in this phase, emphasis was placed on the building of an integrated system for creating a shared vision for understanding and agreement about results to be achieved and the operational framework for continuous improvement in standards and quality of public service delivery in Tanzania.

- **Phase 2 (2007-2012) Enhanced Performance and Accountability**

Kayombo (2007:10) reiterates that phase two of the public service reforms in the Tanzania public service focussed on instituting a performance accountability culture, by strengthening mechanisms for securing enhanced accountability to ensure the following: Accountability to citizens, accountability across government, and accountability within an organisation. Thus, all efforts in the public service were geared towards enforcing the achievement of the identified discrepancies public sector wide.

- **Phase 3 (2012-2017) Quality Improvement Cycle**

Enhancement of the quality improvement cycle was according to Kayombo (2007:11) ensured through the following strategies:

- Strengthening the demand side of accountability for service delivery
- Creating and enhancing channels of feedback from citizens and clients
- Strengthening the capacity of ethics oversight and compliance institutions
- Strengthening the internal accountability mechanisms with government
- Promoting ethical conduct in the Public Service, and
- Strengthening the capacity of the public service commission in the performance of the oversight and supervisory roles.

2.10.2.3 The Objectives of the Performance Management Interventions in Tanzania

The performance management programme that is currently being implemented in Tanzania aimed at having in place predictable, effective and efficient systems for planning implementation, monitoring, evaluation and reporting in the whole public service of Tanzania. According to Issa (2011) the adoption of the performance management systems were to:

- Provide quality public services to the public, improve performance of the public service institutions
- Improve accountability and responsiveness, ensure effective and efficient use of public resources
- Provide standards for providing comparisons and benchmarking within the public services institutions
- **The case of Uganda Civil Service Reforms**

In Uganda, the Civil Service reform programme was introduced in 1990 (Ministry of Public Service, 1990). Though the promulgation of instruments to make the implementation of performance management more binding are not fully deliberated, the reforms were meant to address what had been seen as performance deficiencies in the public services. This was to be achieved by the use of performance targets and performance indicators. Williamson (2003;12) suggests that the rationale behind the use of targets and performance indicators in the formulation and implementation of public sector programmes is that they should enhance the efficiency and effectiveness of public expenditure by assisting in improving the policy, programmes and expenditure choices made and accountability programmes. According to Mpanga (2009) the adoption and implementation of performance management in Uganda was done through an act of parliament

2.10.2.4 Rationale for implementing performance management in the education sector in East Africa.

According to Sekiwu (2009), the declining quality of schools was one of the most serious problems facing Third World countries, particularly so in Africa. Thus, to a great extent this scenario can be attributed to the quality of salaries that teachers in developing countries receive. Where salaries are high, the teachers are motivated and they exert superior effort which then translates into high pass rates for pupils. The performance of a school was therefore directly linked to the quality of teacher remuneration, (Sekiwu 2009). Hence, in some African countries, the performance of private schools on the national examination is very high.

- **The Kenyan case**

According to Obong'o (2009) the rationale for introducing this policy, just like any other developing country, was the widespread perception that the quality of service provided to citizens by the Kenya Public Service (which obviously includes education) had been deteriorating. According to Government of Kenya (2003), the push factors for the introduction of performance contracting in Kenya underlies the assumptions that institutions of the public Service needed the performance measurements for the clarification of corporate objectives, customer orientation and an increasing and an increased focus towards incremental productivity and costs reduction can lead to the need for improvements in service delivery. Obong'o (2009:75) recorded that over the years, poor performance of the public sector especially the management of resources had hindered the realization of sustainable economic growth. Research results further identified some of the factors that adversely affected performance as including excessive regulations and controls, frequent political interference, poor management,

outright mismanagement and, a bloated staff and management compliment (Obong'o, 2009:75).

The assumption that instituting performance measurement to gain the clarity of corporate objectives, customer orientation and increased focus towards incremental productivity and cost reduction could lead to improvements in service delivery also motivated the implementation of performance management in education Obong'o (2009).

According to the World Bank (1989) African countries emerged from the structural adjustment era of the 1980s both strained and scotched by several reforms in the public sector management. Governments were encouraged to deregulate public enterprises (*including education*) and ensure that they are run like private sector business. Thus, according to Therkildsen (2001) the importance of this shift of emphasis in public management was geared towards maintaining a macro-economic stability, lowering inflation, cutting deficit spending and reducing the scope of the cost of government. To this end, Obong'o (2009:67-68) opined that a major common reform that many developing countries have been pursuing in the implementation of reforms involved the multiplicity of measures intended to improve service delivery. According to Obong'o (2009:74), over the years, the performance of the public sector was beset with shortcomings, there was evidence of poor management of public resources, excessive regulations and controls, frequent political interference outright mismanagement and bloated staff establishment. Performance management therefore, aims at, by and large attaining operational effectiveness through practices that allow an organisation to better utilize its resources The perception that for the performance of government to be effective, the public service needed to perform at optimal levels was paramount. It was therefore imperative that as Trivedi (2003:28) outlined; defining what performance is

became the first step in any evaluation of all performance management exercises. This was only possible when a set of criteria against which performance will be measured was given and agreed upon first. Hence, Trivedi (2003:28) suggested that performance criteria should reflect the objectives of the agency. Thus, Trivedi (2000:9) asserted that performance contracting had been adopted as a means to promote transparency, promote accountability, promote responsiveness and improve reform administration.

Whilst the literature elsewhere points to the importance of leader support in order for school improvement packages to realise their objectives, the Kenyan study on TQM shows that the Board of governors were doing little to promote TQM practices. The size of the sample in this study (300 teachers) who were an accessible sample drawn from MEd and PGDE students on a one moth residential session on in a public university in Kenya may not be quite representative of the state of performance improvement techniques in the whole country since other regions of the country were most probably underrepresented and data collection needed triangulation to consolidate trustworthiness of findings.

There is no clarity on which form of performance management was being implemented in Kenya. While Total Quality Management (TQM) was being implemented, there is alternative evidence showing that Results-Based Management (RBM) and performance contracting was also practised in Kenya. In other governments departments in Kenya, Trivedi (n/d: 3), suggested the use of performance contracting in order to promote transparency, accountability and responsiveness to citizens by public agencies. CIDA (2000), and Obong'o (2009:72) asserted that Results Based Management (RBM) is practised in Kenya and were designed refocus the mind-sets of civil servants towards achievement of defined results by improving planning, management efficiency, effectiveness, accountability and transparency. However, this multiplicity of programmes

further complicated the ability of implementing agencies to have clarity on performance management in government departments including education.

- **Tanzanian case**

Contingencies for the implementation of performance management in Tanzania were different from the Kenyan case. In Tanzania, the Result Based Management (RBM) formed the basis of performance management is practised. This RBM model has been coupled with a home grown rubric that is commonly referred as the Performance Improvement Model (PIM) (Ban, 2009). Institutionalisation of the programme in Tanzania was achieved through strategic and operational planning, formulation and adoption of client service charters, service delivery surveys, self- assessments programmes, institution of performance budgets, open review and appraisal system (OPRAS), and, comprehensive monitoring and evaluation (M&E) systems (Bana, 2009).

The methods enumerated above and other more technical issues adopted by the government of the United Republic of Tanzania aimed at addressing what employees do (their work), how they do it (their behaviour) and what they achieve (their results) (Bana, 2009:4).Thus, in its totality, performance management in the Tanzanian Civil Service embraces all the formal and informal measures adopted by civil service entities to increase organisational, team and individual effectiveness. It is also concerned with the continuous development of knowledge, skills and competencies of public servants.

- **The case of Uganda**

The rationale for the introduction of performance management in the public service (*which encompasses the ministry of education*) were aptly recorded by the Ministry of

Public Service (1990) which highlighted that the reforms were necessitated by challenges brought about by the bloated nature of the public service. Further to that, Mpanga (2009:33) claimed that the public service was rife with inefficiency and was characterised by endemic poor performance, and was bloated. Because of this, key problems experienced were that there were inadequate pay levels and benefits for government employees; there was a dysfunctional civil service and inadequate personnel management and training (Ministry of Public Service, 1990).

In order to address the identified challenges in the public service, The Civil Service Reform Programme was launched in 1992 with specific aims to: restore the past glory of the civil service by improving civil service responsiveness, efficiency and effectiveness, achieve Uganda's development objectives and restoring public respect and confidence in the activities of the civil service, implement a longer term vision of creating a civil service that was smaller, better paid efficient and effective, transparent performance based and consistent with simple rules and foster discipline for personal initiative, follow a new rational budget system based on identified priorities, have a mandate to undertake only those functions that it can effectively perform, pay its employees a living wage and build a realistic data base on which decisions were made. These reforms were guided by the organisations goals and objectives, to develop employees would demonstrate commitment to such goals in their work, be fully accountable and responsible for the output of their jobs and were also committed to achieving clearly identified individual objectives (Okutho 2003b).

The Public Service reforms in Uganda were aimed at developing a public service that delivers timeously, has high quality and appropriate services, enhance efficiency and effectiveness improve management information, develop human resources, time management, organisational discipline and good governance (Ohum,2003). In the

education sector, giving teachers a living wage involved the paying of professional allowance, top up all free housing and transport allowance for some officers.

2.10.1.3 Critique of the performance management systems in East African countries.

The study by de Waal (2007) carried out in Tanzania sought to establish whether performance management was applicable for implementation in developing countries. The research findings were that the overall lack of management skills and expertise in the Tanzanian public service, de Waal (2007:72), makes it impossible for developing countries to develop complex structures such as sophisticated performance management systems. Thus, developing countries, the majority of which are found on the African continent, end up concentrating on copying tools and systems developed in the Western world which are not suited to local circumstances (de Waal, 2007:72).

Whilst there is no question that in theory, adopting management practices which have been proved to be effective is a better alternative for organisations than investing their limited and scarce resources in efforts which amount to more than “reinventing the wheel”, de Waal (2007:72) believes that the state of the art techniques and practices currently in operation in the western developed countries can create considerable pressures for managers to adopt theme speedy and ready to implement strategies in order to find quick-fix solutions to challenges faced by their organisations. This perception clearly persuades us that when solutions must not be imported lock-stock and barrel from external sources without attempting to adapt them to specific geographical, cultural and technological environments.

The general perception and thinking was that whilst these state of the art techniques and practices in operation in western organisations can be of great benefit to developing

countries, de Waal (2007) contends that these techniques, however, cannot be expected to translate and be transplanted into different socio- cultural environments of developing countries, and be expected to achieve similar impacts and successes as when they are implemented in their countries of origin.

The teething problems may be caused by a variety of factors among them the work culture of the human capital of the host country. Bana (2009:17) concurred with de Waal (2007) and asserted that performance management was advocated for in a prescriptive fashion. Thus, this prescriptive approach was tantamount to what Larbi (1999) termed the “one size fits all” approach to challenges affecting developing countries. In a similar vein, Bana (2009:17) warned that the real danger was that performance management, including all forms of employee appraisal systems could not simply be borrowed from one organisation or country and be applied in other contexts as many advocates suggest because each and every organisation is a peculiar system in its own right. This body of evidence compels those who are advocates of reforms to take cognisance of the idiosyncratic differences relating to individual organisations and contexts of the host country’s political and socio-economic environments.

Conclusions by de Waal’s study were based on a study of just one college in Tanzania, and the methodology used was a prescriptive empirical research. Thus, the findings from this study (in-service training) may not be generalised to all developing countries situations because of the localised nature of the study sites. Hence, these findings could only be inferred to be a report on what transpired in that specific institution. Though other replicative studies were done in a number of African countries such as Zimbabwe, see Nhemachena (2004), the then current state and future of performance management in Zimbabwe, Motswiane (2004), on the state and future development of performance management in South Africa, and the study by Malinga (2004), that

focused on the state and future developments of performance management in Kenya, findings of these researches do not easily correlate with the Kenyan case because of the uniqueness of the geographical locations in the host countries.

The effects of the reforms in East African countries are summed up by Opio (2006), and Okutho (in Malinga, 2005:33), who argued that the effects of these reforms were based on the principles of managerialism, and are yet to be fully understood and appreciated in relation to the performance of the public service. The same observation was reiterated by AAPAM (2006), which noted that public services reforms meant to address challenges in African Public Service delivery endeavours have achieved minimal results. In the case of Kenya, Opiyo (2006) observed that while there was a reduction in the size of the core civil service by about of 30%, it was noted that productivity and performance in the public service did not change as expected.

On a personal reflection level, all the three cited countries surprisingly seem to have experienced the same challenges. However, the difference came in the methods adopted to address the challenges that the three countries faced. One thing that was quite peculiar was the level of determination exuded by each of the three countries which obviously seem to suggest the existence of an external agent to these reform processes. These being poor African countries, the state of their economies could have been the motivating factor, thus these reforms could most probably attributed to the structural adjustment programmes of the Brenton Woods institutions of the International Monitory fund (IMF) and The World Bank. The continuous mutation of the challenges faced thus ensured the inability of the aforementioned countries to fully address their perceived challenges in governance and reforms because of their external nature.

2.11 SOUTHERN AFRICAN REGION (IQMS IN SOUTH AFRICA).

2.11.1 Introduction

This section focused on the implementation of integrated performance management systems (IQMS) South Africa. Having attained independence in 1994, the post-apartheid government was under pressure to catch up with developments in every part of the globe from governance issues to reforming an education system that was so tainted by the circumstances of the previous regime.

2.11.1.1 Rationale for the introduction IQMS in schools.

The rationale for the introduction of the Integrated Quality Management System (IQMS) is founded in the failure of the Post-Apartheid policies to bring about change in how education was managed in the new democracy. The previous instruments for ensuring accountability in the school system were viewed as more punitive, less developmental and less friendly to the educators whose prime functions were the fulfilment of the aspirations of the post-Apartheid-era needs of the Republic of South Africa. Thus, according to Education Labour Relations Council (ELRC, 2004:2) the purposes of IQMS were to; identify specific needs of educators, schools and the district offices, promote support for continued growth, to promote accountability, monitor an institution's (school's) overall effectives and, evaluate an educator's performance

Based on the need to expedite the provision of quality education in South Africa, the programme of the Integrated Quality Management System was implemented in 2005 (Kok, Rabe, Swarts, van der Vyver and van der Walt, 2010). Thus, based on the philosophy underpinning IQMS, the above authors citing the ELRC (2004:4) asserted that this new instrument would be applied to determine competence, asses strengths and areas for development, be a basis on which to provide support and opportunities for

development and assure continued growth and lastly, to promote accountability and monitor an institution's overall effectiveness.

2.11.1.2 Legal framework for performance management (Integrated Quality Management System) in South Africa

In South Africa, implementation of Performance Management in schools is done through the Integrated Quality Management System (IQMS) which according to Anusha, Joubert, Mestry, Mosoge and Ngcobo (2008:49) which resulted from negotiations between the Education Department and teacher unions. This is further alluded to by Biputh (2008:2) who retorted that after several years of discussion and deliberations the major stakeholders, namely the Department of Education and educator unions/organisations reached consensus on a new educator appraisal model (IQMS). Kok, Rabi, Swarts, van der Vyver and van der Walt (2010:342) submit that in 2004, the South African Education and Labour Relations Council announced that an agreement had been reached to integrate several existing programmes on quality management in education into a new programme entitled Integrated Quality Management System (IQMS) for school-based educators. Other legal documents that were instrumental in the culmination of the IQMS were as follows;

2.11.1.3 The Education Labour Relations Council (ELRC)

- Resolution 4 of 1998-Developmental Appraisal System(DAS) of 28 July 1998;
- Resolution 7 of 1998-The Whole School Evaluation[Workloads of School-based Educators 2005:10];
- Resolution 8 of 1998-Duties and responsibilities of Educators;
- Resolution 2 of 2002- performance management and development scheme for office-based educators

- Resolution 1 of 2003Evaluation procedures for institution-based educators also known as The Performance Measurement System agreed on 10 April 2003 [Resolution1 of 2003]
- Resolution 3 of 2003- the protocol process; and resolution 8 of 2003-the Integrated Quality Management System.

2.11.1.4 The Legislative Context for Performance Management and Evaluations

As preparation to the harmonisation of all the documents on the IQMS system, the education policy and performance management document that were promulgated include the following; the Employment of educators Act (Act No.76 of 1998), Government notice 82 National Policy Act (27/1996:, Norms and Standards for Educators. Gazette No. 20844; Resolution 4 of 1998- Developmental Appraisal System; Resolution 7 of 1998 Workloads of School-based Educators; and Resolution 8 of 1998-Duties and responsibilities of Educators

IQMS thus, as Anusha et al, (2008), contend, represented an attempt by the education Department to introduce a uniform monitoring and evaluation of schools and educators after the dearth of the inspectorate system. This IQMS system, therefore, as purported by Anusha et al, (2008:49), was based on the philosophy that the fundamental aims of quality assurance management are to: determine competency, assess strengths of the system and identify areas for development, provide support and opportunities for development and assured growth. Promote accountability and monitor and institute overall effectiveness.

According to Government of South Africa (2007: vii), all facets of the Public Service were to accordingly, constantly improve the ability of officials to utilize resources at their disposal cost effectively. The adoption of IQMS in South Africa, however, did not completely answer the criticisms labelled against the public service mostly on poor

performance. Presently, criticisms continue about poor service delivery even in education, notwithstanding the legitimate constraints such as the shortage of skilled personnel to execute those duties. The investigation of poor performance by the government of South Africa meant to establish the state of affairs in its departments and where possible, according to the government of South Africa (2007), the following were to be done: investigate the management of poor performance, identify the key ethical issues and problems related to the management of poor performance, identify the nature of remedial interventions to assist poor performers and the extent to which these yielded results, and investigate the extent to which incapacity and/ or inefficiency corrective measures are instituted.

Slightly different purposes for the implementation of IQMS in schools are offered in the Department of Education and Culture document of (2002:1) as cited in Mathonsi (2006) who states that the Integrated Quality Management System (IQMS) was meant to; manage the performance of educators within a view to determining areas of strength and weaknesses, provide support for continued growth, promote accountability and evaluate individuals for salary progression and rewards, and, evaluate the overall effectiveness of the school, as well as the quality of teaching and learning.

Overall, performance management system in schools also known as IQMS in South Africa can be seen as a genuine attempt by the government to instil discipline through accountability, development and paying teachers for what they must do, and that is to teach effectively.

2.11.1.5 Constraints to IQMS implementation in schools in South Africa.

Several constraints to the smooth implementation of IQMS in schools have been identified and the most outstanding observations sanctity from previous researches is

summarised by Mathula (2009:7) as policy constraints, training constraints, operational constraints and attitude constraints and these are highlighted as follows:

- **Policy Constraints**

The IQMS had a lack of user-friendly format and language**;** it hadcomplicated core criteria**,** poor linking of DAS to other policies, and unclear roles and responsibilities for implementers, and lack of ownership of innovation by implementers;

Thus, according to Perrin (2007: 9) appropriate language is a crucial facet for the success of any innovation or change management process. Perrin (op cit) observed that many other countries, including but not limited to Denmark, Korea, Norway, Hungary and Spain had emphasised that employee commitment to change is essential for success. Thus according to Perrin (ibid:10) engendering support among line managers and staff for performance management was identified as a problem area in the process of implementing performance management systems the world over.

- **TRAINING CONSTRAINTS**

In appropriate training model; the cascade model of training is heavily criticised for its inability to pass down all the information from the previous higher level to the next training level, lack of common understanding, lack of training pools, lack of training resources, wrong facilitators, and general lack of capacity to implement programme.

- **OPERATIONAL CONSTRAINTS**

There are several aspects identified by the Mathula (2004: 8) study, the following make up a strong argument about operational constraints:

- Lack of capacity: it was observed that at the operational level there were problems such as dishonesty and lack of capacity, resulting in some members

moving notches without even going through the whole process (Parliamentary Monitoring Group, South Africa, 2006:5).

- Lack of common understanding: because tenets of the IQMS system borrow heavily from international language such as the use of words such as “accountability”, ”management”, “monitoring”, “performance measurement”, “quality assurance” and “competence” for example are not peculiar to policy-talk in South Africa(Weber 2005:65)

- Delays in implementation According to Weber (2005) implementation of IQMS was implicit in the terms of reference of the National Education Policy Act of 1996, it was not until 2003 that an agreement was reached (Resolution 8 of 2003-The Integrated Quality Management System) so as alluded to by Fullan (1982) if two or three factors are working against implementation, the process will be less effective, and, non-existent data base, and, lack of communication.

Evidence from studies in other countries, particularly the OECD countries, as pointed out by Perrin (2007: 10) lack of feedback and actual institutional learning may prove to be one of the main challenges associated with enhancing performance management orientation... Perrin (ibid: 11) further argues that training, guidance and the availability of and the availability of technical assistance is required over a long period of time. Similarly, the use of performance information is also regarded as a key feature in the process of implementing a performance management system (Perrin ibid: 11) whilst in this regard, and most probably up to date, may be no data base exists for use in tracking the numbers of educators who are undertaking IQMS and how many have been redeveloped in line with the shortcomings of their job performance. Delays in implementation is seen as one key impediment to the successful implementation of change management programmes, and according to Parliamentary Monitoring Group, South Africa (2006:2) it had taken four to five years to get an agreement to implement IQMS, thereby compromising the knowledge available for cascading to the next lower level at the time an agreement was finally reached.

- **ATTITUDE CONSTRAINTS**

According to Mathula (2004:9) the term attitude constraints refers to observations regarding stakeholder morale, motivation, commitment and mindsets that may be inhibiting the successful implementation of IQMS, and challenges relating to this were mainly; Lack of advocacy, resistance to change, lack of participation, user frustration and, apathy: schools were not taking the system seriously so they were doing it for routine (Parliamentary Monitoring Group, South Africa, 2006:5).

2.11.1.6 Critique of the IQMS System in South African Schools.

In my view, the South African education system has fallen victim to what Apple (1999; 2004) refers to as the connected neo-liberalism and neo-conservatism, which are the major constituents embodied in managerialism from which the policies of performance management are practised (IQMS in South Africa) are borrowed from. According to Apple, (2004) the neoconservatives were afraid of the declining educational standards in the neo-liberal education system, hence they wanted to ensure what they perceived as quality or traditional education through control processes, which resulted in the managerialistic style of governance in schools that emerged in the 1980s. The relationship between the market driven economic policy and the managerialistic control measures in education that were globalised to England, Europe and Australasia (Boyd & Lugg, 1998; Gewirtz, 2002; Angus, 2004; Codd, 2005) and have even spread to Africa are now imposing their influence on the South African education system.

According to the minutes of June 20 2006 Parliamentary Monitoring Group, South Africa (pp:1-7), the following observations about the IQMS system were voiced: Documents for the IQMS are too long., was the system pilot tested? Questions were raised as to whether teachers had been given a chance to get feedback of their evaluations,

questions on whether the critical success factors had been addressed were raised, there were reservations on the use of one document as an instrument for development, enhancing accountability, and for awarding pay incentives, the system was more suitable for accountability but not for development, therefore, it was not bound to improve education, nor educators, at the operational level, problems such as dishonesty and capacity were identified, and, the chair for the meeting wanted to know what was being done in the Limpopo and the Eastern Cape where problems had experienced.(Parliamentary Monitoring Group, South Africa:2006:7)

Based on the inconsistencies noted in the preceding paragraphs, Heystek (2007) argued that accepting neoliberalism and managerialism as influential forces of globalisation presented a dilemma for the South African government and education system in particular. Heystek further posited that the government wanted high quality education, but they did not have sufficient funding, structures, and mechanisms to ensure the achievement of such quality criteria. Hence, it becomes the responsibility of the school leader (principal) as government representative to ensure quality and improvement (Department of Education, clause 7) in spite of the reductions of the state support resulting from neoliberal financial constraints.

The implication of adopting market-driven and managerialistic principles from business into education may be explained by means of the simplistic analogy that if a business is not providing what the customer requires, they may end up closing because they are not producing the correct standard of the sought for product. In the United states, when schools do not perform according to expectations they close due to lack of clients (*students*) (Brown, Henig, Lacireno-Paquet & Holyoke,2004:1038). Though Heystek, writing in 2007, thought it was less acceptable in South Africa, that under performing schools would close down, events in the Eastern Cape department of education as

reported in The Sunday Times Review of 1 April 2012:4-5 which cited The Times of the same week, reported that 294 schools had been closed. Part of the explanation to this, maybe, lies in that when parents realised that their children were not getting quality education, they took their children to better performing provinces such as the Western Cape, Gauteng and Free State. This happed on the backdrop of Heystek's (2007) submission that:

> "The government cannot allow a school to close because of low academic standards because doing so may be equivalent to an acknowledgement that the government has failed to provide quality education. Conversely, parents with limited choice of schools, as in rural areas or in lower socio-economic areas, have to accept the standard of education as they find it, because there are not any other schools near enough to provide them with the option of an alternative or better school."

The parents who are withdrawing their children from the low performing schools were following free-market principles, which empowered them to choose schools with the best quality (Heystek, 2007), and who knows, the staff in these poorly performing schools may end up losing their jobs as these schools close.

Another article in The Star of Friday, March 23, 2012, cited a prominent academic and struggle hero, Mamphele Ramaphele who bemoaned the quality of the South African education system. Addressing the Sixth Annual Solomon Mahlangu Memorial lecture at the University of Johannesburg Ramaphele raised serious issues that show that the South African education system is lacking in its internal efficiency expectation. This being so because looking at the throughput of the matriculating cohort of 2011, of the over one million learners who enrolled for grade one twelve years earlier, the education system could only account for only about 500 000 learners who were able to write their matric examinations in 2011, whereas the other 539 102 who were also enrolled in

grade one in the same year could not be accounted for. Furthermore, Ramaphele also lamented the quality of the matriculants who pass with university exemption but continue to struggle when it comes to performing on the University courses in which they were enrolled. This shows that the much publicised reforms in education and the adoption of performance management strategies through IQMS have not met the success that these reforms were claimed as being able to bring to the education system such as improving the quality of learning and providing support to teachers so they could help the department of education to raise the performance of learners in schools.

CHAPTER 3:
THE STATE OF PERFORMANCE MANAGEMENT IN ZIMBABWEAN SCHOOLS

3.1 INTRODUCTION.

This chapter reviews of the related literature pertaining to the state of performance management in Zimbabwean schools. In this chapter, the researchers referred to and reviewed what previous researches before this study have found out, mostly in areas on performance appraisals and performance management in schools especially in Zimbabwe.

3.1.1 The Historical Development of Performance Management in Zimbabwe.

A brief history on how the performance management system evolved throughout the years was given with the aim of bringing into perspective how each step ultimately led to the current form of performance management as practised in Zimbabwe's Ministry of Education Sports, Arts and Culture at school level.

3.1.2 The Education Documents ED57and ED94.

The researcher, who was employed by the Ministry of Education Sport, Arts and Culture (MoESC) from 1989 until 2007 in capacities of teacher, deputy head, acting head, and finally as head of school has throughout these years observed that even before the introduction of performance management in the late1990s, Ministry of Education, Sports, Arts and Culture had been carrying out monitoring of its personnel through different means.

3.1.2.1 Purposes and functions of the two instruments

Two documents were used as instruments for supervision and monitoring the performance of both teachers and school heads. The Education Document ED57 was a termly evaluation instrument that had to be completed by the school head giving detailed reports on how each teacher in the school performed his/her duties. The following aspects were singled out for scrutiny in this evaluation form:

- Teacher's qualifications
- Preparation of schemes of work
- Lesson planning
- Teaching expertise
- Class and classroom management

The ED 57 (also known as The Annual Report) served two major purposes in the schools system. Firstly, it was a narrative report used to keep track of the teacher's performance in class activities and out of class responsibilities. It could be observed that this narrative had to include for evaluation such attributes as the level of the teacher's politeness towards superiors and punctuality for work.

3.1.2.2 Challenges from the use of the Ed 57 and the ED94

By their very nature, these two instruments faced implementation challenges. The purpose of evaluating the teachers was to accurate information on teacher performance. Positive teacher performance would lead to rewards in the form of recognition and promotion, whilst negative teacher performance would be used to ensure that the concerned teachers stayed as probationers if they had just joined the ministry or would not be considered for promotion. Since these two assessments were

based on subjective attributes, they were very open to abuse. Secondly, it had become the accepted norm that teachers who continually had positive evaluations on the ED 57 stood a good chance for promotion if they applied for posts of higher responsibility such as acting deputy heads, acting heads and substantive school heads as well. However, there was no direct remuneration attached to these assessments or once a term evaluations.

On the other hand, the researcher's experience with the second evaluation system document, the ED94 was that this instrument came into existence as an instrument to be used in rewarding teachers who were deemed to be hard workers. This document was used parallel to the ED57. The ED 94 was used as a salary advancement instrument. This instrument had a 17-point evaluation category. Each aspect was scored on the 1 to 5 Likert-like scales where 1 was the least rating and 5 being the highest rating, with the total cumulative score being 85 marks. The ED94 was also used as an instrument for advancing the salaries of teachers after years of stagnation on the same salary scale or after they had reached the salary scale barrier beyond which they could not exceed based on their qualifications. However, according to Gotekwa (2007:3) this document was liable to abuse because the school heads that were entrusted with the responsibility to administer this document selectively made this document available only to their 'friends' or teachers who were perceived to be supportive of their policies and leadership styles in schools. An earlier study by Mahari (1997) on performance management in education, analysed the use of the ED94 and established that some school heads had selectively given these forms to some teachers who had been advanced several times before others could be advanced. Whilst the idea of an instrument that could be used to evaluate the performance of teachers was quite noble, the manner in which this instrument was applied in schools was less professional. Some

school heads abused the ED94 instrument and used it to reward their friends whilst denying those who deserved to be awarded salary increase notches because they were not in good books with them or were seen as trouble causers by the school heads.

Some of the aspects evaluated by the ED94 instrument were:

- Planning, Leadership, Commitment, Adaptability, Communication, Organisation, Decision-making, Creativity, and Punctuality, among others.

Implementation of the ED94 was received by teachers with mixed feelings, because of the high likelihood of its abuse by raters (school heads) and the fact that it was an overly subjective instrument that mostly evaluated teacher characteristics and not teacher performance on their teaching tasks. This instrument was vehemently opposed by educators and their associations. This resistance by teachers and the two staff associations namely, Zimbabwe Teachers' Association (ZIMTA) and Zimbabwe Teachers' Union (ZITU) led to the discontinuation of the use of the ED94. Thus, according to Zigora and Chigwamba (2000) the introduction of the new standard performance appraisal for all public servants for the financial year of 1996/1997 was meant to replace the ED94, which was based on subjective assessments.

3.1.2.3 Successes of the Education Documents ED57 and ED94.

Whilst the ED57 and the ED94 instruments faced stiff challenges in terms of how they wereused and also their reliability as performance evaluation instruments, their introduction by theMinistry of Education, Sport, Arts and Culture (MoESC) formed the foundation on which future documents were premised. These above named documents achieved the following:

- The introduction of the traditional ED57 instrument came as an internal effort by the Ministry to get rid of the automatic promotion of officers without having ascertained their performance or capabilities in leading before they could be entrusted with leading schools (Manatsa, 2001:2).

- The ED94 authorised school heads to appraise teachers in accordance with their performance (Manatsa, 2001:3).

- The accelerated advancement done through teacher appraisal was meant to enable teachers who were at their salary scale ceiling (barrier) to be able to progress their salaries to the next level by an amount equivalent to the number of notches one had been awarded during the appraisal process.

3.1.2.4 Implementation challenges exposed by the ED57and ED94.

The use of both the ED57 and the ED94 exposed some weaknesses of the policy making and policy implementation processes in the Ministry of Education Sport and Culture (MOESC) in a number of ways. When crafting policy, there is a serious need for prior research into the policy issue before rushing to craft documents and imposing them on school heads and teachers as instruments for evaluation of education personnel. There was serious need for involvement of the teachers when introducing change to education in order to ensure that there was adequate buy-in from teachers as individuals and their professional associations. Some of the weaknesses of the ED57 and the ED94 were that:

- Both the ED57 (annual report on a teacher) and the ED 94 were secretive documents that lacked checks and balances on how school heads used them.

- The two documents (ED57 & ED94) were regarded to be undemocratic and irrelevant measures for teacher performance evaluation (Gotekwa, 2007:3).

- These documents were subject to abuse by supervisors because of the non-transparent steps in their completion by school heads (Moyo, 2003:2, Gotekwa, 2007:1).

- The ED57 and ED94 only measured teacher attributes and traits than actual performance of teachers, so they were not suitable for purposes of appraising teacher performance (Manatsa, 2001:2; Moyo, 2003:1; & Gotekwa, 2007:3).

- The system encouraged nepotism, favouritism and bribery and resulted in frustrating hardworking teachers who could not find favours from school heads (Manatsa, 2001:3).

3.2 BACKGROUND TO THE INTRODUCTION OF PERFORMANCE MANAGEMENT IN THE ZIMBABWE PUBLIC SERVICE.

The definition of performance management, according to the Public Service Commission Module Two (1997:3) was the systematic evaluation of individuals or teams with respect to their performance on the job and their potential for development. It involved an agreed framework of planned goals, standards, and the knowledge, skills and behaviours required to perform a given job. Another definition provided by Government of Zimbabwe (1997:69) observed that Performance management was a means of getting better results from organisations, teams and individuals by understanding and managing performance within an agreed framework of planned goals, objectives and standards. Performance management was about getting results

through people, developing individuals to facilitate the achievement of organisational goals. Further, Government of Zimbabwe (1997:69) further asserted that the performance process was linked with goal setting and coaching for performance improvement in a continuous process.

Performance management required the mutual cooperation between managers and subordinates as a prerequisite to the harmonious process of work relationships in an institution or school. The introduction of performance appraisals (as opined by Zigora and Chigwamba, 2000) was meant to encourage openness of administration, enabling the employee and supervisor to meet frequently, discuss work to be done and review performance. These performance assessments were done with a view to improve efficiency and effectiveness in service delivery in the public service.

3.2.1 Purported Benefits For Introducing Performance Management.

In introducing performance management across all government sectors was, according to The Public Service Commission (1997:4) and Government of Zimbabwe (1997:74-75) to bring about the following positive changes to how the civil servants delivered government programmes to the citizens; and these were the:

- Improvement of performance by individual, teams and organizations, and provision of feedback to individual members on performance on the job.
- Growth and development of through training, and increased organisational productivity by introducing results-oriented culture.
- Improvement of interpersonal relations between the supervisor and the supervisee, and rewarding those who perform well.

- Facilitation of decision making in terms of promotion, advancements, transfers, lay-offs, discharges and training.
- Validation of such personnel programmes as selection, recruitment and placement.
- Clarity of duties, and facilitation of effective supervision.
- Improved motivation by increasing understanding of goals, and means of attaining those goals and the rewards associated with their achievement.
- Transparency in evaluating performance, and emphasis in efficiency and effectiveness.

As noted by Jubenkanda (2004:86) a performance management system enables managers to identify employees who are effective in their jobs and those who are not performing to expectations. Thus, if followed and implemented to the rule, performance management can help in the achievement of organisation goals because deficiencies may be remedied and this may lead to organizational effectiveness (Jubenkanda Ibid).

3.3 MANAGEMENT IN SCHOOLS.

This section seeks to trace retrospectively, how performance management was introduced in the education system in Zimbabwe so as to place into context the economic and political factors that were at play when the programme was introduced.

3.3.1.1 Context to Implementation of Performance Management in Schools.

An understanding of the context of the governance issues, and how government ministries operated in Zimbabwe both at the time performance management was adopted and at present are of utmost importance at this juncture. Some departments

deal with quantifiable outcomes whilst others deal with non-quantifiable outcomes at times. This informed the point of departure for this study as will be vindicated by the reasons given for the introduction of performance management given below.

3.3.1.2 Public sector reforms of the mid-1990s

The government embarked on reforms of its human resource policies in the mid1990s through a job evaluation exercise of the whole civil service. It had been revealed earlier that government salaries were lagging behind those of parastatals by about 84% and those in the private sector by up to 172% (Government of Zimbabwe,1995b). An employee with comparable qualifications and experience working in the parastatals would earn 84% higher than one in government and those in the private sector would earn 172% more than an employee of comparable qualifications and experience who chose to remain in the public sector. Due to these disparities there was a mass exodus of people from the employ of government to the parastatals, the private sector and some even abroad. The public service had clearly been viewed as an unattractive employment destination. After a debilitating strike by all sectors of the civil service in 1995, the government was forced to increase salaries as a way of curbing the rot.

According to the Government of Zimbabwe (ibid) civil servants salaries were to be increased by 60% over a three year period in batches of 20% each year. In 1995, government awarded civil servants a 20% salary increase and in announcing these salary increases, the Minister of the Public Service and Social welfare stated; “These significant improvements in the conditions of service should now stop people from leaving the service for greener pastures because the greener pastures are now in the Public Service of Zimbabwe” (Government of Zimbabwe, 1995b:6). But the following

year, government was not able to fulfil its promise of raising the salary by a further 20% and some tensions began to simmer between the government and the employees.

The bulk of the civil servants in the civil service around the mid-1990s were teachers in the employ of the then Ministry of Education Sports and Culture, followed by nurses who were employed by the Ministry of Health and Child Welfare, and when government could not honour its promise for a further 20% salary increment in 1996, a general strike led by teachers and nurses and doctors took place. Civil servants, especially those from the Ministry of Health and Child Welfare advised government that if it wanted to retain staff it needed to improve salaries, allowances and benefits (Mutizwa-Mangiza, 1998); in short government was advised to pay its workers a living wage. Thus, in line with government's need to respond to demands of the civil servants on wages and salaries, all rural based civil servants were paid a rural allowance, while all urban based all civil servants were awarded a transport allowance for the first time in 1996 (Mutizwa-Mangiza, 1998).

At that time, government then proposed to link all salary increments, advancements, promotion and annual bonus (13^{th} cheque) to performance management but this faced stiff opposition from the civil servants who again went on strike to protest those proposals. The idea was subsequently shelved and its implementation that was to be effected in 1997 was deferred because the civil servants had threatened to go on another strike. The argument by civil servants for opposing these reforms in human resource policies was that the sector had no identified and agreed performance targets against which the performance of civil servants would be measured. So this reform was like putting the cart before the horse because the targets and objectives were to be formulated and implemented in retrospect. According to Mutizwa-Mangiza (1998), civil servants were opposed to these reforms because the conditions of service in the whole

sector were not conducive enough for such changes to be implemented. There were chronic shortages of resources and staff in the civil service thus the general thinking was that it would be counterproductive to set targets for achievement in such an environment.

The civil servants' fears were premised on the fact that no training had been done to capacitate those who were going to implement these reforms and that these reforms were just dictated from above so it was viewed as governments' way of wanting to renege on earlier pay resolutions that had been agreed on by civil servant. Thus, as observed Mutizwa-Mangiza (ibid), civil servants had contended that;

- A performance appraisal system linked to remuneration would give rise to conflict between supervisors and their juniors
- It had the potential of promoting patrimonialism as supervisors would base their reports on kinship rather than merit

Civil servants thus argued that it would only be possible to link salary increments, promotions and bonus to performance once acceptable instruments for doing so were in place and when senior personnel were able to sustain effective supervision based on appropriate training. This phenomenon had been experienced in the Ministry of Health and Child Welfare which had been unbundled from the civil service to form a Health Services Commission as a way of weakening the political muscle of civil servants when it came to decisions of taking strike actions. Employee performance appraisals were not completed appropriately and most supervisors were gave good reports even where bad ones were called for (Mutizwa-Mangiza, ibid).Supervisors were persistently busy and overloaded due to huge staff shortages that were experienced in the whole civil service.

The general consensus therefore was that it was not the right time to introduce performance linked remuneration in the public service.

Reflecting on the perpetuity of the challenges of low salaries in the public service, the editorial comment by the Worker, February (2012:4) expressed the hope that the recent affiliation of the Zimbabwe Teachers' Association (ZIMTA) and the Public Service Association (PSA) to the Zimbabwe Congress Of Trade Union (ZCTU) would be an instrument to go a long way in bridging the gap between workers in the private sector and their private sector counterparts.

3.3.1.3 The Public Service as the employer of choice mantra

From the time the concept of performance management was introduced in the Zimbabwe Public Service, the gospel had been that the public service was to be transformed to become the employer of choice. The public service was envisaged as an employer that would compete on the job market for the most capable employees by not only offering them salaries comparable to private sector levels but as a trend-setter on the market salary wise. Thus, premised on such promises, teachers thought performance management had come as the panacea for poor salaries in the public service. As a way of institutionalising this thinking, the Public Service Commission coined its vision as: "To be a world class employer of first choice" This motto was taken from the cue that the world over, working in the civil service had always been an honourable job (The Worker, p.4, 2012). But on the contrary, working for the civil service in Zimbabwe had reduced civil servants to the most degrading profession.

3.3.1.4 State of the public service in Zimbabwe

The challenges of the state of the public service are characterised by the following:

- Poor leadership and poor employee compensation
- Negative image of the public service as an employer and poor working conditions
- Poor human resource policies

3.3.1.5 Impact of reform on civil servants' motivation

The first stage of the reform programme had seen the rapid deterioration of teacher salaries and conditions of service. According to Zigora and Chigwamba (2000) the public service wanted to see an immediate change in the public servants' way of doing things by inducing a complete change in the work culture of civil servants. Most senior officials in the civil service conceded that the first phase of the reform process was very badly managed, in that workers were given too little information, and not much was done to attempt to consult them or sell the reforms to them (Mutizwa-Mangiza, ibid, Zigora and Chigwamba, 2000). However, the appraisal system was hastily introduced without adequate training of all the public servants Mutizwa-Mangiza, ibid; Zigora and Chigwamba, ibid and Saurombe, 2004), without adequate consultation and commitment by stakeholders (Mutizwa-Mangiza, ibid, Zigora and Chigwamba, ibid, Zimbabwe Teachers' Association (2000), hence there was no ownership ofthe programme/by affected parties. In addition to this, the appraisal form tied performance management to salary advancement of up to three notches on salary scales for good performers. So the appraisal form according to Zigora and Chigwamba (2000) lost focus from being a performance measurement and performance improvement tool to a financial advancement tool, and this was not well received by civil servants. The performance appraisal form was approved by the Cabinet for implementation in 2000 without addressing the key contentious issues; this new form marked the end of automatic

annual increments and bonuses (Zigora and Chigwamba, 2000:7). Zigora and Chigwamba (2000) further assert that there were reports of the misuse of the appraisal form and in some instances whereby some supervisors used the appraisal form to settle old scores.

3.3.2 CHALLENGES AT THE INCEPTION OF PERFORMANCE MANAGEMENT IN PUBLIC SERVICE

3.3.2.1 Policy was donor driven

The policy, it was argued, had been adopted hurriedly due to pressure from donors. Civil servants who attended meetings where public service reforms were articulated felt that the full implication of these reforms were not clear even to the architects of the policy so they found it difficult to support it (Mutizwa-Mangiza, ibid). Salaries had continually been eroded by inflation and civil servants had to be involved in moonlighting activities. Civil servants offices became market places where officials bought and sold goods in order to supplement earnings during official working hours. Some civil servants associations, like the Zimbabwe Nurses Association (ZINA) registered their dismay and wrote a letter to the Minister of Health and Child Welfare voicing concerns about how the policy had been handled and wrote:

The nurses express shock and concern at the manner you have handled the health sector reform policy. It was a shock to learn that the document was put before parliament before nurses have had the opportunity to make comments on it. The nurses want to know why they were not consulted on this… (ZINA President's letter, 6/9/1995).

Thus, public sector professionals became disillusioned with their professions, the falling of real wages due to inflation increased the abuse of state resources for private gain Mutizwa-Mangiza,1997; Government of Zimbabwe1995b). The challenges of the late

1990s are still evident in the public sector as shown by recent development. The performance management system has not been working for the past five years. The Herald of July 2011, citing the programmes officer the more radical teacher organisations in Zimbabwe, Progressive Teachers Union of Zimbabwe (PTUZ) Madziva said;

> "Government has let us down by failing to put in place an appraisal system that is effective, under the current appraisal system, if one gets a maximum of five points, which is considered the highest grade, s/he will get US$5, 00 a year for the work, as a result, workers only go for performance appraisals as a ritual because it is useless and demotivates them, there needs to be an immediate review of the present appraisal system".

The same article cites the Minister for state enterprises (parastatals) who echoed that he was having problems with parastatals that were paying bosses huge salaries that do not match their performance with salaries of up to between US$8 000/R80 000-US$10 000/R100 000 as at the exchange rates of March 2013. This is the exact scenario of the mid 1996/7 where salary discrepancies were up to 84% better in the parastatals than in government. The problems of the Zimbabwean civil service can be pinned down to the problems of civil servants whose salaries and conditions of service have been a mess since the early 1990s. The pathetic state of the civil service can be best explained by Elmore (2004) who reiterated the thesis that the problems of any system are the problems of the smallest unit, and their successful reform starts from the inside out and not from external mandates and standards. Thus, the problems of the Zimbabwean civil service can only be solved by making the civil servants central to the solutions to the challenges they face.

3.3.2.2 Public service viewed as an inefficient and ineffective organisation

According to Musingafi (2007) problems related to the poor performance of the public service were evident in the inefficient, ineffective and uneconomical performance of the civil servants as early as the mid1980s; hence, the commissioning of the 1987 Public Service Commission of inquiry headed by Professor Kavran. According to Public Service Commission Module Two (1997:5), the introduction of the performance management system in all the government ministries and departments was done in order to correct the negative images that the public (general citizenry) had about service delivery by government through the public servants in Zimbabwe. The grievances that the citizens, who are the consumers of services from civil servants, were documented in the research findings of the (Prof) Kavran Commission. These findings are documented in the Public Service Review Commission (1989) and also echoed by Moyo (1997) and were stated as follows:

- The public service was oversized and was viewed as being lazy.
- It was felt that public servants were wasteful with regards to how they used resources.
- Public servants were criticised for not being result-oriented, they were blamed for focussing on processes rather than on the products.
- The public servants were blamed for poor attitude to work, lacking in performance culture and duplication of services.
- The public service was blamed for being too bloated or too big and insensitive to the demands of the public.

- Public servants were alleged to be too arrogant, insensitive, poor communicators and being prone to favouritism.
- Public Servants were criticised for low motivation and turning a blind eye to the principles of merit, equity and procedural fairness in appointments and promotions.
- Slowness in responding to demands and making decisions.
- Public Service was criticised for having too many complicated procedures, and lastly,
- The Public Service was accused of being secretive and lacking transparency in the way it executed its responsibilities.

Thus, based on these findings, whether real or imagined, they were used as a platform on which the introduction of performance management system in the Public Service was based. The Public Service had to address these concerns in order to bring about a new mindset with a view to creating a Public Service dedicated to the delivery of service in an effective and efficient manner. Accordingly, the Performance Management System (PMS) was adopted as a management tool to bring about the desired changes in the Public Sector (Public Service Commission Module Two, 1997:6). According to Moyo (1997) government decided to reform the civil service and these reforms wereaimed at achieving the following

- To improve the mechanisms for policy formulation and coordination;
- To introduce performance management;

- To improve conditions of service;
- To improve resources management;
- To upgrade basic management systems through training;
- To reduce the size of the civil service, at implementation of performance management PSC had employee capacity of 165 000 civil servants, Zigora and Chigwamba (2000); of which about 91 000 were public teachers.
- To set up and strengthen the monitoring and support systems.

However, according to the experience of this researcher, the major problem and challenge with this approach to the introduction of performance management in the education sector and schools was that the itemised shortcomings given above were not specifically peculiar to the school settings. Thus, the methods, processes and even the performance evaluation instruments were not suited to activities in teaching /learning situations that are predominant in the school set up.

3.3.2.3 Major problems with the implementation of performance management

From the issues covered above the challenges of the implementation of performance management in the civil service as summarised by Zigora and Chigwamba (2000) stemmed from the following situations:

- Public servants were not ready for the new appraisal system since were not involved or consulted in its development;
- Public servants were not trained in the implementation of the performance appraisal system

- Tempering in the subordinate's conditions of service by delegating to various levels in the system, authority to determine changes to the subordinate's potential earnings rather than leaving this as the sole responsibility of the employer the Public Service Commission (PSC).

- Policies and procedures in line with performance management were not yet in place.

According to Mnkandla (2004:6) performance management has become a source of both inspiration for some and a source of disdain and frustration for others, sometimes appreciated and at other times rejected as an untenable ideal. As highlighted by Mnkandla (2004:45), insufficient training has been blamed over the years for performance management's fragile state. He further suggests that performance management as an instrument for performance improvement is far too complicated, and school heads that are charged with its promotion and implementation at school level may not be well versed in its intricacies. It is quite imperative that for such a massive and well intentioned programme to take off smoothly, participants for the programme need to undergo sufficient training. Above that, the school heads that were to work as institutional champions needed to be sufficiently equipped so as to be able to create positive influence on the uptake of the programme at implementation.

3.3.3 THE LEGAL FRAMEWOK FOR THE PERFORMANCE MANAGEMENT SYSTEM

The implementation of the Performance Management System in the Public Service and the Ministry of Education became a legal requirement in terms of Statutory Instrument Number 1 (S.I. #1) of 2000. According to the provisions of that Statutory Instrument Number 1 of 2000, Public Service Regulations(2000:12-13) on performance appraisals

Section 8(1); (2) and (3) sums up the spirit of the implementation of performance systems in the Public Service as detailed below;

- 8 (1) in order to keep under review and improve the provision of services to the public, the performance, potential and development needs of all members shall be assessed continually and final reports thereon shall be compiled and submitted at least once a year.

- 8(2) Every performance appraisal was to-

  a. Be conducted by way of regular interviews with the member concerned, by a supervisor identified by the Commission or Head of Ministry or department for the purpose;

  b. Be reported on the forms specified by the commission which shall be signed by the member and supervisor and counter signed by the head of Ministry or Department;

  c. In respect of a member of a grade specified by the Commission, be submitted through the head of Ministry or department to the Commission and, in respect of any other member, be kept in the personal file of the member in the Ministry or department in which such member is employed;

  d. In the case of a performance appraisal to be submitted to the Commission, be made known to the member concerned before it is submitted;

  e. Where the performance of a permanent secretary level is concerned, be conducted by the Commission by way of discussion with the relevant Minister.

8(3) at the conclusion of every performance appraisal Commission or the head of Ministry or department, as the case may be, shall decide on what action to, if any, be taken on the basis of the appraisal, including;

a) Advancement or promotion;

b) Transfer to a post more in keeping with the competence of the member concerned;

c) Participation in a skills training development course to enhance the efficiency and effectiveness of the member concerned;

d) The granting or withholding of any performance award;

e) Demotion or discharge subject to, and in accordance with, the disciplinary procedures provided in Part VII

3.3.3.1 Strategies adopted in implementing performance management in schools.

The major components of a performance management system are Vision, Mission, Job Description, Key Result Areas, Objectives, Action Plan, Standards, Performance Reviews and Rating.Thus, with the financial assistance provided by the Swedish International Development Agency (SIDA) the government of Zimbabwe through the Public Service carried out training workshops to equip all government employees with the knowledge and skills necessary for the successful implementation of the performance management programme. This training programme took place in different centres and it lasted three days. Participants were divided into two groups, one for supervisors and the other one for supervisees. The content of the training programme focused the components of the performance management programme given above in

this paragraph. Each of these components will be discussed in detail in order to show how it works in the performance management process.

3.3.3.2 The vision of an organisation (school).

The vision of an organisation is what it would like to be in future. It establishes the direction that everyone in the organisation would like to pursue in a united effort to achieve the desired outcomes (Public Service Commission, 1997:10). A vision is a statement of future aspirations of an organisation (Aguinis, 2009:74) Further to this, Aguinis (2009) reckons that a vision is brief, verifiable, bound by a timeline, current, focused, understandable and inspiring. Therefore, a clear vision is important for schools for the following reasons;

- It gives direction to the organisation (school).
- Enhances a wide range of performance measures to be undertaken.
- Enables members (school management and teaching team) to see how their efforts contribute to the organisation's success in service provision, and
- It motivates members as it provides a reference point.

In the province of Manicaland where this study is to be carried, the vision was guided and derived from the Ministry of education's provincial vision which states thus: "**To be a people's Ministry whichis the best provider of formal and non-formal quality and relevant education in Zimbabwe and theSADC region".**

3.3.3.3 The mission of the school.

A mission statement defines the purpose or reason for the existence of the organisational unit, Ministry, department, school, team or section. The mission statement also summarizes the organisation's most important reasons for its existence (Aguinis, 2009:73) This purpose is expressed as the school's work output or results (services, products) as they are experienced by the customers, clients or end users). The schools had to develop a mission statement, in which the purpose of its very existence was spelt out, and the services it provides and the values that guide its service delivery and these were to be derived from the Provincial mission statement as displayed at the Provincial Education offices and read thus: To provide high quality relevant primary, secondary and non-formal education and to facilitate access to and participation in sport, recreation and culture in order to enrich the lives of all the people of Zimbabwe. The national vision and mission of the Ministry of Primary and Secondary Education had to cascade to all schools where they would filter the national and provincial vision and mission in order to formulate their own which would be displayed in each and every office in the school at visible points.

3.3.3.4 The Job descriptions.

At the school level each member (teacher, deputy head and school head) formulated their job description. These job descriptions, according to the Public Service Commission (1997:11) are a list of activities that a member (teacher) should perform in order to satisfy the requirements of the job they held. It sets out the purpose for a job, its position in the organisational structure and major duties and responsibilities performed. At the schools, these job descriptions were developed in consultation with the school head who acts as the chief accounting officer of the school. The job description has the following components:

- **Job Title**- The name by which the job is identified in the school, for example; Substantive School Head, Senior Teacher, or Teacher.
- **Job Purpose-** a summary description of what that particular job stands for.
- **Duties-** a summary of tasks performed by the job holder on a daily, weekly or monthly basis.

3.3.3.5 Key Result Areas (KRAs)

The key result areas are a critical group of duties and tasks developed from the job description that an officer must perform in order to achieve set targets (Public Service Commission, 1997:12). These key result areas help individuals to focus on groups of duties and tasks according to their importance and are arrived at in consultation with the school head. Both the school head and teacher agree on the duties and tasks the teacher performs. Duties and tasks that are closely related form a key result area and they are given one collective name for identification purposes. A number of key result areas were ranked and allocated percentages with the most important key result area that consumes the teacher's time in the daily routines being scored the highest percentage. The purpose for ranking the key result areas, according to the Public Service Commission (1997:13), was to help indicate the importance of the duty so that the individual does not spend a lot of time doing less important tasks.

3.3.3.6 The purpose for the introduction of performance management in schools.

The reasons for the introduction of performance management in schools have been stated differently the world over. The African experience on the introduction of performance management stems from the need to improve the quality of education

offered by African governments (Adegbesan, 2010:381). There was need to focus on the internal processes of the school system and the outputs, including the reduction on waste and an improvement of the productivity levels of the schooling institutions. The introduction of performance management in schools was also seen as a move to improve the quality of education. This improvement was to result from the efficiency in meeting goals (achieving more on less resources), making education more relevant to human and environmental conditions and needs, the exploration of new ideas and the pursuit of excellence and encouragement of creativity (Fadokun,2005).

In the Zimbabwean schools system context, the following reasons are put forward for the introduction of performance management in schools. It is claimed that performance management was meant to;

- Improve service delivery to clients (learners, parents and other stakeholders), based on the recommendations of the 1989 Public Service Kavran Reform Commission (Chipangura & Musekiwa, 1998).
- Achieve accountability among teachers.
- Reward teachers based on their performance on the job.
- To create and maintain satisfactory levels of employee performance.
- A tool for needs assessment for employee professional growth and development.
- An intervention strategy to build a shared vision between supervisor and supervisee.

- Recommend non performing teachers to enrol for upgrading courses or training.
- Dismissal or layoff of incompetent teachers from the school system.
- Motivation and promotion, salary increase/ wage increase.
- To know job problems, and identify training and development needs.
- To evaluate effectiveness of selection and placement decisions. Such as transfers and other human Resource Planning.
- Subordinate understanding of management's view of his /her performance, (Government of Zimbabwe, 1997).

3.3.4 THE PERFORMANCE MANAGEMENT SYSTEM CYCLE.

3.3.4.1 Planning

According to the experience of the researcher, the performance planning process in the Zimbabwean context starts with each individual officer coming up with a summary of duties s/he carries out on day to day basis. This becomes the basis for building the job description after which the work plans are built from. Work plans have between five to seven key result areas that an officer must show satisfactory performance on. Action plans are made and these reflect what will be done by quantifying the activities as percentages. Measurable outcomes spell out what the key result areas will be benchmarked and evaluated against. The standard performance against which the officer will be appraised is given in the work plan and an evaluation is provided as the last section at the end of the work plan. A diagrammatic representation is given below;

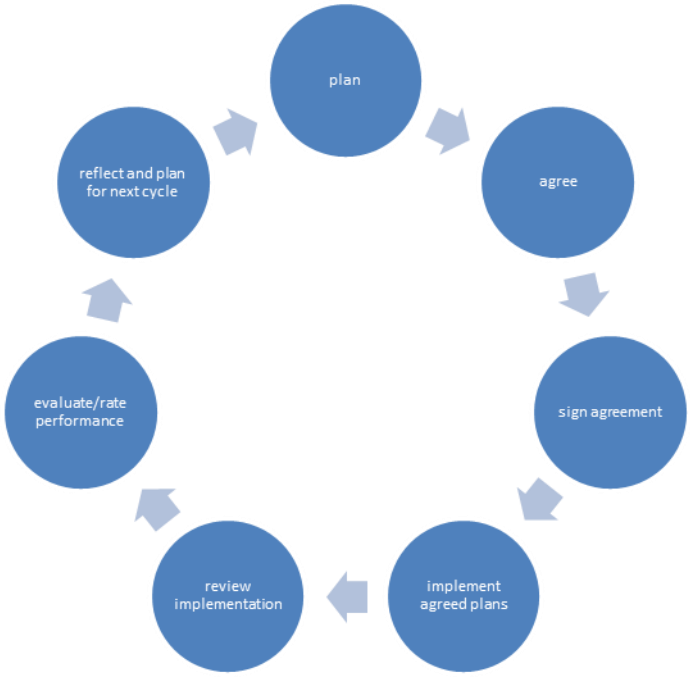


Figure 1.1 The performance management cycle

Performance discussion and agreement

After the officer has made the work plan, they discuss it with their supervisor who normally was the school head, deputy head or teacher in charge. If there is a consensus between the two, the document is signed and dated thus making it a binding performance document against which the whole appraisal process will be based. However, if the two do not agree on the suitability of plan thework reviews and adjustments were an inevitable step.

3.3.4.2 Implementation

The implementation process runs throughout the year and the fulfilment of those plans take place as the teacher teaches their classes.

3.3.4.3 Performance appraisal periods (Review)

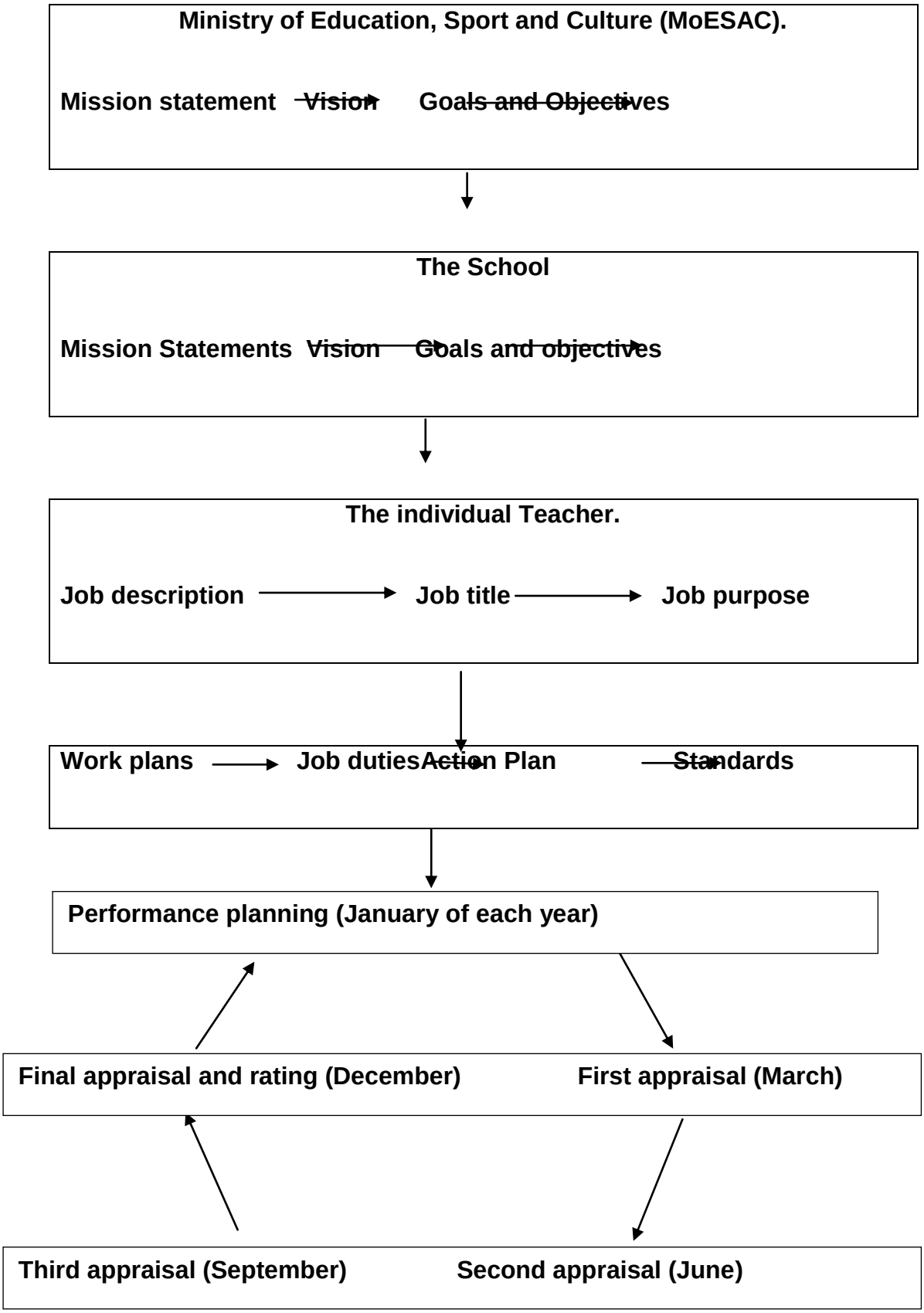
The interim appraisal

Interim appraisals are conducted during the course of the year at specified times and in the Zimbabwean schools system; it is done thrice a year. The first interim appraisal is done in March; the second is done in June and the third and last one is done in September. Final rating of performance rating takes place in October.. Thus, if there are any areas where the educator needs support for the implementation process, the supervisor has to make available the needed resources so as to ensure the successful implementation of the action plans. In the context of the performance management process, interim performance appraisals are intended to bring about continuous improvement in the way the educator executes his/her duties and responsibilities in the teaching and learning process.

3.3.4.4 Final Rating Appraisal.

At the end of the specified period (usually at the end the twelve month cycle) all the activities for the year are rated and a final performance score is obtained. The final rating is obtained through a performance appraisal interview done between the supervisor and supervisee. This final appraisal is also used as the basis for the formulation of future performance agreements for the performance cycle for the following year. The score is transmitted to Ministry of Education Sport and Culture Head Office for onward transmission to Treasury. Depending on how the individual officer has been scored, the salary of the employee is increased by a minimum of between one and three notches. The numerical value of one notch is the equivalent of the annual increment.

Figure 1.2 The diagrammatic representation of the performance management cycle



(Author's own thought)

3.3.4.5 Importance of performance management.

According to Mandishona et al,(2003), the importance of performance management is that an organisation's success depends on how people are viewed and treated, which in turn influences how they view the organization and behave towards it. It is generally believed that performance management epitomises the contribution of people to the organization while at the same time meeting individual needs of the employees. Mandishona et al, (2003) further argues that the concept of performance management optimises the contribution of people to the organization. It is argued that individual employees can contribute to the success of the organisation more if they have expertise, more powerful tools, access to knowledge, and if a common area is found between their individual goals and those of the organization. If people are going to be motivated to perform, there must be clear benefits for them in the first place, before they respond positively to calls for more and better productivity (Mandishona et al, 2003).

3.3.5 USES OF PERFORMANCE MANAGEMENT INFORMATION IN SCHOOLS.

Performance management information is utilized in different perspectives. The performance management information is generated as a direct result of the appraisal process and as such the preliminary uses of this information is to ascertain the extent to which objectives were met. The result of examining this extent can be used either to improve the availability of the resources required for the achievement of these objectives in future or training the teachers so that they can seek better methods to achieve the set objectives with the few resources to their disposal.

3.3.5.1 Evaluation purpose

Performance management information may also be used to determine the extent to which objectives helped the supervisor and supervisee meet the vision andgoals of the

organisation. If the objectives deviated from the vision and the mission of the school, then the information gathered is used to refocus the objectives to suit the development of future objectives during the next performance management cycle. Information can also be used to check the quality of service delivery and to put in place measures to improve in order to satisfy clients (Public Service Commission, 1997:22).

3.3.5.2 Identification of training needs

The other very important function of performance appraisal information in a performance management system is the identification of training needs of the officer who has been appraised. Training needs emanating from appraisal discussions are used to identify the training required, the objectives to be achieved through such training and the identification of the provider of such training (Public Service Commission, 1997:27). It is, therefore, imperative that the information generated through performance evaluation/appraisals be not seen as an end in itself but as valuable information that can be used to feed forward into future performance management cycles.

3.3.5.3 Reward management purposes

The results of the performance management process are performance scores that are used for determining the employees' annual increment and bonus.

3.3.6 CHALLENGES SCHOOLS FACE IN IMPLEMENTATION OF PERFORMANCE MANAGEMENT

The process of implementing performance management in schools in Zimbabwe was faced with a raft of challenges. While some of the challenges were hidden, others were very open challenges that were obvious right from the way the programme was adopted and not adapted to the context of Zimbabwean schools. Thus, challenges with capacity in the form of human, financial and technological resource availability made it difficult for

the programme to take off smoothly. Each of these factors, and how they became a challenge to the implementation of performance management system in schools, will be discussed in detail below.

3.3.6.1 The challenge of capacity.

The situation in Zimbabwe at the inception of performance management shows that the public sector was haemorrhaging in terms of the personnel that were in its employ. Most highly qualified technocrats had left the civil service, and more continued to leave and were going to join the private sector, which at that time was paying higher salaries and offered better conditions of service than those the public service offered. So the public service had challenges capacity wise because its ability to roll out innovations was limited because there were no people who had the requisite skills to lead out and implement such programmes. According to the OECD (2006:12) capacity in this case is understood in terms of the ability of people and organisations (schools) to define and achieve their objectives. However, the issue of capacity does not start and end with people. Capacity, as highlighted by the OECD (2006:7) is not only about skills and procedures; it's also about incentives and governance.

There was great need to develop capacity in all levels of governance structures throughout the hierarchies of the public service. Thus, at ministry level, regional office, district office and also the school level there was great need to re-establish capacity. Therefore the need to enhance the knowledge and skills (OECD, 2006:7) of staffers became apparent. In the schools there was great need for capacity development. Schools were facing high levels of staff turnover because of poor working conditions in most schools (Zvobgo, 1998:123). Consequently, the implementation of reform strategies became greatly compromised due to lack of people that had requisite craft

competency and craft literacy skills. It became apparent, therefore, that the development of such capacity would take the form of unleashing and strengthening and maintaining of the capacity which would go beyond the technical cooperation and training approaches that had been associated with ‘capacity building’ in the past (OECD, 2006:18). The stock of human capital and the supply of general technical skills had to be greatly improved. However, in the schools, the capacity to use skilled personnel to good effect was jeopardized by an un-conducive environment that obtained in the schools and the inability to incentivise the programme at the local school level.

According to a Zimbabwean teacher organisation, The Zimbabwean Teachers’ Association (ZIMTA) (2000), several problems regarding the implementation of performance management in schools were identified. These problems centred on the ability of personnel to implement the system, the unavailability of appropriate assessment instruments and the reliability and validity of the rating system itself. Due to the problem of skills flight from the public service to the private sector and also the effect of the brain drain, some important posts in the Ministry of Education, Sport, Arts and Culture were staffed by officers in acting capacities. And the situation was exacerbated by the decision by the public service to freeze promotions citing a debilitating liquidity crunch that government was experiencing. As a result, those officers were holding fort in acting capacities were not sure of their future, so they avoided making or implementing decisions they perceived to be controversial or those they were not fully conversant with for fear of meeting stiff resistance from their subordinates. Other very pertinent concerns raised by ZIMTA (2000) were;

- School heads who were teaching full classes and taught ten class periods a day found little time to devote to proper implementation ofthe performance management system.

- School heads had to improvise the official assessment forms through photocopying (and in desperate circumstances, hand written ones had to be used), this meant that delays were experienced in implementing the system and also provided the opportunity for distorted improvisations.

- The relevance of the public service confidential assessment form used to assess teacher performance was questionable because most of the categories evaluated had no direct relevance to the education sector.

- The appraisal form had not been pilot-tested in the education sector, hence the input from the education sector was minimal, and most of the aspects required for scoring referred to all the government ministries in general without specifically focussing on activities of the teaching process in the school setup.

- Performance targets for teachers in different schools were not the same, so the bottom line was that therewas no standardized outcomes from a national perspective.

Over and above the challenge of the human capacity as regards the implementation of performance management in schools, an additional challenge was the lack of financial and technological resources to steer the programme in schools. Government related institutions rely for their remunerations of employees on budgetary allocations from government, and after the budget is allocated, no extra funds will be made available to cater for any additional expenses. However, in the case of Zimbabwean schools, there

were no school specific funds made available to the purchase of technological equipment in order to enhance the implementation of the performance management programme. Above all, school heads could only recommend the awarding of notches to a teacher's salary at the end of the year which, by the time those notches were awarded by treasury, would have been already eroded by inflation. It therefore became a tall order to expect schools as organisations to be able to successfully implement performance management because of the challenges of capacity in terms of human capital, technological and financial resources among others. In the recent past however, the process of implementing performance management system had become an economic thorn in the pockets of the under remunerated teachers. Teachers had to pay photocopying and typing costs for documents that were up to thirty pages because most schools whether rural or urban had neither photocopying machines nor computers for reproducing or typing performance management documents. Centres where these services could be accessed were far from schools and that meant added transport costs for teachers, and this, coming from a salary that had become a non-living wage, was a real burden on the impoverished teacher.

3.3.6.2 Lack of involvement of teachers at the formulation of the performance management policy.

When an innovation is introduced in an organisation, there is need to ensure that necessary steps are taken that will enable the people on whom the change is introduced to cooperate with the change. One sure way of achieving cooperation from employees is to involve them in building up the change programme so as to ensure that they buy-in the change. Numerous articles and books have argued that organizations need to move towards more of involvement or a commitment approach to the design of

work organization (Lawler 1986, Walton 1985). Schools as organizations are not an exception to this understanding.

The introduction of performance management systems in schools has been shrouded with secrecy. In the case of Zimbabwean schools system, it has been imposed on the schools because it has been proved to provide positive outcomes in other organizations (private and public sectors) which do not have the same culture, structure, characteristics, products and mandates such as is the case with schools. In the case of the introduction of performance management in Zimbabwean schools, the Zimbabwe Teachers' Association (ZIMTA) was in the dark on why performance management was introduced (ZIMTA,1998). The fact that performance management was introduced simultaneously with performance related pay and at a time when government was downsizing in order for it to curb expenditure, resulted in sending out mixed messages to a workforce that was already disgruntled by poor pay, working conditions and stressed by the possibility of losing jobs.

Research literature shows that there are certain advantages that are claimed for the involvement approach, and such advantages are said to include higher quality products (learners) and services, less absenteeism, less turn-over, better decision making, better problem solving and less management overhead; in short, greater organizational effectiveness(Denison,1990).Three studies carried out in the early 1990s (Denison, 1990, Mitchell, Levin; Lawler, 1986, and Levin and Tyson, 1990) all found that organisations that operated with an involvement-oriented model obtain superior performance when compared with those using more traditional, control-oriented management practices. In the United States of America, studies have been carried out on 500 largest industrial and 500 service organizations and these studies found that organizations that made significant commitment to employee involvement experienced

increases in productivity and quality of goods and services (Mohrman, Lawler and Mohrman,1992:347). Levine and Tyson (1990) found that performance improvement resulted from long term significant organizational changethat comesfrom the increased influence and involvement of employees in the setting of tasks. It is the involvement of these employees that ensure goal commitment, buy-ins and ownership of such innovations. Lawler (1986) contends that involvement management is not a single approach but at least three different approaches. According to Mohrman, Lawler and Mohrman (1992:347), documented evidence on how the benefits of the involvement approach in organizations promotes the following:

- Information about the performance plans and goals of the organization.
- Rewards that are based on the performance of the organization and contributions of individuals.
- Knowledge that enables employees to understand and contribute to organizational practices, policies and directions,

Mohrman, Lawler and Mohrman (1992:347) contend that when information, rewards, knowledge and power are concentrated at the top of an organization, then, the traditional control-oriented management exists: whereas on the corollary, when they are moved downward, employee involvement is being practised.

3.3.6.3 Enhancing employee involvement.

Strategies that enhance the accumulation of the employee involvement stock vary, but this thesis will focus on job involvement, job enrichment and reward management and how they influence employee commitment towards the goals of the organization in

question. Job involvement is said to focus on designing work in ways that will motivate better job performance (Mohrman, Lawler and Mohrman 1992:349).

The job involvement approach has significant implications on how organizations are structured and managed (Mohrman, Lawler and Mohrman, 1992:350). In essence, individuals are given new skills and knowledge, new feedback and additional set of decisions to make in their day to day activities as they relate to their job descriptions and responsibilities. Thus, all these facets of creating new skills, knowledge, feedback, and the ability to promote the making of decisions further strengthen employee value in the performance management process. Studies in job involvement show that this approach improves productivity, quality of products, less absenteeism and less turn over (Hackman and Oldham, 1973). The by-products of employee job involvement dovetail significantly into the expectations of the performance management ethos. Thus, through the improvement of quality of products (student grades) less absenteeism, less turn over, and productivity improvement, the resultant outcomes would be those that enhance the goals and vision of performance management programmes in the schools systems.

Job involvement techniques enhance the employee to be conscious of organizational boundaries, customer definition and their relationship to stakeholders. This explicit focus by employees on their customers (students, parents, among others) would make schools compliant to the expectations of the stakeholders to the schools systems. It has become a well-known fact that with the implementation of performance management, schools become mission–driven service organizations which are also embedded in their communities. However, educators are not the final arbitrators of many educational decisions, such as resources that are required for excellent education or how best to cluster children from their different educational experiences (Mohrman et al, 1992:356).

The other strategy that ensures employee involvement in organizations is job enrichment, which focuses on creating individual teacher tasks and provides employees with feedback and increase their influence over how they do their work.

Moving rewards downwards to have employees decide or provide input on how these rewards will be distributed in organizations is another way of ensuring employee involvement. With the right reward structures, the self-interest of employees and organizational mission are properly aligned thus ensuring greater employee commitment to the organization. The importance of rewards to the enhancement of employee commitment are highlighted by Mohrman et al, (1992:357) who observe that the reward system of any organization sends messages about what kind of performance is valued by that organization. Rewards are also believed to positively shape employee behaviour which results in less absenteeism, thus increasing the organization's productivity. Therefore if the reward system of an organization is designed properly, the reward system can give the employee a very clear stake in the success of the organization.

3.3.6.4 Lack of political will from the top.

Organizational politics play an instrumental role in the success or failure of reform projects or programmes in the public sector per se and in the schools specifically. In Africa, the results oriented appraisal system used in performance management is attacked on the grounds that it is incompatible with the African environment where favouritism based on kinship, Hayden, (1983) in Chipangura & Musekiwa 1998, gender, ethnicity, and race are rife (Moyo, 1991). Blunt and Popoola (in Chipangura and Musekiwa, 1998:144), observed that; "...in public organizations, favourable performance appraisals are linked more to a particularistic criteria than they are to

universalistic ones. Those closest to the appraiser in terms of kinship or ethnicity, and maintain good relations with him, will in general fare better than those who only have a distant connection or none at all". This diversity factor in performance management in the African setting poses a tremendous challenge to the unity of purpose required in embarking and sustaining a comprehensive and impact oriented programme of reform. Thus, individuals with own private agendas have capitalized on ethnic, religious, linguistic and other differences to promote intra-organisation tension (Balogun, 2003:28). The same author goes further and laments the arbitrary behaviour on the part of political functionaries and senior managers that has not helped matters; it has instead aggravated the tension brought by diversity in organizations because those in positions of authority exploit organizational diversity in order to create loyalty based on non-professional parameters.

Commenting on challenges to administrative reforms in Nigeria specifically and other African countries in general, Balogun (2003:23) deplores the dependence by African countries on reform initiatives that largely have external push and inspiration. Thus in similar vein as observed by Adedeji,(1972 the decision by a number of African countries to institute administrative reform measures in the early 1970s was not locally inspired but was very much a reflection of the "international demonstration effect" (Adedeji 1972). As alluded to earlier in chapter one, Great Britain, having embarked on a comprehensive reform of its civil service, was in effect sending to its erstwhile former colonies that administrative systems that the latter inherited was not perfect, after all. The observation by Balogun (2003) was that while African leaders might have felt an independent urge to shake up their public services and prepare these services for post-colonial challenge, it was the wish to be seen as copying the "best practices" from the former metropolitan powers that drove the administrative reform efforts of the 1970s.

Balogun (2003) further contends that at best, the commitment to change by African governments was half-hearted, and at worst, non-existent. Furthermore, Balogun (2003:24) observed that, “In any case, the reform programmes’ dominant concerns (for organizational tidiness, mission objectives, performance and productivity) rarely square with conflict management, damage control, and survival preoccupations of indigenous political and administrative leaders. In the Zimbabwean situation, the researcher’s experience has mirrored the sentiments given above. When government introduced performance management in its ministries there was no thorough preparedness on its part and this resulted in the haphazard implementation of performance management. Further to that, even today, (2011) there still exists mixed messages concerning performance management, more so in education. The Manica Post of 7 January 2011, a weekly provincial newspaper cited Muzawazi (the Provincial Education Director in Manicaland) who was already speaking of introducing results-based management (RBM) in schools at a time where the form of performance management implementation leaned more towards performance appraisal. These premature policy pronouncements make civil servants less committed to these innovations because they would know that these changes don’t last anyway. This, in the researcher’s understanding manifested an attempt to bring in another aspect of performance management without having evaluated the current programme in order to ascertain its strengths and weaknesses or its successes or failures. Secondly, the mentioned change was coming from outer space without consultation with the agents that are meant to implement the change at the grassroots. Therefore, these kinds of innovations will not be readily accepted by those meant to be affected by such changes or those who are expected to implement those innovations at the shop floor level. This makes the changes to be understood as the proverbial mirage that keeps gravitating further and further away from the reach of

the implementers thereby confusing the people who are supposed to be interfacing with the intended beneficiaries of the programmes at grassroots level.

3.3.6.5 Lack of proper leadership at school level.

The value and importance of an able or capable leadership in the successful implementation of innovations in organisations cannot be over emphasized. It is therefore important for this study to be able to situate the position of leadership and ascertain its role in creating enabling environments that ultimately determine the success or failure of programme implementation, and in the case, of the schools system, the success of its students, which is the major purpose for its existence. Research carried out by Robinson, Lloyd & Rowe (2008:636) shows that there is an unprecedented international interest on how leaders influence a range of student outcomes. In consequence, at least five reviews of empirical research on the direct and indirect effects of leadership on student outcomes have appeared recently (Bell, Bolam & Cubillo, 2003; Leithwood, Day, Summons, Harris & Hopkins 2006;Leithwood,Louis, Anderson & Wahlstrom, 2004; Marzano, Waters & McNulty, 2005; Waters, Boskers &Kniger, 2003). Robinson et al, (2008:637) found that mostly, quantitative research has conceptualized the relationship between leadership and student outcomes as indirect with leaders establishing the conditions (For example, the provision of teacher professional learning opportunities, and forms of student grouping) through which teachers make a more direct impact on the students. In the only published meta-analysis of such research, Marzano et al reports on the average effect exhibited from the result of such research (Marzano. et al 2005).

Even though leadership and learning are two key policy priorities in developed countries, the link between them still remains a contested area, as quantitative

researchers continue to explore correlations and puzzle over intervening variables (Hallinger,2003; Leithwood & Jantzi, 2000; Mulford & Silins, 2003). A study by Mac Beath (2006) that used both qualitative and quantitative measures to study leadership and the process of change in twenty schools concurs with Claxton, (1997); Entwistle, (1987); Hargreaves & Fink, (2005), who expressed that:

- Leadership has a learning focus.
- Leadership creates conditions favourable for favourable learning.
- Leadership for learning practice requires a sharing of leadership.
- Dialogue is central to Leadership for learning.
- Leadership for learning means being accountable.

With regards to leadership and learning, MacBeath (2006:40) strongly feels that a focus on learning must build a learning culture from the bottom up. Further to that, he suggests that the first thing to do is to look at what you want students to achieve and then build your pedagogy and teaching practice around that and then build structures, your leadership and a culture that supports them. In another view, Knapp, Copeland & Talbert (2003) contend that a focus on learning goes beyond focusing on students alone but also on professional learning and system learning which ultimately creates vibrant learning institutions that enable students to attain their best possible grades. Based on this thinking, it becomes evident that for performance management to be successful it needs to establish some change in the mind-set of not only the school leadership, but also in the whole staff complement of the school in order to establish learning ethos of the highest standard.

Leadership that creates conditions for favourable learning builds a school climate that has necessary preconditions for a focus on learning. If performance management systems are to be a vehicle for the improvement of student outcomes in both the academic and other spheres of their school life, then it is important for school leadership to enhance the school's physical determinants (school buildings and classroom arrangements) so that they project powerful and implicit messages about the nature and process of learning (MacBeath, 2006:40). Effective leadership adds value to the impact of the classroom and teacher practices and ensures that lasting changes flourish. Developing awareness of the school and teacher practices that impact student achievement was critical, but without effective leadership. (Miller, 2003.5), there is less of a possibility that schools and teachers will be able to address these variables in a coherent and meaningful way. Waters, Marzano & McNulty (2003) concur with Miller (2003) and they observe that their 21 leadership responsibilities have a significant statistical relationship to student achievement that when consistently implemented, can have substantial impact on student learning and achievement. Further to that, results from empirical researches show that the calibre of leadership in a school can have a dramatic effect on student achievement of upwards of .25 (Waters, Marzano & McNulty, 2003).

3.3.6.6 Findings from studies on performance management implementation in schools.

A number of research studies have been carried out on performance management implementation in schools in Zimbabwe. An assortment of studies such as Chipangura & Musekiwa (1998) *Performance Management in the Zimbabwe Public Sector*; Chinhengo (2001) *An Assessment of teachers' attitude*

towards performance appraisal; Manatsa (2001) *An assessment of the teachers' attitude towards* the *current performance appraisal practice in Mwenezi District*; Moyo (2003) *An investigation into teachers' attitudes towards performance management in Bulilimamangwe South District secondary* schools; Saurombe (2004) *Implementation of the performance management programme in Harare Northern-Central District: A Case of Cluster 1 and 2 schools*; and Gotekwa (2007) *A study of the teachers' attitudes on the new performance appraisal system: the case of Seke urban*, are examples of studies on performance management in Zimbabwe's schools sector in recent years and these studies are pregnant with findings that can be used to inform this study. Though some of the studies were not performance management per se, their findings can be justifiably used to enrich some similar endeavours in the area of performance measurement and management.

Some of the findings highlighted factors that negatively impacted on the successful implementation of both the appraisal system and the much broader performance management system in Zimbabwean schools as listed below:

- The introduction of performance management was premature as no groundwork preparation had been done to psyche both the employees and implementers of the programme, (Chipangura & Musekiwa 1998:151).

- There was evidence of insufficient consultation between stake holders and drivers of the innovation who was the Ministry of Public Service, through its administrative arm of the Public Service Commission that was mandated with the introduction of the performance management in all the public sector organisations (Chipangura & Musekiwa, 1998:151; Chinhengo, 2001:69).

- The linking of performance appraisal ratings results to financial and non-financial awards did not go down well with teachers based on the fact that the employment environment did not guarantee the mobilisation or availability of resources in order for teachers to be able to successfully implement the innovation (Chipangura & Musekiwa 1998:151).

- About 20% of the population that participated in the research by Saurombe (2004:57) had not been involved in any training on implementing performance management process, thereby jeopardizing the possibility of success of the implementation of the performance management programme at individual school level.

- The job descriptions for teachers were not derived from the schools' mission statements, thus teachers failed to direct efforts towards the fulfilment of the schools' mission statements. Saurombe (2004:57).

- The system was open to abuse by supervisors through favouritism and victimization. Some teachers felt the system was introduced in order to punish under- performing teachers (Chipangura & Musekiwa,1998:151;Manatsa,2001:88 & Gotekwa, 2007:49).

- There were no clear legal avenues or structures for redress if a teacher felt that the appraisal process was not fair (Chipangura & Musekiwa, 1998:151).

- The quality of training and length of time for such training given to teachers and school heads did not fully capacitate them to successfully implement the programme. Some teachers observed that some school heads were not capable enough to monitor their performances and award them objective and

fair ratings for their efforts (Chipangura & Musekiwa (1998:152, Moyo, 2003:46 & Gotekwa, 2007:49).

- There was inadequate employee participation in decision-making, productivity improvement and enhancement of efficiency and effectiveness (Chipangura & Musekiwa, 1998:152).

- Teachers had negative attitudes towards performance management because the process involved too much paperwork and did not reward teachers with commensurate rewards. (Chinhengo 2001:69 & Moyo,2003:46)

- Because the purpose for the introduction of performance management in schools was not clear, the majority of teachers felt that the programme had been implemented as a cost cutting measure since government was restructuring and down-sizing the civil service. However, some of the teachers thought the same system was meant to improve their effectiveness and renew their performances in their jobs (Moyo, 2003:46 & Gotekwa, 2007:49).

- The performance appraisal instrument was not ideal to education. Teachers felt it was results oriented while educational results were not easily quantifiable (Chinhengo, 2001:68 & Moyo, 2003:49).

- Ministry of Education Sport and Culture was not taking the results of performance management seriously because, since the inception of the programme, results had not been used as promised for salary increment and for the award of annual bonus payments (Chinhengo, 2001:69, Moyo, 2003:50 & Saurombe, 2004:59).

- Teachers and school heads advocated for a new performance appraisal system that could be used for the improvement of classroom instruction and one that was used to determine their salary and bonus (Gotekwa, 2007: 50).

- Teachers and school heads felt that if the performance ratings were used for the determination of salaries and bonuses for education personnel, it would demotivate teachers and cultivate unsound relationships among teachers themselves, and between teachers and their schoolheads (Manatsa, 2001:86-87 & Gotekwa, 2007:50).

3.3.6.7 Benefits of Performance Management

There many benefits that are credited to the implementation of performance management according to the Zimbabwean Public Service(1998) which are as follows:

- Clear work goals and responsibilities, greater commitment and motivation of staff at all levels.

- A reliable method of measuring performance, focus on results, and elimination of unnecessary activities.

- Improved communication, greater managerial motivation through goal setting, and more effective development of people.

- Can be linked with a variety of human resource systems like performance appraisals, performance related pay, training and development, transfer, promotion and demotion.

3.3.6.8 Chapter Summary.

Chapter three covered the second literature review of the study that focuses and reviews performance management implementation in schools in Zimbabwe. Though the chapter focuses on Zimbabwe, a few relevant lessons are highlighted from international perspectives on performance management which were aimed at enriching the readers' understanding of how performance management operates in schools. The historical development of the current performance management system is given and key developments that took place in the adoption and implementation of performance management have been described. The legal frameworks of the performance management systems have been outlined. Analyses of circumstances that made the implementation of the performance management systems less successful in schools have been discussed. Alternative methods of performance management such as Results-Based Management approach is given and the chapter ended by suggesting the development of a strategy for the implementation of performance management in schools based on results of empirical studies conducted over long periods of time.

Chapter four will proceed to give the philosophical assumptions, paradigmatic stance, methodology, methods, data collection techniques and the strategies for the treatment of data from the study was proposed.

CHAPTER 4
EMPIRICAL RESEARCH DESIGN AND METHODOLOGY

4.1 INTRODUCTION

The methodology chapter of this thesis outlines how the thesis unfolds and evolves. It sets out the purpose of this research, methodology used, steps taken, the questions employed to explore this study and the steps taken to ensure validity and reliability. This chapter defines key terminology commonly associated with and used in the research design framework. The research methodology used is outlined and justification for selecting the methodology was given.

The research aim for this thesis is to evaluate the suitability of the current strategy of performance management in education with particular focus on primary and secondary schools in Zimbabwe with the aim of finding a more suitable strategy for the implementation of the performance management. Gary (2006: 156-83) covers the purpose of evaluations in detail. Patton 1984 in Gray (2006: 158-159) identify about twenty-two types of evaluations and their different approaches. In this thesis, evaluations that are closely linked to performance management implementation are based on the questions summarized below.

TABLE 3: TYPES OF EVALUATIONS AND DEFINING QUESTIONS IN RELATION TO PERFORMANCE MANAGEMENT IN EDUCATION

FOCUS	APPROACHES (questions to be explored by the study)
Context focus	What was the social, economic, political and cultural environment that led to the implementation of performance management systems in education? How applicable are those contexts to the environment in which the programme operates in now?
Effectiveness	To what extent is performance management attaining its goals? How can the performance management programme be made more effective in the public sector, especially in education (primary and secondary schools)?
Goal focus	Looking at the goals for which performance management was introduced in primary and secondary schools, to what extent have the programme's goals been achieved?

Impact focus	What has been the impact of performance management systems in school on programme participants (implementing agents) teachers, school heads? Has the implementation of the performance management system in schools brought the expected in how schools are managed?
Input focus	What resources (money, staff, technological) were made available to the programme for it to succeed? Were these resources available at the right times? In suitable amounts? What quantities of such resources were made available to the programme? How effective were the training programmes that programme implementers have? Suggest any inputs that could have been used to enhance the programme's success? How would these inputs ensure the successful implementation the programme?

Adapted from Patton (1984) in Gray (2006:158-159)

Answers to these questions will form the foundation on which this study is built. As answers are found, solutions to the challenges of implementing performance management in the education sector, especially primary and secondary schools will be found.

4.1.1 RESEARCH DESIGN:

A research design provides a set of guidelines, instructions and prescriptions to follow in order to address the research problem. It provides a blue print or a plan of how the research is to be conducted by describing the research sites, how the subject are selected, data collection procedures with the purpose of anticipating the decisions to be taken to maximize validity of findings.

4.1.1.1 Philosophical assumptions guiding the research thesis.

According to Myers (2009:23) "... every research study is based on some philosophical assumptions about the nature of the world and how knowledge about the world can be obtained." Myers (2009:23) further asserts that "...these assumptions must be made explicit..." even before the study unfolds so as for the researcher's position or point of

departure be known to their readers, supervisors or other scholars. These assumptions provide the foundation for everything that follow in any research process. Research authorities identify three philosophical perspectives or paradigms that guide the research process. These are namely, **Positivist**, **Interpretive** and **Critica**l perspectives (Burrell and Morgan, 1979). A detailed explanation of how each of these philosophical perspectives influence research will be given, thereafter the thesis concentrates on a specific philosophical perspective that informs this thesis. Justification and reasons for choosing the particular perspective has been outlined. Also the strengths and weaknesses of other competing philosophical assumptions will be outlined.

This thesis subscribes to the inductive (qualitative) research design as opposed to the deductive (quantitative) research design and in pursuance of the aims of this thesis, this research as it analyses (evaluates) the experiences of teachers, school heads and education officers in the implementation of performance management in education collects data through in-depth interviews with the above mentioned education personnel and the data has been tape recorded. These data has been transcribed for meaning and relevance to the research aims and objectives. The second method for collected is data through document study. Original documents by which the performance management programme was made mandatory for introduction in the education system have been studied closely.

In-depth interviews, according to McMillan and Schumacher (2001:395) are used to "...collect data in face-to-face situations by interacting with selected people in their settings." This method is important since these individuals are likely to give valuable information on their excitement or frustrations with the whole process of the implementation of performance management in the education system in Zimbabwe. The inductive (qualitative) research process is very important in this study because findings of this study McMillan and Schumacher (2001:395) contends "... may be used in the formulation, development or improvement of education policy" in Zimbabwe.

Inductive (qualitative) research is preferred for this thesis based on the assumption that "reality...is a social experience interpreted by individuals" (McMillan and Schumacher 2001:396). Creswell (2009:3) supports McMillan and Schumacher (2001) and further contents that the difference between qualitative and quantitative approaches to

research that the former uses “words to describe data” whereas the later “uses numbers.” Therefore, based on the philosophical assumption that the researcher brings to the research process, the qualitative research design is preferred by this study. As a qualitative researcher, I strongly believe that reality is, thus, a social construction hence the individuals who are the informants in this research will ascribe meaning to processes, events and activities that that are primarily involved in the implementation of performance management in the education system. In view of this, it is therefore imperative that through the use of qualitative research, this study tries to understand how performance management has performed, particularly, according to teachers who make the bulk of the shop-floor implementers of performance management in schools. In so doing, this thesis through qualitative research seeks not only to understand the experiences of teachers, school heads and education officers at district and at provincial level in relation to the implementation of performance management in education in Zimbabwe, but also solicit ways of empowering and emancipating education practitioners who have been disenfranchised through the introduction of performance management. More so, because performance management is a management philosophy airlifted from the private sector to the public sector.

4.1.1.2 PHILOSOPHICAL VIEWS AND HOW THEY INFLUENCE RESEARCH.

Philosophical assumptions for purposes of this thesis can be viewed “as the underlying epistemology which guides the research” (Myers, 2009:35). This refers to the assumptions about the theory of knowledge and how knowledge can be obtained. The Concise Oxford Dictionary defines Epistemology as “the theory of knowledge, especially with regard to its methods, validity and scope” In some cases the philosophical ideas may remain largely hidden, but “...they still influence the practise of research and need to be identified” (Creswell, 2009:5, Myers, 2009:36) identify these philosophical world views as **Positivism**, **Advocacy/Participatory**, **Constructivism** and **Pragmatic**. However, philosophical wars have been raging for quite some time now and other authors tend to classify these philosophical views differently. Clark and Creswell (2009:13) acknowledge that Constructivism, Interpretivism and Naturalism are the more dominant philosophical views, and they consider Naturalism as being the more dominant philosophical views.

The process of choosing a philosophical view that guides one's research tends to be an insurmountable task. In spite of the seemingly divergent nature of these views, the main purpose of philosophical views is to ensure that the researcher's understanding of factors that influence research are comprehended thoroughly in order to enrich the research process. Regarding philosophical views, Creswell (2009:15) goes further and argues that it is "... these philosophical assumptions that the inquirers make that help them in deciding to undertake a qualitative study" It is these world views, paradigms or sets of beliefs that inform how the research process is to be conducted.

As alluded to earlier, Myers (2009:36) identifies three fundamental philosophical assumptions of research, namely, "Positivist, Interpretive and Critical views." Though critical research is much less common, there are signs that "critical research was on the increase."(Myers, 2009:41). The researcher personally believes that critical research has much to offer to management disciplines, and this includes the area of educational management.

As a researcher, Myers submits that "... social reality is historically constituted and that it is produced (and reproduced) by people" (Myers, 2009:42). Although people can consciously act to change their social and economic circumstances, critical researchers believe that their ability to do so is constrained by various forms of social ,cultural and political domination (Myers, ibid). In the education system the world over, the teacher has been subjugated to the point of extinction. Thus, the social, cultural, political and economic domination of teachers has continued unabated. Cox (1981:88-89) as summarized in Apple, Au and Gandin (2009:23) revolutionizes the approach and emphasizes "... the importance of standing aside from the prevailing order and ask how that order came about...and calling into question the nature and origins of institutions and their social relations and how they might change." Hence , Cox here "... contrasts critical theory with problem solving theory and he further argues that "problem solving theory takes the world as it finds it with the prevailing social and power relationships and the institutions into which it is organised, as the given frame of action" (Cox in Apple, Au and Gandin; 2009:23).

As highlighted in chapter 2, there are a series of theoretical and ideological catastrophes' that culminated in the adoption of performance management in the public

sector, particularly so in education. These catastrophes were championed by developed world and their international agencies of the International Monetary Fund (IMF) and the World Bank (WB). These bodies, as highlighted by Apple, Au and Gandin (2009:25) "...are advancing a radical agenda for the transforming of the education systems in the developed and developing economies in order to promote and produce a social and political order very different to the prevailing order." According to Apple, Au and Gandin (2009:25) this clearly presented important challenges to critical educators wanting to ensure that the purposes of critical theory are not aligned with projects (such as performance management) that do not have an explicit concern with equitable distribution of resources, this asymmetries of power on participation in society for models of economy that feed off exploitation and the appropriation of surplus value, and so on.

This research is a call to awaken the voice of reason among educators in Zimbabwe. Hence critical research is the most appropriate research methodology because its main task is, according to Myers (2009:42)

> Thus, seen as being one of the social critiques, whereby the supposedly restrictive and alienating conditions were preventing the achievement of enlightenment, justice and freedom (among educators). Rather than simply describing current knowledge and beliefs (as an interpretive researcher does), the idea is to challenge those prevailing beliefs, values and assumptions that might have been taken for granted by the subjects themselves.

The thesis topic dealt with the identification of a strategy for the implementation of performance management system in primary and secondary schools in Zimbabwe and as Myers (2009:43) suggests that "...if one is going to critique the current social situation a critical researcher needs to have an explicit ethical basis that motivates research work." As critical researcher, this study will suggest improvements to the current practice that is adapted to the needs of an education system of a developing country /economy. As developed by the Frankfurt's critical researcher, the concept of emancipation of teachers from the false and unwarranted beliefs and assumptions about salaries of teachers and other constraints need to be examined closely in this thesis. The introduction of performance management in education hinged more on being a measure of controlling teacher activities and salaries more than the need to

improve performance per se. Alvensson and Wilmot (1992) in Myers (2009:43) define emancipation as “The process through which individuals and groups become freed from repressive social and ideological conditions in particular those that place socially unnecessary restrictions upon the development and articulation of human consciousness.”

4.1.1.3 Philosophical Assumptions Guiding the Critical Research Framework.

Good research requires making known the researcher’s assumptions and paradigms that guide the research. The purpose of this section is to make explicit the assumptions that guide the way in which this research is conducted. The philosophical assumptions guiding any kind of study can be traced to the ontology epistemology and methodological assumptions of that particular study (Whitehead and McNiff 2009:22-25). Researchers choose a stance on each of these assumptions, and as the research unfolds it gets moulded and guided by these assumptions that the researcher has at the onset of the research process. According to Grix (2000b:179) “It is these ontological and epistemological positions that shape the very questions we may ask in the first place, how we pose them and how we set about answering them.”

4.1.1.4 Ontologies That Influence Research

Ontology was acknowledged as the starting point of all research, after which epistemological and methodological position will follow. There are several definitions of what ontology is, but this thesis will only focus on a few definitions that give a general understanding to the readership of this research. Grix (2001b:177) defines ontological claims as “...the assumptions made about the nature of social reality, claims about what exists, what it looks like what units make it up and how these units interact with each other.” In short, ontological assumptions were concerned with what we believed in, and what constitutes reality. According to Denzin and Lincoln (2000:157), “Ontology raises basic questions about the nature of reality and the nature of the human being in the world.”

The researcher’s ontological position affects the manner in which one undertakes research. According to Whitehead and McNiff (2009:22),“Ontology refers to being which influences how we perceive ourselves in relation to our environment , including other people” Klenke (2008:15) contends that ontology “...addresses the first paradigm

question ‘what is the nature of reality?” An individual’s ontological perspective is the one that guides and influence how individual people relate to knowledge through research and also the kind of approach that will be taken in that research. On the other hand, Clark and Creswell (2009:14) define ontology as “the nature of reality.” Qualitative researchers assume multiple and dynamic realities that are content-dependent and embrace an ontology that denies the existence of an external reality. According to Seale (1995) cited in Klenke (2008:15)

> “...external reality means one that exists outside an independent of our interpretations of it. These individual interpretations are deeply embedded in a rich contextual web that cannot be readily generalised to other settings. Hence qualitative researchers do not assume that there is a single unitary reality apart from our perceptions”.

Ontological positions can be explained under objectivism and constructivism. Ontological objectivism according to Grix (2001b:177) this refers to “...an ontological position that asserts that social phenomena and their meanings have existence that is independent of social actors.” Grix (2001b:177) also talks of ontological constructivism as an ontology that “...asserts that social phenomena and their meanings are continually being changed by social actors.” From these definitions it can be deduced that social phenomena are not constant, because they are produced by through social interaction, hence they are in a constant state of revision. Thus, whether a researcher sees multiple realities or singular realities depends on their ontological disposition. In research therefore, the researcher’s being influences how they will perceive environment and how they navigate their knowledge.

4.1.1.5 Epistemology and Research.

Epistemology is one of the core branches of philosophy and is concerned with the theory of knowledge especially in regard to its methods and the possible ways of gaining knowledge of social reality or whatever is understood to be. An understanding of what is epistemology and how it affects and influences the research process is very important. Epistemology refers to the theory of knowledge. The researcher’s epistemological positions will lead them to employ a different methodology than one would otherwise use were one to choose the other research methodology. When

undertaking a research study on the same phenomena, their ontological and epistemological positions normally lead them to discover different views of the same social phenomena. Denzin and Lincoln (2000:157) reckoned that epistemology asks "How do I know the world? What is the relationship between the inquirer and the known?" Thus, every epistemology implies an ethical-moral stance towards the world and the self of the researcher.

Our view of the nature of reality affects our beliefs about the nature of knowledge, our epistemology. According to Whitehead and McNiff (2009:22) "epistemology referred to a theory of knowledge which involves two parts ...a theory of knowledge (what is known) and ...a theory of knowledge acquisition (how it comes to be known)." Blakkie (2000:8) as cited by Grix (2001b:117) makes an informed explanation of the meaning of the word 'Epistemology'. The study reviewed its Greek origin where 'Episteme' means knowledge and 'logos' means reason. Grix (ibid) uses this meaning of the Greek form of the word to further expound that the term, and focuses on the knowledge gathering process that is concerned with developing new models or theories that are better than the competing models and theories that are already in existence or those to come in future times.

The directional relationship between ontology, epistemology, methodology, methods and sources led Grix (2001:178) to suggest that it was of paramount importance "to understand how a particular view of the world affects the whole research process. By setting out clearly the relationship between what a researcher thinks s/he can know about it (their epistemological approach) one can start to understand what the impact one's position can have on what and how we decided to carry out the study." Clark and Creswell (2009:14) show a more palatable view of epistemology and they define it as "...the relationship of the knower to the known."

Klenke (2008:15) advanced the argument that "Epistemology addresses the second paradigmatic question about the nature of knowledge; How do we know what we know? What was the relationship between the knower and what is known?" Klenke's explanation shows that epistemology is a branch of philosophy that deals with the origin of, nature and limits of human knowledge. In research, it has to be acknowledged that a researcher's epistemological stance was influenced by their ontological position. Thus, how the researcher understands the nature of reality influences what a researcher regard as knowledge. In relation to this thought, Whitehead and McNiff (2009:23) further

suggested that these epistemologies contain “an understanding of the unit of appraisal, in the sense of how valid judgements can be made, and a logic in the sense of the form that reasoning takes in understanding the real as rational.” Coghlan and Brannick (2009:5) contend that this epistemology represents “the grounds for knowledge” whilst ontology refers to the nature of the world.” Coghlan and Brannick (2009:5) further asserted that a “researcher’s epistemological and ontological perspective legitimate their own distinctive way of doing research and determine what they consider as valid and legitimate contribution to knowledge.”

According to a number of definitions outlined and discussed above, it is very clear that knowledge and the ways of discovering it are not static, but forever changing. Therefore, when reflecting on theories and concepts in general, researchers need to reflect on the assumptions on which their epistemology is founded and where these theories originate from in the first place. For example, can theories generated in the Western Democracies properly explain phenomena in the Eastern European transition states with over 60 years history of authoritarianism? Or can a Western Theory of management such as Performance Management be successfully implemented in the Public sectors of developing economies? The foundation on which performance management was built on in the developed world is by far different from the basis of performance management in developing countries. The social culture, political culture and management culture in African oriented societies thrive on submitting to authority for those who are subordinates in the system, where as those in authority thrive on imposing their will on the subordinates below them.

4.2 METHODOLOGY.

The epistemological and ontological assumptions about knowledge translate into distinct methodologies and the means that the researcher takes in order for them to understand the world. Denzin and Lincoln (2000:157) say “methodology focuses on the best means for gaining knowledge about the world.” According to Klenke (2008:18) Methodology addresses the question “How should we study the world.” Methodology was defined by Whitehead and McNiff (2009:23) as “... a theory of how we do things.” They further assert that a researcher’s methodology is in turn influenced by their ontological and epistemological assumptions. Methodology also referred to the

“theoretical analysis of the methods appropriate to a field of study or to the body of methods and principles particular to a branch of knowledge.” (Answers.com/2010). Molby’s Medical Dictionary (2009) defines methodology as “the section of the research in which the methods that were used are described .The research design, the population studied, and the research instruments, or tools to be used are discussed.therein...” From the various definitions given above, it is clear that all methodological debates aim to address issues of types of sampling techniques, data collection choices, analysis and interpretation of results. In a research study, the methodology reflects the beliefs about knowledge and values inherent in a paradigm within which a study is conducted and implies a concern and commitment to construct a particular type of knowledge.

Paltridge and Starfield (2007:118) offer a more succinct understanding of methodology and they define it as “the theoretical paradigm or framework in which a student is working: to a stance he or she is taking as a researcher (choosing a qualitative or quantitative paradigm) and the argument that is built in the text to justify these assumptions, theoretical frameworks and /as well as the choice of research questions.” Therefore, in my methodological section of this thesis, the researcher developed an explanation as to why the research methods being discussed have been chosen, detailing explicitly the strengths of the preferred method over other competing methods. Paltridge and Starfield (2007:119) even suggest the need for “...a restatement of the research aims /questions and involves explaining to the reader how the chosen methods would help answer the research questions.”

Positivism is seen as “...the dominant form of research in most disciplines” (Myers, 2009:37). This philosophical worldview “traces back to scholars/philosophers of the 19th Century such as Compte, Mill, Durkheim, Newton and Locke (Smith, 1983 in Creswell (2009:7). Just as outlined earlier that ontological, epistemological and methodological issues influence research, positivism has its own ontological, epistemological and methodological views. The basic assumptions of positivists listed by Phillips and Burbles (2000) in Creswell (2009:7) are as follows:

-Knowledge was conjectural and absolute truth is never found. Thus, evidence established in research is always imperfect and fallible.

-Research was a process of making claims which are refinable.

-Data, evidence and rational considerations, shape knowledge. Thus researcher collects information on instruments based on measures completed by participants or by observations recorded by the researcher.

-Research seeks to develop relevant, true statements, ones that can serve to explain the situation of concern or that describe the casual relationships of interest.

-Being objective an essential aspect of competent inquiry: researchers must explain methods and conclusions so they may dispel bias from the whole research process.

4.2.1 The Interpretive Philosophical Views and Research

This research philosophical view was not as common as positivist research (Myers, 2009). It assumes that access to reality (given or socially constructed) is only through social constructions and they try to understand phenomena through the meanings that assign to these phenomena. The interpretive researchers tend to concern themselves with the meaning in context because they believe that the context of phenomena that defines the situation and it prescribes what makes it and what makes it what it is.

4.2.2 Epistemological Assumptions of Interpretivism.

According to Bernstein (in Myers, 2009:40) the epistemological assumptions of Interpretivism are that:

-Data are not detachable from theory, for what counts as data is determined in the light of some theoretical interpretation, and facts themselves have to be reconstructed in the light of interpretation.

-In the human sciences, theories are mimetic reconstructions of the facts themselves and the criterion of a good theory is an understanding of meanings and intentions rather than deductive explanation.

-The generalisations derived from experience were dependent upon the researcher, his or her methods and the interactions with the subject of study. The validity of the generalisations does not depend upon the statistical inference but on the plausibility and cogency of the logical reasoning used in describing the results from the cases, and in drawing conclusions from them.

-The languages of the human sciences are irreducibly equivocal (because of multiple, emergent meanings) and continually adapt to changing circumstances.

-Meanings in human sciences are what constitute the facts for data consist of documents, intentional behaviour, social rules, human artefacts, etc., and these are inseparable from their meanings for agents.

4.2.3 Critical Research

Is a philosophical view that was birthed in the Frankfurt School whose seat was first established in Germany before it relocated to the United States of America. This philosophical view was usually thought of as being an extension of the work of Karl Marx, but the main proponents try to distance themselves from it. Notable contributors to this philosophy are Jürgen Harbermas, Pierre Bourdieu, Michael Foucault and Paulo Freire. Though these scholars lived in different times and geographical spaces, separated by different economic, cultural, and political landscapes, they all spoke to one another's philosophical ideas whose main scholarly output was to critic that which society saw as socially accepted. The philosophical ideas of these great scholars sought not only to critique and challenge the status quo, but sought ways to change it.

4.2.3.1 Assumption of Critical Researchers.

All critical researchers assume that "social reality is historically constructed and it is produced and reproduced by people" (Myers, 2009:42). Further to this Myers (2009:42) observed that, "Although people can consciously act to change their social and economic circumstances, critical researchers believe that their ability to do so is constrained by various forms of social and political domination." Based on the need to critique and challenge the status quo, critical theorists contend that all "...research inquiry needs to be intertwined with politics and a political agenda" (Creswell, 2009:9). This assumption is premised on this thought because these philosophers were convinced that the circumstances that any social groupings find themselves in are as a result of the construction of the politics of the day and the dominant political ideology of that time and space. Inquirers who subscribe to critical theory as a research methodology feel the need to help marginalized people and in this group of people that is where I place members of the teaching fraternity. Critical research advocates and contains an action agenda to help reform the lives and perceptions of the educators. In most cases, people can consciously act to change their social and economic circumstances.

Critical research assumes that social reality is historically, ideologically, politically and economically constituted and that it is always produced and reproduced by people who in doing so benefit from the status quo. Thus, critical researchers believe that their (the oppressed and marginalized groups of society) ability to do so is constrained by various forms of social, cultural and political domination (Myers, 2009:42).

Looking at the situations that obtain in most countries regarding the teaching profession, one realizes that the employment relationship is one of exploitation, and under remuneration. According to Connerton (1976) as cited by Myers (2009, 42) the "critique denotes the reflection of constraints which are humanly produced: distorting pressures to which individuals or groups of individuals, or human race as a whole, succumb in their process of self-formations." Therefore, if one is to apply critical theory to critique this employer /employee relationship you will be persuaded to believe that governments of developing countries are exploiting the labour of teachers by paying them salaries that are not at all commensurate with their levels of education, expertise and responsibilities. By adopting critical theory to examine and critique the status quo among the teaching fraternity, a critical researcher will be implored to suggest improvements to current practice through advocating the emancipation of this group. Although this emancipation was popularised by critical theorists of the Frankfurt school, recent studies that are steeped in this critical tradition include the works by Ngwenyama and Lee published in 1977 and referred and cited in Myers (2009:43). Thus, emancipation studies have been one major talking point from the days of the Frankfurt school to the late 2000s.

4.3 JUSTIFICATION OF THE QUALITATIVE RESEARCH PARADIGM.

In this research, the researcher assumed the qualitative research paradigm. In order to fully appreciate the research dynamics of this thesis, first, a brief and concise description of this paradigm was given. The second step gave a defence of the choice of research methodology by building up an exposition why the other options were not considered suitable for this study. A research paradigm is defined by Johnson and Christenson (2009:33) as "...a perspective about research held by a community of (scholars)/ researchers that were based on a set of shared assumptions, concepts, values and practices."

Qualitative research is an approach to how to do and carry out the research process. It is an empirical research that is oriented towards examining individual cases (ideographic approach) (Devetak, Glazar & Vogrinc, 2010:77). This study was conducted on purely qualitative approaches that relied on purposive sampling of sites and participants based on how rich the sites and informants are on the topic under investigation (Creswell, 2008:213) and the collection of qualitative data that was non-numerical.

4.3.1. QUALITATIVE RESEARCH.

Creswell, (2008:13), Fraenkel and Wallen, (2008:442) and Johnson and Christensen, 2009:34) identify the common characteristics of qualitative research as follows:

-Seeks to explore and discover, construct and describe phenomena,

-Qualitative researchers need to greater access to the sites because they need to interview participants in their sites (stations).

-Examines both the breadth and depth of phenomenon and learn more about them,

-Sees behaviour is fluid, dynamic, situational, social, contextual and personal,

-Study behaviour in their natural settings or environments so they carry out investigations and data collection in the particular setting of interest in order to observe phenomenon as opposed to studying human behaviour in unnatural environments like a laboratory,

-Is subjective, personal and socially constructed so the data generated mostly conforms with experiences of the participants on the research and the aspect of generalizability is not its chief concern,

-The approach relies on collecting data through interviews and document study (in this study)

-Its data collection is done in such a way as to generate qualitative data in the form of the printed word, images and audio-visual data,

-The generated data are processed through the assigning codes to various data and these themes are later collapsed into themes in readiness for interpretation through contextual description and direct quotations from the research participants,

-Data are analysed inductively, so there are no hypothesis to prove or disprove,

-Has an unwillingness to temper with naturally occurring phenomenon,

Merriam (2009:5) concurs with the above assumptions and advances the idea that, “Qualitative researchers are interested in understanding how people interpret their

experiences, how they construct their worlds, and what meaning they attribute to their experiences." Thus as this research is going to unfold, the researcher will try catholically observe and conform to the prescriptions of qualitative research. The phenomenon of the implementation of performance management happens in the school set up so the researcher will visit schools to gather data from these natural environments. Information that is to be collected from documents will also to be collected in the environments where these documents are archived.

4.3.1 JUSTIFICATION FOR CHOOSING QUALITATIVE RESEARCH.

Different research authorities put forward different reasons for choosing quantitative, mixed or qualitative research as their research paradigm. According to Spencer, Ritchie, Lewis and Dillon (2003:3) "Qualitative research aims to provide an in-depth understanding of people's experiences, perspectives or circumstances or settings". It is claimed that among the many distinctive features, it is characterised by a concern with exploring phenomena from the perspective of those being studied. Spencer, et al (2003:3) asserts that this is achieved with the use of;

> methods which are sensitive to the social context of the study; the capture of data which are detailed, rich and complex; a mainly inductive rather than deductive analytic process; developing explanations at the level of meaning or micro-social process rather than the context-free laws; and answering 'what is' 'how' and 'why' questions. It employs a variety of methods, including: exploratory interviews; groups; observation; conversation, discourse and narrative analysis; and documentary and video analysis.

Through all these characteristics of qualitative research, the research then generates data that has both width and depth, thus, because the study hopes to give a detailed account of how performance management has been perceived and implemented by educators in schools, make an assessment and evaluate its contribution to performance of primary and secondary schools in Zimbabwe, particularly, students' performance on national examinations. Qualitative research has been chosen over the other methods of research because of its ability to collect qualitative data (non-numerical data such as words and pictures). Seale (2010:97) asserts that qualitative research allows the researcher to utilise what he termed 'craft skill' conception of research as it provides the

researcher with latitude to carry out activities in an autonomous way as opposed to the lack of personal expression in quantitative research. According to Johnson & Christensen (2008:388), qualitative research is preferred because;

> "Qualitative researchers tend to rely on the inductive mode of the scientific method and the major objective of this research is exploratory and discovery. This means that qualitative researchers generally study a phenomenon in an open-ended way, without prior expectations and develop theoretical explanations that are based on their interpretations of what they observe, hear and collect."

The other reason for choosing qualitative research as opposed to other methodologies is that through the use of qualitative research the researcher will study the world of the participants in its natural setting without manipulating it. That is, as Bogdan & Biklen (2007:4) observed, qualitative research is naturalistic, therefore, "the natural setting in which a phenomenon is experienced is the direct source of data whilst the researcher is considered the key instrument throughout the research process "...they feel that action can best be understood when it is observed in the setting in which it occurs." Because qualitative research studies human behaviour, and qualitative researchers view human behaviour as dynamic and always changing, this research methodology has been chosen on its ability to study phenomenon in depth and over an extended period of time.

4.3.2 THE INTERPRETIVE RESEARCH PARADIGM

This research was carried out in line with principles of interpretive paradigm (Devetak, Glazar & Vogrinc (2010:79). A key theme in discussing (inductive) qualitative research was that it focused on examining the subjective experiences of individuals and recognizing the importance which the individuals attach to specific events, occurrences and behaviours. According to Bogdan & Biklen (2007:5) "Qualitative research studies generate descriptive data collected through qualitative techniques and took the form of words or pictures from participants rather than numbers. The written results of the research contain verbatim quotations from data to illustrate and substantiate the authenticity of the presentation." Thus, the product of qualitative research, which was generally a narrative report was generated from the rich and thick description (that was

vivid and detailed) rather than a statistical report produced by doing research through quantitative means.

Qualitative research techniques were inductive in nature. This research focussed on the meanings ascribed to performance management by educational personnel at various level of education practice in the Zimbabwean primary and secondary schools. Merriam (2009:2) concurs with Bogdan & Biklen (2007:5) and retorts that “Qualitative inquiry focuses on the meaning in context requires a data collection instrument that is sensitive to underlying meaning when gathering and interpreting data.” Merriam (2009:5) observed that, “Qualitative researchers are interested in understanding how people interpret their experiences, how they construct their worlds, and what meaning they attributed to their experiences.”

The researcher has also decided to use qualitative research based on current situations obtaining on the research landscape. Recently, qualitative research has increased in stature due to its ability to provide answers where its methodological competitors or peers have not been able deliver. According to Klenke (2008:4) “The interest in qualitative research has been a general dissatisfaction with the type of information that quantitative research has been generating. This supposed dissatisfaction stem from what Maanen (1988b) and Weber 2004 in Klenke (2008:4) observed as:

-The complexity of multivariate research used in qualitative research,

-The distribution restrictions inherent in the use of the quantitative methods,

-The large sample sizes that the qualitative methods require for them to carry out an investigation on which make the data that are collected have a large dispersion amongst informants without going to greater depth to mine out high quality data.

-The difficult in understanding and interpreting the results of studies in which complex quantitative methods are applied

Other reasons brought forward in preference for qualitative research in the study of phenomenon are based on the fact that qualitative research allows the subjects being studied to give much richer answers to questions put forward to them by researchers and this gives greater value and insights into the phenomenon being scrutinized and being investigated. Thus, solutions to such phenomenon are likely to solve the problems that motivated the research to begin with;

-Qualitative research is viewed as a flexible method of, thus it can be used to complement quantitative research by using it as a forerunner to quantitative research,
-There are certain phenomena that are best served and researched by collecting qualitative data so that conclusions may completely eradicate or give detailed information that enhance people's understanding thereby leading to permanent solutions to such a problem.(for example , in medicine , qualitative research can be used to find out why people do not take medication prescribed for them or why do people continue to smoke when the evidence about the harmful effects of smoking are all around them),
-Qualitative research may also be used to help understand findings of quantitative research.(for example, it is easy to discover that some patients fail to keep appointments at outpatient clinics (quantitative) but uncovering the reasons for this can be difficult because conventional surveys may miss some important facts about the behaviour of these patients),

Based on the strengths of carrying qualitative research as explained above, qualitative research was the research method of choice for this thesis as according to Klenke (2008:51) "Qualitative methods produce a wealth of detailed data about a small number of people and cases, they provide depth and detailed data through quotation and careful description of situations events, interactions and observable behaviours." In carrying out this research, there is a great desire to extrapolate huge data from a purposive sample of 26 informants. Thus such data can be generated through in-depth interviews inquiry, observation, documents, photos and video shots (Devetak, Glazar & Vogrinc 2010:78). The method for analysing these data are those mostly suited to qualitative data so this method is deemed to be the most appropriate more so when one considers that the aim of the research is to understand the way teachers understand the implementation of performance management in schools.

This study seeks to find out the peculiar and personal experiences that the selected informants have, so qualitative research was the preferred method to elicit these experiences and still make the experiences relate to the sample of people being studied. The primary purpose is to try and gather data that provides the 'emic' (insider view) of the sample being studied as opposed to the 'etic' (outsider view) quantitative research. Through the use of qualitative research, participants' views on the challenges on implementing performance management, their fears and frustrations and emotions

about this programme will be captured in the data. As informants are allowed to give unrestricted information to questions they will answer during the interview, an opportunity to collect detailed data as is practically possible and academically relevant to the understanding of performance is made possible.

According to Lincoln and Guba (1985:106), in recent years, strong pressures against quantification of research findings have started to emerge." By choosing to do a qualitative study as opposed to quantitative research, the researcher stands to be able to collect as much data as possible without glossing over the much sought after thick data that results in rich description of phenomenon. The other reason for choosing qualitative research as opposed to any other method is because it has the ability to situate and extrapolate responses from informants in a context specific situation.

4.3.3 ETHICAL ISSUES PERTAINING TO THIS STUDY.

The researcher adhered to all ethical requirements specified when human subjects are involved. These ethical expectations were met by getting a clearance letter from the North West University's ethics committee before the researcher went to interface with informants. The ethical points that were observed in this research are:

-The golden rule of treating the informants was as one would want to be treated... (Myers 2009:46 and Creswell 2007:141).

-Honesty –the researcher was honest with the informants, they were not tricked into participating on the research through unethical means, and the stock of knowledge this study generated was acknowledge accordingly. (Myers 2009:47).

-Informed consent procedures of informants were upheld. Creswell (2007:141) recommends that the researcher obtain written consent by each of the informants prior to their involvement in the study. In this study, written consent was sought from each of the twenty-six informants by having them sign an informed consent form, and they retained the right not to continue providing information if they felt at any given time that they did not feel like continuing with the interviews.

-Confidentiality towards participants was maintained and no part of this research was published without the authorisation by the informants, actually, informants were assured that the information was to be used for study purposes only. Pseudo names *(identifiers)* were used instead of real names so as to protect the privacy of informants.

-Benefits of this research especially towards the participants were out lined and credit for their participation was acknowledged.

4.3.4 LIMITATIONS OF THE STUDY

This section outlines the limitations of this study as it is carried out under the qualitative research methodology.

4.3.5.1. METHODOLOGICAL LIMITATIONS OF QUALITATIVE RESEARCH.

There is no research method that is a complete fool proof, or only has strengths and has no weaknesses. Despite all the chronicled strengths of qualitative research methods, Creswell (2008:107) suggests that “Researchers also advance limitations or weaknesses of their study that may have affected their results.” These limitations are potential weaknesses or problems that the study encounters and have been observed by the researcher as militating against the smooth running of the research and might lead to compromising the quality of the results. Creswell (2008:107) persuades every researcher so the “These weaknesses or problems are enumerated one by one, and they often relate to inadequate measures of variables, loss or lack of participants ,of small sample size, error in measurement and other factors typically related to data collection and analysis.”

Identification of these limitations are important in the area of research because as researchers create and add to theory of knowledge through their scholarship they arouse the interest of other scholars and researchers in that area of research and as Creswell (2008:107) observed, “These limitations are useful to other potential researchers who may choose to conduct similar or replicate the study.” Another well noted advantage of acknowledging the limitations of your research is that those who read it may be able to judge the extent of generalizability of your findings to other people and situations. However, it is important to note that the purpose of qualitative research is not to produce data that can be generalized to other situations because they are used to get thick and rich descriptions of phenomena that obtain in specific situations according to the sample studied in a particular environment.

The limitations of qualitative studies may be given as follows;

-Findings from this research may not be generalised to other populations or samples that are in situations and environments different to the one in which this particular study was done,

-The purposive sampling technique used to identify and locate sites and participants for this study may not have people that have the high level of expertise and knowledge through academic or professional training in the area of performance management implementation.

4.3.4.1 Limitations of this research study.

-**The time factor:** Thesis studies operate in given and fixed time frames for completion so that they findings might be presented for evaluation , thus the researcher may not find enough time to make follow up interviews or to mop up the data by cross checking ambiguous data sets from both the interviews and document sources.

-The cost factor: Carrying out a research thesis is a very costly adventure. The cost of purchasing the equipment required for audio-data capture, travelling to the different sites in order to interview participants or to examine documents transcription costs and editing may be too high for the researcher. Though the researcher will try to ensure that the quality of the research and its findings are not compromised, these factor will somehow have effects on the research process.

This research was pursued as qualitative research despite the weaknesses outlined above. One of the reasons for sticking with qualitative research were not mainly to enable the inquirer to generate findings that can be generalized to other populations and samples, but brought out vivid descriptions of phenomenon as it obtained in a specific situation. This stance to research was supported by Creswell (2008:13) who argued that “In qualitative research the intent is not to generalize to a population, but to develop an in depth exploration of a central phenomenon. Thus, to best understand the phenomenon, the qualitative researcher purposefully or intentionally selects individuals and sites.”

The distinction between quantitative random sampling and qualitative purposeful stratified sampling is important at this point. When carrying out quantitative research,

the enquirer focused on stratified purposive sampling and the data gathered was generalized to the population from which the sample was drawn. However, qualitative research focus on purposive sampling that ensures that the sampled sites or individuals can provide research data that are able to give the best understanding of the people or site and subsequently lead to information that allowed individuals to learn the phenomenon or as Creswell (2008:213) put it, to enhance "an understanding that provides voice to individuals who may not be heard otherwise."

4.4 POPULATION

In a research study, the population can be viewed as that which is the unit of analysis. It may involve institutions, buildings, or groups of professionals. According to Creswell (2007:151) a population was a group of individuals who had the same characteristics, for example all the teachers made up of teachers and administrators.

4.4.1 SAMPLE SIZE.

The population of education personnel in the research site was very high, and was made up of different variables. The obvious characteristics for this population are that it comprises both male and female educators, deputy school heads and school heads. Creswell (2007:152) identifies a sample "...as a subgroup of the target population that the research planned to study..." These individuals were quite many such that if the researcher was doing quantitative research it was going to be almost impossible to come up with a sample. Creswell (2007: 217) argues that it is typical in qualitative research to study a few individuals because the overall aim of the researcher was to provide an in-depth picture present in a specific site or of the individuals. Creswell (2007) suggests a number range between 1 individual to 40 people. It is therefore advisable that collecting qualitative data and analysing it takes considerable time and the increased number of participants in the sample or site only lengthens that time. For purposes of this study, the researcher involved participant shown below:

Table 4: SUMMARY OF PATICIPANTS BY TYPE/QUALIFICATIONS/EXPERIENCE.

GROUP TYPE	QUALIFICATIONS	YEARS OF	NUMBER AND DATA

		EXPERIENCE	COLLECTION METHODS
MINISTRY OF EDUCATION OFFICIALS(provincial and district personnel)	A MINIMUM OF A MASTERS DEGREE	A MINIMUM OF 12 YEARS IN POST/ SERVICE TO 1999	**2** (deputy provincial education director)(INTERVIEW) **3** (district education officials)INTERVIEWS)
SCHOOL HEADS	A MINIMUM OF A FIRST DEGREE	AS GIVEN ABOVE	**5** (in-depth INTERVIEWS)
TEACHER	MINMUM OF A FIRST DEGREE	AS GIVEN ABOVE	**5** (INTERVIEWS) Focus group 6members Focus group 5
TOTAL NUMBER	**NIL**	**NIL**	**N =26**

SOURCE: Author's own thought.

4.4.2 SAMPLING TECHNIQUE.

This research will employ the non-probability sampling method. Non probability sampling is the sampling technique in which samples are selected in some way not suggested by probability theory. It is a sampling technique common to qualitative research whereby the researcher uses his/her judgement to select a sample (Saumure & Given, 2008:562). This research will employ the purposive sampling technique which according to Saumure and Given (2008:562) refers to a process where participants are selected because they meet criteria that have been predetermined by the researcher as relevant to addressing the research question.

According to Johnson & Christensen (2008:239), "In purposive sampling (sometimes called judgemental sampling) the research specifies the characteristics of a population

of interest and then tries to locate individuals who have those characteristics." The purpose of qualitative research as suggested by Mayan (2009:61) is to understand the phenomenon of interest in-depth. Thus according to Mayan (2009) qualitative inquiry depends on samples selected purposefully, a practice that can be applied not only to people, but also when choosing documents images and so on. In this research the population of interest includes teachers, deputy school heads and school heads in Manicaland province who were in substantive posts by 2001 and underwent the performance management training programmes (courses) run by the Public Service Commission (PSC) and the Ministry of Education Sport and Culture as preparation to the smooth implementation of performance management in education. Examples include reliance on available subjects as well as purposive (judgemental), snowball and quota sampling", (Babbie, 2008:203). Creswell (2007:214, 216), Clark and Creswell (2008;200) and Silverman (2010:141) further defined purposive sampling as a type of sampling in which, "particular settings, persons or events were deliberately selected for the important information they provided could not be achieved from other choices".

Purposive stratified sampling was generally guided by time available for the research and the quality and quality of resources that an individual researcher has to carry out a particular study. Several other authors have (for example, Kuzel, 1992; LeCompte & Preissle, 1993; Miles & Huberman, 1994; Patton, 2000) have also presented various typologies of purposive sampling techniques. However, this study used purposive/ stratified sampling. Purposive stratified sampling rely on selecting a sample on the basis of knowledge of a population, its elements, and the purpose of the study. Even though purposive sampling has its own strengths, its major weakness was that just like any other non-random sampling methods, the data generated from such samples could not be generalised to any other population.

4.4.3 SAMPLE SIZE IN QUALITATIVE STUDIES.

This qualitative study aimed to collect rich data by engaging participants in extended interviews. As such, the size of the sample was not very important, what was very important was the depth of the data gathered through such a process. Because qualitative researchers are more interested in unearthing data according to the lens of the participants, this study attempted to study the phenomena of performance

management by working with a group of 26 participants in quantities specified in the table above.

4.5 DATA COLLECTION METHODS FOR THE THESIS.

Data for this research has been collected through three methods, namely, in-depth interviews, focus group interviews and document study. A brief description of each of the three data collection techniques is given below and the justification for each of these methods will be provided. These three techniques are used to triangulate data so as to increase its reliability and validity. Creswell (2008:213) postulates that, “In qualitative research, we identify our participants and research sites based on places and people that can help us understand our central phenomenon.” Thus, greater access to the research sites was inevitable because the data for this research was collected through interacting with informants in by talking to them and recording their responses.

As qualitative research relied on generating data through processes such as interviews and from documents ... “participants’ views were not restricted, therefore the use of a few open ended questions was preferred, the responses were are recorded on a digital voice recorder.” (Creswell, 2008:213). This study engaged 26 participants from the research site (province).

4.5.1 In-Depth Interviews.

Today’s’ world is dominated by the use of interviewing when it comes to generation of information. The mass media, human service, providers, and researchers increasingly generate data by interviewing (Holstein and Gubrium 2004). According to Holstein and Gubrium (2004:140) it is estimated that 90 per cent of social science investigations use interviews in one way or another to gather data. Thus interviewing is undoubtedly the most widely used technique for conducting social inquiry.

In this study, the researcher employs the in-depth interview technique to collect data from participants. In-depth interviews been carried out in order to collect data based on individual experiences, beliefs and behaviours in the process of implementation of the current performance management system in schools. The in-depth interviews are be utilized to identify themes and higher order patterns in the phenomenon being

investigated (Schensul, 2008:524). The argument in favour of qualitative research (interview research) is that it operates from the perspective that knowledge is situated and contextual, Flick (2002:61) and therefore the purpose of the interview is to ensure that relevant contexts are brought into focus so that the situated knowledge can be produced. Flick (2002: ibid) further asserts the assumption that data and knowledge are constructed through dialogic (and other) interaction during the interview. Some researchers and authors would agree that knowledge is at the very least reconstructed, rather than facts simply being reported in interview settings. As observed by Flick (2002:63), in this perspective, meanings and understandings are created in an interaction, which is effectively a co-production of knowledge involving the researcher and interviewees. Thus, qualitative interviewing (in-depth, semi-structured or loosely structured forms of interviewing) therefore, tends to be seen as involving the construction or reconstruction of knowledge more than the exaction of it (Mason, 2002; Kvale, 1996:3). Therefore, in the study of performance management in Zimbabwean schools, the in-depth interviews are one method of gathering data that this study employed to gather data.

The qualitative research interviews take place when the researcher asks informants some question in a one-on one-situation. This process is defined by Maree (2007:87) as"...a two way conversation in which the interviewer asks the participant questions to collect data and to learn about the ideas beliefs, views, opinions and behaviours of the participant. Maree (2007:87) further argues that; "The main aim of qualitative interviews is to see the world through the eyes of the participant, and he observes that participants can be a valuable source of information, provided they are used correctly. The aim is always to obtain rich descriptive data that would help one to understand the participants' construction of knowledge and social reality." On the other hand, Johnson and Christensen (2008:207) observe that, "Qualitative interviews consist of open- ended questions and provide qualitative data".

Qualitative interviews (also called in-depth interviews) were chosen to collect data for this study because they can be used to obtain in-depth information about participant's thoughts, beliefs, knowledge, reasoning, motivation and feelings about the topic. Recent observations by Copp (2008:250) suggest that emotions provide critical resources for data collection because it allows the researcher to examine participants' situated emotions. The increased significance of emotions in qualitative research is further

highlighted in the data analysis stage of the research and Copp (2008:250) proposes that the emotional responses offered by respondents can be turned into a source of data that would help the researcher to gain greater understanding of their research participants and the research process itself. The in-depth interview technique was used in this research because it provided the researcher with in-depth information on the topic of performance management implementation without predetermining the results (Cook, 2008: 425). Qualitative research therefore, allows the researcher to enter into the inner world of participants to find out more about their excitement, frustrations, suspicions and fears about the performance management system that is currently being implemented in Zimbabwean schools. This enabled the researcher gain an understanding of the participants' perspective on the strategy for the implementation of the performance management system can be developed effectively. The interviewer established trust and rapport to make it easy for each interviewee to provide information about his/her inner world" (Johnson & Christensen, 2008:207). Any research endeavour is to generate data that is reliable and valid, thus, to that end keys to successful interviewing that were advanced by authoritative scholars on qualitative interviewing will be followed. Maree (2007:88) suggests that for any interview to be successful the following have to be observed;

-Find the right persons who are best qualified in terms of your research questions to provide the information required.

-Tell the person being interviewed what the aim of the study is and what information you want to gather from them. It is important to verify that they are willing to be interviewed.

-Since the aim is to collect rich and detailed descriptive data on the phenomenon being studied and to saturate your data, the use of interim data analysis is will help one to determine if this has been achieved.

-The questioning strategy is virtually important; there is great need to avoid questions which participants may respond to by giving "Yes" or "No" as answers.

-The type of questions asked are an important aspect of the interview, thus, in that regard there is an need to include a variety of questions ranging from say , experience questions to opinion and value questions.

4.5.2 Focus Groups Interviews.

Focus group interviews form the second method used to collect data from teacher respondents. Great care was taken in the selection of focus group members to avoid

confusion as advised by Barbour (2009:2). Although Silverman (2010:131) suggests focus groups tend to create artificial research environments this data collection method was chosen because they excel at providing insights into qualitative research process and public discourses. The strength of focus groups is in allowing individuals express different views from those expressed in one-on one interview which are regarded as more “private” views (Smithson, 2000, in Barbour, 2009:47). Focus groups also excel at allowing the researcher to study the process of attitude formation (Barbour, 2009:31) which one of the aims of the research and help us understand why implementation of performance management has met challenges in its implementation. The focus groups method involve lengthy and in-depth consideration of open-ended questions, have the capacity to reflect issues and concerns that are salient to participants regarding the research topic, it has been inevitable to over-look them as a method for data collection.

An advantage of the focus group interviews as a data gathering tool is that it occurs in a more “naturalistic” way than interviews and is closer to everyday conversation and typically includes a range of communicative processes that are superior to those that occur in interviews (Wilkinson, 2004:180). The focus group interviews are believed to be a dynamic way of gathering data as it allows participants to debate, and (*sometimes*) disagree about key issues and this ensures the collection of “rich” data. Wilkinson (2004:180) posits that the group interactions of the focus groups itself allows respondents to react to, and build upon the responses of other group members, thereby creating a synergic effect which leads to generation of elaborate accounts on the phenomena than those generated by individual interviews. The expertise will be used to directing discussion to elicit from participants what Bloor, Frankland, Thomas and Robson (2001:6) term a “...concentrated and detailed information on the area of group life which is occasionally, briefly and allusively available to the ethnographer over months and years of fieldwork.

4.5.3 Documents as Sources of Data in Qualitative Research.

The research engaged documents as a data source. Documents are a key and valuable source of scientific data in qualitative research (Prior, 2008:230). The use and analysis of documents as sources information is a major method of social research and one which many qualitative researchers see as meaningful and appropriate in the context of their research strategy.

Creswell (2008:230) explains that “Documents consists of public and private records that the qualitative researchers obtain about a site or participants in a study, and they can be newspapers, minutes of meeting, personal journals and letters.” Wholff 2004b cited in Flick (2006:246) provides a more conclusive definition and describes documents as “...standardized artefacts in so far as they typically occur in particular formats: as notes, case reports, contracts, drafts, death certificates, remarks, diaries, statistics, annual reports, judgements, letters or expert opinions.” These documents may further be classified as private or public/ primary or secondary documents but both these sets of documents represent a good source for text (word) data for a qualitative research (Schensul, 2008:232). Prior (2003:2) puts forward a the fact that “If we are to get to grips with nature of documents then we have to move away from a consideration of them as stable, static and pre-defined artefacts. Instead we must consider them in terms of fields, frames and networks of action”.

In this study, document analysis of government publications relating to the introduction of performance management in education, policy guidelines and statutory instruments (S.I), were used and built into the literature study, and later referred to in the analysis section for clarity of interpretation in the performance management implementation process.

4.5.4 Observation as a Data Gathering Tool

According to Creswell (2009:3) qualitative research is a situated activity that locates the observer in the world. Thus, qualitative researchers turn the world in a series of representations, including field notes, interviews, conversations, photographs, recording and memos to the self. In this research the researcher made observations on how the performance management process is implemented because the time data was collected coincided with the period of final appraisal ratings so the information given by respondents were emotionally charged because they were at the time of data collection, experiencing frustrations with the system. Creswell (2009:221) defines observation as the process of gathering open-ended first-hand information by observing people and places at the research site. Observations give the researcher an opportunity to study actual behaviour and to study individuals who may have difficulty verbalizing their ideas.

4.5.5 The Development Of Rigour In Qualitative Research

Alternative methods of research gaining prominence in the 1980s, coupled with the resistance to embracing qualitative methodology as a credible research pathway, early proponents of qualitative methodology looked for ways to make it more acceptable on the research methodology landscape. The development of evaluative criteria by various scholars such as Lincoln and Lincoln (1981, 1985), Maxwell (1992), Leininger, (1994), Popay, Rogers, and Shirley (2000) enabled the acceptance of qualitative methodology. The criteria developed by Lincoln and Guba (1985) on naturalistic inquiry was followed because it t informs qualitative research of the interpretive paradigm adopted for this study. Thus, the evaluative criteria developed by Guba and Lincoln (1985) in Trochim (2006) were applied to ensure rigour/ trustworthiness in this research.

TABLE:5 COMPARATIVE CRITERIA FOR JUDGING QUANTITATIVE AND QUALITATIVE RESEARCH.

Traditional Criteria for Judging Qualitative Research	**Alternative Criteria for Judging Qualitative Research**
Internal validity	Credibility
External validity	Transferability
Reliability	Dependability
Objectivity	Confirmability

SOURCE: TROCHIM, M. K (2006). Retrieved from http://www.socialresearchmethods.net/kb/qualval.php accessed on 12/05/2011.

The researcher ensured rigour and trustworthiness of the research results by subjecting the research process to the criteria developed by Lincoln and Guba (1985) as summarised on the right side of Table 2 above.

4.5.6 Trustworthiness *(Applicability)* of Data to Other Research Studies.

The trustworthiness of qualitative research has always been questioned by positivists, based on the understanding that their concepts of validity and reliability cannot be addressed in the same breadth in naturalistic research approaches. The aim of

trustworthiness in a qualitative inquiry is to support the argument that the inquiry's findings were "worth paying attention to" (Lincoln and Guba, 1985:290). Silverman (2000), Fenton & Mazulewicz (2008) have demonstrated how qualitative researchers can incorporate measures that deal with these issues, and investigators such as Pitts (1994) have attempted to respond directly to the issues of validity and reliability in their own qualitative studies. Lincoln and Guba (1981; 1985) assert that trustworthiness involves establishing constructs that correspond to the criteria employed by the positivist investigator and these are:

a) Credibility (in preference to internal validity);

b) Transferability (in preference to external validity/generalizability);

c) Dependability (in preference to reliability); and

c) Conformability, (in preference to objectivity) of the research.

4.5.7 Credibility of the Study.

Credibility deals with the confidence in the truth of the findings. Polit and Hungler (1999) in Graneheim and Lundman (2003:110) assert that credibility deals with the focus of the research. It further refers to the confidence in how well data and processes of analysis address the intended focus. This study addressed credibility issues in through the way it is structured and focused. The selection of content covered by the study (implementation of performance management in schools in a province of Zimbabwe), selection of participants that included a highly experienced heterogeneous sample of educators who were seasoned practitioners at the time performance management was adopted by the MoESAC and the approaches to gathering data all made the research collect credible data. Thus, the research was credibility in the way participants were chosen for the study. These participants had various length of time in education therefore increased the possibility of participants shedding adequate light on the research question from a variety of aspects (Graneheim and Lundman (2003) Interviewing participants of varying ages, both male and female participants, indifferent strata and positions of responsibility such as class teachers and qualifications ranging from a Bachelor's Degree, to some that were working towards a second Master's degree. HODs, deputy head teachers and head teachers, helped address the issue of

credibility of the research with different perspectives on performance management implementation contributed to a richer variation of the phenomena under study. The study participants also included highly experienced District Education Officers (managers/directors) and two Deputy Provincial Education Directors, (DPEDs). Trochim (2006) concur with Lincoln and Guba and asserted that the credibility criterion for qualitative research involves establishing that the results are credible or believable from the perspective of the participants in the research. From this perspective, the purpose of qualitative research is to describe or seek to understand the phenomena of interest through the participant's eyes. Another critical way of ensuring credibility was in the way data was processed. Graneheim and Lundman (2003:100) another issue for achieving credibility was the selection of the most suitable meaning unit. While meaning can be lost during the condensation and abstraction process (Graneheim and Lundman, 2003) how meaning condensation and abstractions were made facilitated credibility. In this regard, credibility was addressed through the following measures;

-Verbatim quotes were used to minimize loss of meaning of the data

-Themes and categories were developed from the data

-Agreement of data between research participants and research experts were sought in discussing and presenting the data.

In addressing the transferability construct the research showed that the findings of this particular study have applicability to similar studies carried out in different environments (be it economic, social, political, or technological) from other countries.

From the standpoint of the qualitative research perspective, Trochim (2006) contends that the transferability perspective is the primary responsibility of the one doing the generalizing (that is, one reading the research document). Thus, an explicit description the research context and the assumptions that were central to the research are important so that the person who wishes to "transfer" the results to a different context may be responsible for making judgement of how sensible the transfer is.

Dependability has to do with showing that the findings are consistent and could be repeated. Trochim (2006) argues that the idea of dependability emphasizes the need for the researcher to account for the ever changing contexts within which the research occurs. The research is responsible for describing the changes that occur in the setting and how these affected the research approached in the study. Guba (1985:299) argues

that dependability “seeks means for taking into account both factors of instability and factors of phenomenal or design induced changes”, that is the degree to which data change over time and alterations made in the researcher’s decisions during the analysis process. In the research was extensive, Employment of “overlapping methods” for the collection of data, complementarity was achieved through the use of in-depth studies and focus group interviews. Also, the in-depth description of methods to allow the study to be replicable was given. The operational detail of data gathering addressed the minutiae of what was done in the field (Shenton, 2004:71). In-depth methodological description was done in order to allow study to be repeated methods to be repeated by other researchers.

4.5.8 Confirmability *(Neutrality*) In This Qualitative Study.

Confirmability refers to “the extent to which the characteristics of data as posited by the researcher can be confirmed by others who read or reviews the research results” (Bradley, 1993: 437). It speaks to the degree of neutrality or the extent to which the findings of a study are shaped by the respondents’ responses and not the bias of the researcher, the researchers’ motivations or interests. It also refers to the degree to which the research results can be corroborated or confirmed by other researchers. Trochim (2006) identifies strategies that can be adopted to enhance. In this study, confirmability was achieved by checking and re-checking the data throughout the study (Trochim, 2006) and taking the devil’s advocate stance will be able to describe negative instances that contradict prior observations. The researcher took steps to demonstrate that findings emerge from the data (Shenton 2004:63) and not his own predispositions (Shenton, 2004:63) by including verbatim quotes from data to ensure internal coherence of the research product, namely, the data, and the findings. Lincoln and Guba (1985) argue that confirmability refers to a measure of how well the inquiry’s findings are supported by the data collected

Cohen and Crabtree (2003) citing Lincoln and Guba (1985) describe a series of techniques that are used to conduct qualitative research that achieves the criteria outlined above, and this study enhanced credibility through prolonged engagement with respondents by collecting data over a period of four months (October 2011-January 2012).This enabled the researcher to spend sufficient time in the field to learn and understand the social settings in which performance management occur in schools and

how the school heads and teachers interact with each other in the process. The development of rapport and trust facilitated understanding and co-construction of meaning between researcher and members of the research setting.

The research acquired a variety of perspectives on the study, a triangulation approach was adopted. Triangulation of data collection methods was also done (focus groups, in-depth interviews and document study) in this study so as to ensure the authenticity of the findings.

Triangulation meant the attempt to get a true fix on a situation or phenomena by combining different ways of looking at it (method triangulation) or different findings (data triangulation), (Silverman, 2010:277). Triangulation of methods (interviews of 5 senior headmasters, 5 senior educators, preferably with over 10 years of experience on performance management implementation, focus group interviews (split into two groups for each of the categories given above, and collection of documents) " ...were employed in this study to elicit information from participants", (Silverman, 2010:133).

Data "triangulation" was done to produce the authentic, trustworthy findings, (Barbour, 2009:46; Silverman, 2010:133). Triangulation was achieved by examining where the different data establish where data converged. Thus, in this research, triangulation was used to corroborate or confirm results produced by using different methods; hence, qualitative research thrives analytically on these differences and discrepancies to authenticate its data, (Barbour, 2009:47). Data was collected through in-depth interviews, focus group interviews and document study. Transferability of this study was enhanced through the thick description of responses as provided by the respondents as an appendix of the sample of audio data, (Fenton & Mazulewicz, 2008:2). Triangulation reduced the effect of investigator bias on the research (Shenton, 2004:13) as follows:

-Admission of researcher's beliefs and assumptions

-Recognition of shortcomings in study's methods and their potential effects

-In-depth methodological description allowed the integrity of research results to be scrutinized.

4.5.9 Reliability *(Dependability)* of Data in This Qualitative Study.

Though the concept of reliability is generally identified with quantitative research, in qualitative studies "reliability" refers to how a good qualitative study can help the researcher and readers "understand a situation that would otherwise be enigmatic or confusing" (Eisner, 1991:58). Stenbacka (2001:551) posit that while quantitative researches choose to comply with reliability with a purpose of explaining a phenomenon. In qualitative research, reliability has a purpose of generating understanding on a phenomenon. Patton (2010), stated that reliability is one of the two factors which any qualitative researcher should be concerned about when designing a study, analysing results and judging the quality of the study. This directly relates to the question on "...how an inquirer can persuade his or her audiences that the research findings of their enquiry are worth paying attention to?" (Lincoln & Guba, 1985:290).The reliability of this qualitative study is judged according to qualitative terms of Credibility, Confirmability *(Neutrality)* Dependability *(Consistency)* and Transferability *(Applicability)* as discussed below.

4.5.10 CREDIBILITY OF THE QUALITATATIVE STUDY.

Lincoln and Guba (1985) propose evaluating interpretive research work on the basis of adequate representation of the constructs of the social world under the study and credibility as an evaluation of the data drawn from participants' responses (Lincoln ad Guba, 1985:296). Lincoln and Guba (1985) recommended a set of activities that would help improve credibility of any research results through prolonged engagement in the field, persistent observation, triangulation, checking interpretations against raw data. In order to improve the credibility of qualitative content analysis, the researchers data collection strategies were adequately transparent for coding and drawing conclusions from the raw data (Zhang and Wildemuth, n/d:6).

4.5.11 Dependability (Consistency) of This Study.

The criterion is difficult to measure and ensure. Dependability refers to how a research strives to enable future investigators of the same phenomena to repeat the study (Shenton, 2004:63). Dependability also refers to "an assessment of the quality of the integrated processes of data collection, data analysis, and theory generation" (Fenton & Mazulewicz, 2008:1). The dependability criterion is determined by checking internal

coherence of the research product, namely, the data, the findings and the interpretations that were arrived at by the study.

TABLE: 6. Summary of research methodology

DESIGN	**QUALITATIVE RESEARCH METHODOLOGY**
POPULATION	Teachers, school heads, District education Officers and Deputy Provincial Education Officers in the study Province.
SAMPLING TECHNIQUE	**Purposive sampling criteria.** 2 Deputy Provincial Education Directors 3 District Education Officers 5 school heads with a minimum qualification of a bachelors' degree. 5 teachers with a minimum of qualification of a bachelors' degree. 6 teachers focus group 1 5 teachers focus group 2
DATA COLLECTION	ONE-on–ONE in-depth interview recorded on a digital voice recorder. -Focus group interviews recorded on digital voice recorder -Documents on the implementation of performance management.
DATA ANALYSIS	Qualitative data analysis using manual thematic techniques.

4.6 DATA ANALYSIS, INTERPRETATION AND PRESENTATION.

Data were presented qualitatively as narratives in the form of words developed around themes that emerge from the data that has been collected through various methods.

4.7 CHAPTER SUMMARY

This chapter attempted to give a blueprint which guides the various steps of this study as the research is implemented. What comprises qualitative research was identified and explained. It also gave a detailed description of the population, sample, sampling technique and sample size for the study. Data collection methods (strategies) were given, strengths/suitability of each data collection technique was discussed. An explanation and discussion on treatment of data was given. Chapter 5 focuses on analysing, presenting and the interpretation of data.

CHAPTER 5
DATA ANALYSIS AND INTERPRETATION

5.1 INTRODUCTION

This chapter deals with data analysis and interpretation thereof. Firstly a description of the population is given, followed by an explanation of the processes of identifying themes from the data. This is followed by the presentation and analysis of data linking the current findings with previous research in the area. The main aim of this chapter is to identify challenges to the implementation of performance management as seen by respondents. This will serve as a guide to identify strategies that may be implemented in order to make a success of the performance management exercise.

5.2 DATA ANALYSIS PROCESS

The constant comparison thematic content analysis (coding) which is the most common method of analysing qualitative data was followed (Leech and Onwuegbuzie, 2007). The researcher was interested in utilising the entire data sets to identify underlying themes presented through the data. Constant comparison was taken inductively (with codes emerging from the data).

The inductive approach to qualitative data analysis was followed and it involved analysing data with little or no predetermined theory, structure or framework (Burnard, Gill, Steward, Treasure and Chadwick, 2008). This approach was preferred for its comprehensiveness and ability to create thick descriptions from data which is the key characteristic of qualitative research. Though it is time consuming, it was the most suitable because there was little known about the study phenomenon in the geographical location of the study.

The whole process comprised the following steps;

- Transcribing tape recorded interview data verbatim
- Analysing transcripts (data was chunked into smaller meaningful parts)
- Discovering and identifying themes within those transcript data (each chunk was labelled with descriptive title or code, after that, the codes were grouped by similarity to build a theme/category)
- Gathering together examples of those themes from text.
- Making sense of data classified as colour themes for interpretation to provide descriptive accounts and provide explanations
- Researcher collected together the colour coded data which was in the form of phrases and statements from interviews as verbatim evidence for the phenomenon

5.3

5.4 IDENTIFICATION OF THEMES

The process of identification of themes was aided by the use of a code book (Kodish & Gittelsohn, 2011:54). The data was divided into brief codes describing the major idea or category of responses. The category was described fully and its use was described. The result of this process is presented in Table 7 below.

Table 7: A code book for analysis of data

A brief code	**Full description of the code**	**When to be used?**
1. The process of performance management and its purpose 1.1. Regulation, control and monitoring	Understanding performance management and its purpose	To explain participants' understanding of performance management and its purpose.

1.2. setting objectives and targets 1.3. checking teacher's work		
2. Challenges related to the appraisal instrument 2.1. Rigidity of the form 2.2. Purchasing of the form by the teacher or the school 2.3. Suitability for education 2.4. Timing of implementation 2.5. No relationship between ratings and learner performance	Challenges in the implementation of performance management	To explore perceptions of participants about challenges they experience in implementing performance management
3. Use of performance management information 3.1. Use of information from appraisals by the school and the higher authorities 3.2. Lack of feedback by district officials about appraisals 3.3. Used mostly for	Usefulness of performance management	Using the code to determine the benefits of implementing performance management

promotion purposes 3.4. No improvement in results		
4. Training issues 4.1. Lack of uniform understanding of performance management 4.2. Top down introduction of performance management 4.3. No refresher courses offered	Lack of training among implementers	To investigate the preparedness of implementers
5. Perceptions of implementers on their attitudes towards performance management 5.1. Laughter during interviews 5.2. Use of negative words in describing experiences	Attitude of implementers towards performance management	To find out whether participants had a positive or negative attitude towards performance management
6. Perceptions on factors hampering implementation	Factors hampering the implementation of Performance management	To explore factors that militates against successful implementation of performance management.

SOURCE: Author's own thought.

The process led to the identification of six major themes. The themes were identified from the code book whereby the full description of a code was taken as a theme. Care

was taken to match the identified themes with the objectives of the research (cf.par.1.6.1) Table 7 below presents the identified themes and sub themes:

Table 7: A code book for analysis of data

A brief code	**Full description of the code**	**When to be used?**
• Regulation, control and monitoring • Setting objectives and targets • Checking teacher's work	Understanding performance management and its purpose	To explain participants' understanding of performance management and its purpose.
2. Challenges related to the appraisal instrument 2.1. Rigidity of the form 2.2. Purchasing of the form by the teacher or the school 2.3. Suitability for education	Challenges related to the implementation of the appraisal instrument	To explore perceptions of participants about challenges they experience in implementing performance management
3. Perceptions on factors hampering implementation Lack of training	Factors hampering the implementation of Performance management	To explore factors that militates against successful implementation of performance management.
4. Use of performance information	Usefulness of performance management	Using the code to determine the benefits of implementing performance management

5. Perceptions of implementers on their attitudes towards performance management 5.1. Laughter during interviews 5.2. Use of negative words in describing experiences	Attitude of implementers towards performance management	

The process led to the identification of five themes. The themes were identified from the code book whereby the full description of a code was taken as a theme. Care was taken to match the identified themes with the objectives of the research (cf.par.1.6.1) Table 8 below presents the identified themes and sub themes:

5.4 EMPIRICAL EVIDENCE FROM INTERVIEWS

The next section presented the empirical evidence from the study as collected through the in-depth face to face interviews and the focus group interviews. The presentation of evidence followed a thematic approach build from the analysis of the data.

5.4.1. Understanding of performance management and its purpose

The responses from interviewees suggest that the different interviewee strata hold the understanding that the performance management process requires that either the supervisor, HOD and DEOs exercise their mandates to evaluate teacher performance. A respondent, who is an HOD, affirmed this understanding and mentioned that;

> *We will be looking at their scheme books, have they schemed the work they are supposed to deliver for the whole term and we also get into the classroom. We look (observe) how they will be delivering lessons, we also look at the work which is given to the students. We also look (engage) the teacher to see whether the teacher has challenges in delivering his or her work.*

The understanding on performance management in the Ministry of Education, Sports Arts and Culture is basically the same among school heads and DEOs as respondents echoed similar thoughts. One respondent, a school head [**SHII# I],** asserted that performance management mean:

The a*ssessment of potentials of skills in employee through employee performance employees*

According to these responses performance management can be used as a tool for the development of employee skills, knowledge and abilities so as enhance his/her capacity to execute his/her duties in the day to day life and secondly, performance management is a call for the establishment of accountability by teachers to the various stakeholders such as senior management [DEOs and DPEDs], parents [customers], politicians [The Minister of Education, Sports, Arts and Culture] to Government as a way of assuring taxpayers that their money was being put to good use] and prospective employers of the school systems products[the students].

Performance management was understood as a process to ascertain that work was done in schools. This was supported by the sentiment expressed by one respondent [DEOI#1].that…

> *the knowledge that work has to be measured [evaluated] keeps a person focussed on work therefore that ensures that work is done properly"*

One respondent supported this view by saying:

> *In our [performance management system] we have three reviews before we do the final rating, so at the end of each review period*

[three monthly intervals] the headmaster and the teacher will sit together to do reviews [SHI#5].

This understanding suggests that the school head must not arbitrarily assign marks to teachers, but points to the aspect of agreements and establishing consensus between supervisor and supervisee as key to coming up with performance evaluation scores. This perception of performance management breeds ownership of the performance management process by teachers themselves and if supported by provision of adequate resources, coaching, mentoring motivation and appropriate reward regimes will enhance the teachers' commitment to their work.

The question that arises is why the Ministry introduced performance management in the first place. The second facet to this theme centred on the perception of teachers on why in the first place. According to a DEO **[DEOI#1]** indicated that performance management it was adopted;

…after it had been realised that a lot of weaknesses and inefficiencies were occurring within the Ministry, so a form of measurement was designed so as to account for all [that] *happens within the ministry.* [There] *...was a lot of inefficiency, and eh people had to account for the work they do so as to account for value for money, eh…so a way was designed so that people's work would be measured and some kind of assessment be arrived at hence the birth of performance management*

A school head **[SHI#5]** agreed with the above opinion by saying

Generally there was a decline in the performance [of schools, teachers and learners] …so it was a way of helping teachers do their duties, what they are expected of. It was thought that teachers were not performing well their duties for various reasons of course, so it [performance management]was a measure put in place so teachers could perform to their expected level

The view of school heads show that they viewed the purpose of performance management as motivation for teachers and to ensure that teachers performed their duties as expected. The following express these ideas:

> *Motivating teachers! Motivating, encouraging, this one was supposed to be a system of motivating but if this thing [performance management] was then you see that if someone gets a three they would be satisfied because there is nothing that happens after you get a 4; 5 or 3 [SHI#2]*
>
> *Performance management is a way of measuring how the people are performing based on set goals they intent to achieve in a set time and during that period… [SHI#5]*
>
> *Performance management will give you [the headmaster] a picture of how [whether] a teacher performs over or under their expected level of output. [SHI#5]*

Not only did school heads think that performance management was to ensure that teachers performed their duties but also as a way of improving their work. According to respondent **4 [SHI#4]** performance management w*as* meant to help staff develop [heir teaching skills and also to enable supervisors to help teachers to develop professionally. *S*imilar thoughts were expressed by another interviewee who said:

> *Within [our] district we have panels for the different subjects where teachers meet and then staff-develop each other, but I wouldn't know whether they are doing it themselves from the ministry* [level] *after going through the forms.* [Here] *they do organise the workshops and panel workshops and we meet* [as] *the district schools and then tackle some of the problems in the schools **[ITI#3]***

In support of the above idea, a school head **[SH#5]** said:

> *I tend to think that it was introduced to try and improve performance, improve the results in terms of educational output. The core business by maybe identifying those key tasks that one has to do....in the education system*

Also confounding the lack of a common understanding on the purpose for which performance management was introduced in schools in schools was the response by teacher interviewee 5 [**ITI#5]** who alluded to the fact that, *"Initially I was thinking that perhaps it was for reward purposes, but later on I also learnt that it was for promotional purposes".* The respondent further expressed the understanding that:

> *If you are always following on your objectives and the Key Result Areas you would have prescribed yourself and always have that on paper, and always meeting deadlines, then you are in for promotion when the time arises. But in the past I thought it was for rewarding purposes although somehow you get rewarded but it's not what it should be.*

From the data gathered, respondents viewed the purpose of performance management as a tool for identifying good performers and rewarding them. According to **[FGI#2Res3],**

> *…the Public Service Commission intended to remunerate,…to give some kind of incentives to members who might have performed up to the required standards but because of the financial constraints it appears it ended up now failing to meet the promise.*

Another idea that emanated from this research was that performance management consisted of goal setting, target determination, formulation of objectives and standards to evaluate or establish the direction of effort exerted by the employees. The following excerpts of verbatim interviewee responses substantiate this understanding. School head 3 **[SHI# 3]** expressed the following opinion

> *The advantage with performance management is that you discuss the targets with your supervisor you agree…after some time you make a review, if you are unable to meet those targets you discuss why you are unable to achieve them"*

Expanding the same point on the understanding of performance management, a District Education Officer, **[DEOI#2]** espoused that;

Yah! It's more of a process where people have to agree on set targets, thus the supervisor and supervisee have to agree on targets. The supervisees have to perform the tasks towards the achievement of those targets whilst the supervisors monitor and review the performance".

Focus Group 2 in-depth interviewee #1,[FGI **2 #1]** expressed that;

What we have in schools is, is that, the KRAs [Key Result Areas] it's like we come up with common objectives, maybe as a school. We agree as a department, say I am the head of department, [we] then I agree with my members, [about the] various classes [subjects we teach], in terms of what have to be done, the amount of workload that has to be covered eh and so forth. Then when we have agreed on the objectives and the… we give each other some time frames. Usually it's a term over a term over which we have to assess whether there is any progress.

Teachers suggested that performance management was seen as a multipurpose activity in the management of education. This multi-purpose approach as the reasons for introducing performance management; one teacher **[ITI#5]** put it succinctly and said;

Initially I was thinking that perhaps it was for reward purposes, but later on I also learnt that it was for promotional purposes. If you are always following on your objectives and the Key Result Areas you would have prescribed yourself and always have that on paper, and always meeting deadlines, then you are in for promotional purposes when the time arises. But in the past I thought it was for rewarding purposes although somehow you get rewarded but it's not what it should be.

Respondents were even emotional about what they understood to be the purpose for the introduction of performance management in their schools and province at large. Respondent one in focus group one even interjected and said,[interjection]**FGI1#4]**

It was used for remote control. Meaning to say if you come up with some brands [goals], some time frames, some activities, you agree, you know that at the end of the day, my supervisor, my superior is expecting ten compositions per term, even if he is not there you would be forced to perform, so it is, the boss does not

have to be there all the time to see that you have performed up to expectations. So, that's what I am saying when I say remote control. You know that you have set some standards even if you are not there people are bound to perform [them].

According to focus group number two, respondent one concurred with the idea of performance management being used as a control tool. The respondent suggested that it was for monitoring and control purposes by saying,

The idea behind is [was] *to really see if the expectations of the ministry are met, possibly from grassroots level, that's the idea of it being put in place straight from the classroom being managed by the superiors of the classroom practitioner and works towards the achievement of the school* [goals] *which has to do with the academic achievement of the students To see if there is much if there isn't much shortfall of they are expected to have at a certain academic level and if there could be some improvement pertaining to that.[FGI#2Res1]*

In summarising the findings of this theme, it is noted that respondents expressed various views on their understanding of performance management and its purpose. Evidence from the interviews suggests that performance management was meant to motivate teachers, school heads and District Officers so that they could discharge their duties effectively. Another idea that emerges strongly from the interviews is that performance management was introduced because of declining standards in the Ministry and that it was an attempt to check the teacher's work, to develop them and remunerate good performance. Lastly, the information gathered through performance management was to be used to determine who gets promotion to the next higher level of responsibility.

5.4.4. Challenges with regard to the implementation on the appraisal instrument

It seemed right to divide this theme into two sub-themes because of the extent of the challenges experienced in the implementation of performance management: challenges

with regard to the instrument of performance management and challenges experienced by implementers of performance management.

A challenge that commonly arose from the interviews was that the instrument used was not suitable for use in schools. There were perceptions that the instrument was derived from industries and then imposed on the Ministry of Education, Sport, Arts and Culture. The adoption of the performance rating from industry resulted in performance metrics not experienced in education being taken as the standards for the rating of the performance of teachers. This resulted in teachers and other personnel in education being frustrated with the system. One respondent had this to say about this idea:

> *But I think I had a different feeling because in the industries they are looking at production as the end product, but in schools we are looking at the child and the pass rate as the end product. Because the teachers are able to evaluate themselves at the end of the day they look at the pupils' pass rate, make my pupils pass, so that's my achievement, and even in the industry they are also looking at production as the end product there. I think it's a very suitable tool. [Interjection, but I must defend myself there] [FGI#2Res 6]*

As pointed out earlier above, the instrument was developed for all public institutions without regard to the specific type of institution and did not cover performance metrics for specific ministries. it was a generic form so it ignored ministry specific activities that constituted the daily routines in such ministries. Furthermore, the evaluation instrument does not differentiate between different schools whether urban or rural, whether over-populated or not and whether the schools were well-resourced or not. A respondent from a focus group said:

> *So in other words we are saying we are using the same instrument to assess the officers who are at different institutions. I am looking at it from the colonial point of view, the period where we had colonial rule in this country, there were group A schools, there were group B schools, there were Upper tops and it appears that structure is still existing even if we are using different names. [FG#2Res2]*

It also emerged that the instrument used standards derived from well-resourced schools and is applied equally to low-resourced schools. Various comments from the respondents on this point were captured as follows:

> *If you look at school like school X, they enrol students with four or five units only* [these are high flyers] *and look at ourselves, we enrol everyone across the board, then we are assessed by the same instrument [FGI#1 Res#3].*

> *Standards here in town [schools] and standards in the bundu [rural areas] may not be the same. A school in town may have more resources… but in the rural areas they may have meagre resources. So coming to the KRAs I think such variations in terms of* [school] *location and resources must be looked into if we are to make the general outcome to be as good as general.[FGI#2Res1]*

> *To me there is a certain dark area which they do not explain, the nature, the type of school you see. We have different environments, like people in former group A schools and there are teachers in upper tops like ourselves they use the same instrument for us to be tested* [evaluated] *I think to me it's not very proper. The urban schools are may have* [enough] *resources but here* [rural school] *there are no resources to implement my duties diligently [FGI#1Res3]*

To emphasise the above views, especially on the design of the rating instrument, another respondent explained as follows:

> *When the government or the Ministry sets out some standards, they go to X College where there are fifteen students if not twenty five in a class, and then they say ok, for a pass of twenty five you need maybe so many numbers of compositions per term. The form does not take care of the differences we are simply saying all of you are going to rate you out of five. But we are saying then the form has to consider situational differences. Mine is a very difficult environment, I have one textbook for instance maybe for over sixty pupils. [FGI#2Res2]*

There were, however, differing views from the DEO about the suitability of the instrument for education. He pointed out that in the education sector, personnel was tasked to draw up suitable Key Results Areas (KRAs) that applied to the MoESAC.

> *Their task in the whole process is to try and identify KRAs that are appropriate to education....because some of the KRAs from the Public Service Commission would not really suit well in the teaching profession.*

However, another DEO [**DEOI#3}** defended the suitability of the instrument for use in the MoESAC by saying:

> *the Public Service Commission is the employer, and it takes all its employees in the same way, so education is no exception to that, [performance management was introduced by it] so when it is [was] cascaded, …our ministry adapted it and eh used it accordingly in that they do also [the], ah!, work out the various work plans with various [school] heads or teachers, and other employees and [had to] do as expected by the Public Service Commission.*

However, there seemed to be expressions of discounted among teachers and school heads, and DEOs over the performance evaluation instrument. One DEO respondent differed from the views expressed above by saying:

One DEO *[***DEOI#1]** interviewee said,

"*even our performance agreements which are prepared by the Provincial Office have not been very easy to adapt to teachers and I think efforts are still continuing to craft work areas that are measurable and suitable for teachers.*

In general respondents viewed the instrument as a very difficult instrument to work with. An **administrator [SH#2]** conceded that:

> *So our concern as administrators is that we are working very hard over a very difficult instrument which does not give any rewards and it is so difficult for the administrator as the appraise*

A respondent, who is a teacher, concurred with the above by saying:

> *I have seen my colleagues actually trying to fill in the form and then don't know what to write on that section so it's very difficult and I think those are some of the challenges, some of the aspects on the form are just difficult to fill' [ITI#6]*

The challenge also seemed to be incorporated in the calculations that have to be done by the ratees and raters at the end of the performance evaluation period. One respondent, a DEO said:

> *Another problem that has troubled us is the number calculations…those calculations are not easily understood and efforts are still being made to train our teachers to understand those aspects of measuring their performance"*

In summarising the findings on this theme, it is observed that there are two opposing views about the suitability of the instrument for education. The teachers in the education system, whose work is appraised by this instrument view the instrument as unsuitable for education, while those the higher echelons view the instrument from the Ministry as an example that has to be adapted to suit conditions in education. The latter view is supported by a respondent who observed that the form differs from district to district.

5.4.3. Factors hampering the implementation of performance management

Besides the challenges related to the instrument of performance management, respondents noted a number of impediments in the implementation of performance management. The experiences of the respondents point to the fact that the Ministry did not prepare adequately for the introduction of performance management. A surprising finding in this regard is that **schools and individuals should purchase the instrument themselves.** In an atmosphere where the economy is suffering, it is surprising that the Ministry can demand that from the teachers. One respondent, a school head said:

> *Availability of the PM instrument, in the past the ministry used to provide, but now they say schools must provide, then teachers argue that if the employer wants to asses performance using their instrument they must provide the instrument rather that say go and find the instrument [SHIRes#1]*

In support of this view, a respondent said

> *How can I buy a paper when there is no remuneration [laughter from interviewees] not stopping the programme as such, but the ministry has got provide the paper.* ***[FGI#1Res6]***

.Another respondent, a teacher, said:

> *I think since it is the instrument of the ministry of education that they want to assess the performance of their subordinates I think they must provide the… the forms feely. Yah! because in as far as the salaries of the teachers are concerned and you want to milk the-- out a dollar to buy those forms we are operating on very tight budgets these days I think if the ministry is really interested in assessing its subordinates they have to provide those forms freely so that we don't have the problem of procuring those forms [ITI#4].*

On this point a respondent, a school head, commented that:

> *Teachers were asked to buy them at a dollar for 4 while some people were selling it at dollar for 2…it's a challenge when the ministerial policy say complete this yet I would have to complete it having parted with my precious coin [SHI#4]*
>
> *At times there is a monetary challenge where probably people are supposed to buy this instrument, so when you want to gig out of your pocket to remove this little coin that is there to buy something, there again there is resistance [SHI#4]*

The provision of adequate resources in programme implementation is believed to be the key to whether the innovation succeeds or fails. As highlighted by Martinez (N/D) implementation of performance management systems demands considerable financial investment for them to succeed. O'Brien and Down (2002: 119) also argue that there are consequences in adopting new work practices that were inadequately resourced by government. In the implementation of performance management, teachers and other officials that work with the implementation of performance management highlighted the

need for appropriate stationery, technological issues and capacity for officials to be able to conduct on site sport checks to ensure success.

Respondents complained about **lack of resources** to implement performance management effectively. Responses from individual teachers' focus group respondents, school heads, DEOs and DPEDs suggested that the performance management programme was facing challenges because it lacked the necessary resources to guarantee its smooth implementation. A few verbatim responses from respondents indicate this view:

> *I think there might be shortage of resources to implement the programme like at a school you might not have the stationery in such a way that you cannot perform very well. Also the lack of qualified personnel within the school, eh! At a school non- qualified personnel may not be in picture really or rated on what s/he should, may not be able or required to do, s/he might not be able to meet the job demands description. [FGI#1Res1]*

> *Lack of resources is a problem and also probably the attitude of people such as the head [SHI#4]*

Lack of resources also presents a challenge for the district officials in monitoring implementation of performance management. Successful implementation of performance management depends on the ability of district officials to monitor schools by visiting them for guidance, staff development, training in the use of the instrument and carrying out class supervisions in the form of lesson observations. All these activities can only be done if the personnel tasked to do such activities have adequate financial, material and technological resources. A DPED SS state this challenge as follows:

> *One challenge I face as a DPED SS is that the people I supervise are in districts and to agree on the work plans we are supposed to agree at the station of the member...it has been difficult to visit.....so we call them to a central place and agree*

Another DPED said the following on this matter:

> *Monitoring and evaluation of the implementation of performance management has been difficult because we were short of vehicles, transport to visit schools.*

This finding from a research site in Zimbabwe were similar to findings to a research carried by O'Brien and Down (2002) in North Western Australia which concluded that lack of resources lead to newly adopted work practices failing to succeed.

It emerged from the empirical study that performance management **increased the workload of officers at schools, district and provincial level.** The increase in the workload was a surprising off-spring in the implementation of performance management. Whereas teachers and officials expected performance management to improve the core business of the school, teaching, but they found themselves faced with a lot of paperwork. Paperwork, according to Martinez (N/D) is time consuming. And as observed by O'Brien and Down (2002:120) the implementation of performance management in schools had created a situation where intrinsic values associated with teaching and learning were being marginalized in favour of managerial imperatives such as performance management which is linked to promotions. The teachers are supposed to fill three forms, coupled with schemes of work, registers that they feel they been reduced to secretaries. The following verbatim quotes illustrate this point:

> *Performance management eh I think a lot of teachers now see that as a lot of unnecessary paper work, ah in that it has to be done every year, the exercise has lost its original intention and meaning and there is a feeling that even what we write down on those forms nobody really up there is going to read all that staff [FGI#2Res2]*

> *I am not sure, when you look at the Ministry, look at the way they conduct or measure the performance of the teacher it boils down to paper work. If you don't have enough paperwork then you are said to be underperforming, because recently we had visits from the EOs from the province, if you can't produce something on paper, then they feel that you are not doing much. [TI#5]*

It is appearing as though it is just routine, it's not something exciting. The paperwork involved is just very cumbersome. It makes it difficult for people to enjoy writing those work plans… to sit and review those work plans. ***[ITI#]***

This finding is supported by findings by an Australian study by O'Brien and Down (2002:125) who expressed that teachers work was increasingly overwhelmed by 'paper warfare' a term they used to describe a diverse range of documentation related to management meetings, performance management and other forms of accountability associated with the culture of new managerialism, Thus, there is less time for kids.

The evidence from the interviews show that the implementation of performance management led to unfulfilled promises, prominent among these, was the failure of government to relate performance management with **monetary incentives** as promised. The view expressed is that it boils down to the point of remuneration, thus what happens at the end of the whole exercise has no bearing on the professional life of the teacher. When performance management was introduced in the Ministry of Education Sport Arts and Culture, the whole purpose was to create an image of the Public Service that was an employer of choice. For the Public Service to be the employer of choice meant that salaries had to be as competitive as those that were paid the employees of comparable qualification and experience who were in the private sector. The following verbatim quotations illustrate the view that the government failed to relate performance management to monetary rewards:

Besides measuring people's performance, performance appraisal and management must have another purpose which I think was to [about] monetary rewards… until that is …done people may not value performance management until its linked to some monetary rewards. [DEOI#1]

If its purpose was really implemented, the purpose of rewarding high achievers accordingly, if that had been implemented it perhaps would have been a very good instrument, but it was never implemented…that alone has rendered it not quite suitable [ITI#4]

In terms of monetary[benefits] none, and in terms of professional benefits I don't really see any in it because we just fill in forms year in year out and we do that it's more of a formality [ritual] than something that is enriching at a personal level [ITI5]

Well it goes down to the, to the original intention of the document, that they were supposed to ah to reward high performers and so on but then the resources are not there. [FGI#2Res3]

They were supposed to get a certain amount of money, a notch that never happened, and it's unlikely to happen in the near future because of our situation.

Evidence from interviewees suggested that the manner in which performance management was introduced has sort of contributed to its demise. To that effect, [after taking a deep breath, may be to show careful thought], DEOI#1 lamented that;

Performance management was a top-down thing or process whereby things are handed down to the lowest person [teacher] from above with very little explanation given to people at the lowest level, coupled with the half-hearted attempts by the leadership to implement it, eh that has made the whole idea of performance management loses its value" [DEO#1]

When asked for solutions to this identified challenge, the DEO said:

*That performance appraisal should start from the bottom, whereby the people at the bottom [teachers] identify their work areas and then identify the areas that they would like to be assessed and supervised on and then the supervisors really supervise [objectively carry out assessments], only then can performance appraisal be really effective.**[DEOI #1]***

The opinions of respondents centre on the idea that performance management is difficult to implement as there are a lot of impediments in the way of its implementation. Empirical data from the interviews suggest that the performance management implementation process is fraught with challenges. The findings of this sub-theme point out the following as impediments:

- schools and individuals should purchase the instrument themselves
- lack of resources
- increased the workload of officers at schools, district and provincial level
- Lack of monetary incentives
- Lack of constant supervision
- Performance management was a top-down process.

Usefulness of performance management

In this theme the analysed data answered to the question whether respondents derived any benefits from the performance management system. The system was introduced in order to improve the standard of education because the Ministry realised that its official were committing mistakes and that schools failed to deliver to give quality education. The success of any innovation can be judged by ascertaining the discrepancy between the intended performance and the actual outcomes. Programmes are instituted to achieve stated goals and objectives with the minimum possible resources This theme then analyses the responses in order to find out whether performance management attained its stated purpose.

According to the data of the interviews the ratings of the instrument do not reflect the ability of the teacher to teach. There is **no correlation between the ratings and learner performance.** Evaluation ranges from 1-5 but teachers rarely get 5 points.

There are case where 5 is allotted but when you look at their performance you wonder why 5 was given to that person. Members of the focus group 3 **[FGI#2Res3]** emphasised this point by saying:

> *The employer was saying probably we assumed that you were doing it properly and the four[4] you have given this person …means it's a good performer and the [Public] Service Commission is saying they can be eligible for promotion …and this is where the employer has come to realise and to say no we [teachers and officials are given scores of five [5]out of five [5]…but when you look at what they have been doing to try and see if there is a general improvement in that area [for example, results] sometimes it difficult to see.*

Another respondent, a DPSS put it as follows:

> *If you only emphasise on the paper work…you might be promoting somebody who might be writing something different from what he is doing… they actually give each other high ratings at they know it is not well in their stations.*

A further comment by a DPSS, illustrate that there no congruence between performance ratings and learner achievement:

> *The impact of performance management based on activities will be difficult to measure, because it is nit commensurate with the results like pass rate for instance, they are not closely related…so I want to lie. I will be really fabricating.to think of any percentage or so of improvement it's difficult. So* the *impact of performance management is not commensurate with the* results*.*

It is also to be noted that the **ratings do not do justice to the teaching ability of teachers.** A few verbatim quotes prove this point:

Honestly I don't think it's helping in any way as an instrument in measuring what we do [as teachers in the teaching /learning process] [ITI#4].

At the *end of the day we all get a four [4] the highflyers you get [4] the low flyers you get a four [4] … there is a mark you cannot award a* teacher*, and that's a five [5]… but for us who are highflyers we deserve such a mark [laughter* from focus group *participants] [FGI#2Res3]*

The feeling is that you are safer getting a four because you may be called to justify why you got a five or a hundred per cent and it *is even better not to get a two because you will know that they will be not after you… so when you get a four you… you are comfortable and you relax [laughter from group] [FGI#2Res4]*

Some school heads just wait and do it [performance appraisals] when the forms are needed at the District office in October, that is when they sit and do work plans, review and do final ratings all at one time [sitting] [SHI#5]

There is a tendency of allotting what respondents refer to as "safe marks". The following prove this point:

The feeling is that you are safer getting four because you may be called to justify why you got a five because you will know that they will not be after you....so when you get four you are comfortable and you relax [FGI#2RES 4].

For the final ratings we always give each other threes, fours [laughter from the focus group] not fives, not ones or zero. Three and four is the safe rating [laughter from group [FGI#1RES 1 and 2]

And at the end you find from the raw scores that people get a 4;4;4; so that you are trying to encourage people,…which shoes that what

is on the paper is too high, but the actual performance on the ground is low. [SHI#2]

At the end we will have people at the same level which is not very correct, because if it is 3,5 [you] round it off its four, if it's 3,99 you round it off its four, but there is a difference of effort, this *[difference] should be rewarded so that this 3,5 also raise the standard to 3.99 [SHI#2]*

There is a group you would feel if teachers were benefitting from it [performance management] would be getting far much better results. [SHI#2]

What we put on paper really is not what we do, but at the end of the day we evaluate it as if it would have been done [ITI#4]

The opinions of respondents indicate that there are no follow-ups at schools after the completion of the appraisal form and there are no consequences attached to performance management. Respondents doubted if the District Officials ever check the myriads of forms sent to their office because of shortage of staff. There is also a feeling that performance management is not a useful exercise because there are no follow-ups in schools and that the information from performance management is used selectively by the District Officials. On the point of checking the forms, respondents had this to say:

In fact the reality is that the forms no longer go anywhere at all what goes to the Ministry is the mark unless there is a special circumstance where somebody wants to apply for a higher post or whatever, then they might say we need this persons' forms otherwise the forms they no longer go anywhere.[FGI#2Res3]

Yes forms were made and we will be gathering dust as we speak because the bother does not justify the benefit [FGI#2Res4]

And for your own information we take this we bunch them in the headmaster's office, and they will be there, until we need to do our

reviews then we take them back from there. What they do with that we don't know and I doubt if they ever go through these papers. And also if it was useful, I don't think there was need to have a summary sheet. Where we write name [supplied] got this average mark and this other one got this mark full stop, but what you would have written, no one looks at it. [ITI#4]

There was a strong feeling among respondents that on one at the District Office ever takes time to look at the forms because whether you have rated 5 or 0 no benefits or punishment accrues out that. One respondent said:

You can be rated, but apparently those who have been rated ah may be five out of five, four out of five have not benefited anything tangible [compared to] those who have been rated zero [SH#5]

He or she further pointed out that:

At the district office I do not know if they are able to check the whole document, we have over 186 primary schools excluding secondary schools in the district. I do not know whether they will be able to go over each teacher's appraisal form because there is only one DEO and three Education Inspectors [EIs] and some clerks so I don't know how they do it. But I want to suspect that they do not go through each and every file [SHI#5]

Respondents held the opinion that **performance management was more useful at school level** as it was used for staff development. One respondent put it in this way:

Yah at school level we hold some sort of mini-seminars at departmental level, and challenges that are met say you are delivering your work, when one is supposes to mark, time allocated for marking an so on we look at the challenges which are actually encountered by eh teachers, then we can bring this further at a

higher level, say we may invite one of the administrative members to assist us how to perform our duties well

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In support of this opinion, one respondent, a teacher, said:

Yah we... we… do, we do at times when really see the need we actually staff develop ourselves for example if we say in the department we don't have somebody who is a marker, and we have somebody who is a marker in the school, we take time for that one to take time to staff develop others so that at the end of the day when we get into the classroom, we know what we are dealing with, because one way or the other you may be lacking in the area. So we do. [Teacher3]

A school head concurred with the above utterances by saying:

Teachers who are performing below standard we sit with them every Tuesday between 1:00 o'clock and 2:00 in staff development meeting that's where we help these teachers so they can catch up [SHI# 5]

Other respondents complained about **lack of feedback** from the District Office once the appraisal forms had been completed. The following are illustrative of this finding:

I would like to comment on information use, the problems once these forms the moment they are sent to the district office there is no feedback to us so I don't really think they are really serving their purpose, because the information we would want to hear to say improve on this or on that there is nothing coming from those offices [FGI#2Res3]

In a performance management process, it is expected that feedback and communication should come back to the teachers at schools from each of these offices. The process requires that meaning full feedback be given in order to appraise performance, motivate the teacher by highlighting strengths and providing

coaching and mentoring to weak performers so that they may be turned into formidable performers [FGI#1Res1].

The exercise has lost its original intention and meaning and there is a feeling that even what we write down on those forms nobody really up there is going to read the stuff. [FGI#2Res2]

Evidence respondents in this study show that **performance management is often misused by school heads** to punish those teachers that do not toe the line. This finding is supported as follows:

If used properly its suitable, but you can talk of certain circumstances whereby there are grudges between administration and members of staff [laughter from focus group] so some members may use that instrument to pin down or punish or whatever appropriate terms so in that manner, in that light it becomes improper and it loses its value.[FGI#1Res2]

One reason why the document may not be properly used or is being abused could be people fear conflict ah meanwhile in the schools we can say we are professionals, but some are more professional than others, and it could be that we have got cases that deserve one or two but authorities in some case discover it produces conflict and reconciliation may become difficult and once that results then the system can be derailed , it means other people may not cooperate anymore for whatever happens in the school, so administrators would like to avoid that as much as possible.[FGI#1Res2]

All is not gloomy about the usefulness of performance management. There are a few benefits that emerged from the interviews. Other respondents confirmed that there was some benefit of some sort with regard to the implementation of performance

management. Focus group members [FGII#3] confirmed that there were benefits in performance management as follows:

> *Those who have been rated high after appraisal, mm…I am talking of the lucky ones [there was laughter from the whole group] there are some who have benefitted on that one, but of course ah h… on a more important note ah…ah…it has sharpened the teachers' skill in planning and the performance or streamlining teachers towards a certain goal.*

Further support for the usefulness of performance management is as follows:

> *Like at the moment, performance management [scores] as has been said they [are] normally wanted at the time of promotion and not everybody looks at promotion as a way of getting up [the rungs] [FGI 2# 1]*

> *Those who are wishing to be headmasters have benefited from [performance management] because they are promoted; this is one parameter for promotion [ITI#4]*

> *If used properly its suitable, but you can talk of certain circumstances whereby there are grudges between administration and members of staff [laughter from focus group] so some members may use that instrument to pin down or punish or whatever appropriate terms so in that manner, in that light it becomes improper and it loses its value.[FGI#1Res2]*

Focus group 1 gave reasons why school heads abused the rating form:

> *One reason why the document may not be properly used or is being abused could be people fear conflict and it could be that we have got cases that deserve one or two but authorities in some case discover it produces conflict and reconciliation may become*

difficult. So administrators would like to avoid that as much as possible. [FGI#1Res2]

The findings in this theme indicate that performance management is fraught with implementation challenges. Firstly, it was found that performance appraisals do not take leaner performance into consideration. Whether a teacher obtains high marks in the performance appraisals or not, the results that he/she produces as far as learner achievement is concerned were not taken into consideration. This appears to be tend with performance management in Southern Africa. For example, Integrated Quality Management System used in South Africa does not relate the appraisal results to learner achievement.

Secondly, the findings show that the ratings of teacher do not accurately reflect the abilities of teachers in the teaching-learning area. Thus the appraisal does not differentiate between performing and non-performing teacher.

Thirdly, it emerged that there are no follow-ups at schools after the completion of the appraisal form. It emerged that the rating forms were piled up at the District Office and nobody bothered to check them and verify the truth about teaching at schools. The District officials, therefore, could not give feedback to the teachers about their performance. Thus, no staff developments were conducted by the District Officials. A surprise finding was that there were no consequences attached to performance management. This was put succinctly by one respondent that no one was ever fired following the low marks he/she obtained from the appraisal.

The findings show also that performance management was more useful at school where it was used as a springboard for internal staff development. However, it was also noted that performance management was used by school [principals to force teacher to toe the line and as punishment for those teachers who dared oppose the school principal.

A few benefits that emerged from the interviews are that performance management sharpened the teachers' skill in planning and meeting set targets. It reminded teachers about their obligation to provide quality education to learners..

5.8.5. Attitude towards performance management.

From the above challenges facing performance management, it came as no surprise that the process was not popular among teachers and that they expressed a negative attitude towards it. This negative attitude emanates from the failure of the government to provide monetary rewards after the implementation of performance management. Throughout the interviews, especially in the context of focus group interviews, the respondents were laughing. There were choice words used by respondents to describe their attitude towards performance management, such as, nothing to write home about, witch-hunt and no excitement.

Evidence gleaned from the interviews shows that **teachers do not take performance management seriously.** One respondent put it this way:

> *They sought of do it because ah that's what is expected to be done. Nobody really cares whether they have actually been achieved or not those objectives because in the end whether you achieve them or not, nothing happens" [FGI#2Res1].*

The respondents pointed out that they are doing it because **they have to comply with policy**. The following verbatim quotes further support this view:

> *So to add on to what he is saying in other words we are just complying with this performance appraisal issue simply because it's sort of policy. Otherwise there is nothing to write home about as far as performance management is concerned, People they are worried [laughter from respondent] so that kind of a thing so there isn't much to write home when it comes to performance appraisal*

> *Ah really I think as we have been saying it made teachers feel really short changed especially where a policy is pronounced and then you expect something and no communication takes place it kills the spirit of --- morale and free will to help the school.*

Other respondents put it this way:

> *It's half-half. It's in between. I am not so keen. I am not so enthusiastic about it, but at the end of the day it's something that*

has to be done, and when something has to be done it must be done.

Teachers tend to have a negative attitude towards the filling of that form, they just think it's an unnecessary hassle [ITI#5]

There is a general resistance from people…the instrument is somehow seen as …unfriendly…but it's being produced because it's a requirement [SHI#3]

But at the moment we are saying it's something that is not so popular people are not so keen because at the end of the day one says it doesn't seem to work for our Ministry. [ITI#3]

We are just complying with this performance appraisal issue simply because it's sort of policy. I complete the form simply out of fear. I fear to invite sanctions on myself. Otherwise there is nothing to write home about as far as performance management is concerned, it is sought of a fix each time the idea is raised in the staffroom or in the institution people get worried [respondent bursts into laughter] [FGI#2Res2]

Respondents also held the view that **performance management was done in a ritualistic manner.**

The first assessment should be done [almost inaudible interjections from focus group members] should be done in the first term, the second assessment in the second term and the third and final rating to be done in the third term [around October], but in most schools they will combine the first second and third is done in one term, it is done in one term in most schools.

People (teachers and heads in some schools) just do it maybe at the very last minute and then they hurry around, produce a document and then it goes, just to make sure it goes.

Some school heads just wait and do it [performance appraisals] when the forms are needed at the District office in October, that is when they sit and do work plans, review and do final ratings all at one time [sitting] [SHI#5]

Nobody checks at what is happening the whole year, some have gone to the extent of just reproducing everything from the previous year so this is not serving its intended purpose. [SHI#5]

The idea is just to keep a left over, I mean one of the performance management appraisal form so you have another one you can use to fill another form the following performance cycle [FGI#2Res3]

The idea that performance management was **just a necessity** was expressed a focus group member who said:

I think the performance management appraisal form is a necessary evil. [FGI#1Res4]

Respondents showed that **teachers were not keen to fill in the appraisal form and that they had to be threatened to do it.** The following verbatim quote illustrates this point:

It has just happened this morning, we are drawing to the end of this month of October, the final mark is wanted at the district office but you are experiencing problems on the ground. At times you have to sought of try and speak politely to people, at times you have to tell the people [Teachers] that these things [performance appraisal forms] are needed, so if you don't want you probably write a letter to the DEO and tell them that you don't want. This morning we just literally almost begging, [to say] please, please complete the instrument, so even if we do not want to but it's a necessary evil. [SHI#4]

Respondents expressed the view that **they are professionals who know their work and should not be bothered by introducing a new system that, in any case, does not work.** Respondents said the following on this point:

> *Teachers were more willing to work, if my memory serves me right in the 1996s or so before, teachers could have the students come [to school] to complete the syllabus over the holidays without anything like incentives or KRAs or anything but soon after this introduction [of performance management] that died down, and it's not surprising that this idea of disdained within teachers gave way to... [FGI#2Res2]*
>
> *Performance management seen as a threat, if you get five [5] people from the higher offices come to verify and if you get two [2] they also come to verify, those are the threats, but they have never seen it happening but such threats are there [FGI#2Res1]*
>
> *Teachers say we know our job and we know how to do it there is no way you can give us this thing called performance management, what do you want to measure after all we have been to college and have passed courses so we know what to do.[SHI#5].*
>
> *People have always have always been working without it [performance management] and they have always been producing [results] [ITI#3]*
>
> *So with this thing now [performance management], ah h ....it looks like it is a duplication of a system that are already there. I already know my duties that I must accomplish as a teacher. And so far since we have started filling in this form, everyone has been doing very well in their jobs that's what it…it means because we haven't seen what effect it has or when you fail to perform your duties as it requires.*

We may say we are professionals but people fear conflict…it could be that we have cases that deserve a rating of one or a two but authorities in some areas discover it produces conflict and reconciliation may be become difficult. [ITIRes#2]

The findings in this theme show that respondents did not view performance management favourably and harboured a negative attitude towards it. These findings may be summarised as follows:

- Respondents did not take performance management seriously
- In filling in forms, respondents were just complying with policy, ot that their hearts were in it.
- Performance management was done in a ritualistic fashion, as a necessary evil
- Respondents expressed the idea that teachers were not keen to fill in the appraisal form and that they had to be threatened to do it.
- Lastly respondents felt that the system was a duplication of what was done in schools
- They felt that they are professionals who know their work and should not be bothered by introducing a new system that, in any case, does not work.

5.4. CHAPTER SUMMARY

In this chapter the various themes generated from the data collected through in-depth individual interviews and focus group interviews have been presented and discussed. The links between interview results and existing literature has been provided in the discussion.

Effectiveness is a measure of the extent to which the interventions' intended outcomes, that is the specific objectives, have been achieved .explicitly, effectiveness is the relationship between the intervention's outputs, that is its products or services, its immediate results and its outcomes An intervention is considered effective when its inputs produce outputs, produce the desired outcomes, that is, it is efficient when it uses resources appropriately and economically to produce the desired outputs (Oppermann and Meyer 2008:194)

CHAPTER 6

A STRATEGY FOR IMPLEMENTING PERFORMANCE MANAGEMENT

6.1 INTRODUCTION

This chapter focuses on discussing issues pertaining to strategy, strategy formulation, strategy implementation and evaluation/control in the performance management implementation process. This is done in view of the aim of this study which focuses on developing a strategy for the successful implementation of performance management in primary and secondary schools in Manicaland province of Zimbabwe

Performance management was adopted in the Zimbabwe civil service sector around year 2000 as a way of ensuring that interventions for the improvement of service delivery in education and specifically in primary and secondary schools were enhanced. Robinson (2002) proposed that the primary goal of teacher reform should be in the first place being aimed at the improvement of the practice of teaching, with a view to improve student learning. By studying the implementation of performance management in schools in a province of Zimbabwe this thesis aimed at establishing whether the performance management innovation has yielded the badly needed improvement in the performance of schools. It would thus, be naïve to separate the challenges of improving teacher performance under the performance management regimes from the economic and social context within which the performance management implementation process occurs (Robinson, 2002:290). Thus, based on the outcome of the inquiry, findings were used to develop mitigating strategies for implementing performance management informed by the political, social, technological and environmental conditions under which the education reform was implemented.

6.2 HISTORICAL VIEW OF STRATEGY

The background of the word strategy derives from the Greek word “strategtia” which was first used around 400BC and it implied the art and science of directing military forces (Van Vuuren, 2008,; Gopinadhan, 2013). In war, strategy was seen as one of the key responsibilities of a leader or commander and this connection continues in modern day thinking as shown by Rue and Byars, 2005:128; Dictionary.com2007; Van Vuuren 2008 and Gopinadhan, 2013. Leaders are commanders in their organizations and the success of the organizations they lead depends on their level of expertise.

6.2.1 Descriptions of Strategy

To ask the question “what is strategy?” is to ask an ontological question (Eacott, 2011:24). Though it has strong ties with planning the practice and concept of strategy has many varied meanings in educational literature (Eacott, 2011). As a construct, strategy remains elusive (Fidler, 2006b) and somewhat abstract (Ansoff, 1965). Quong et al (1998) describes it as one of the most frustrating, paradoxical and misunderstood concepts in leadership literature.

According to Ikǎvalko and Aaltonen (2001:5) strategy denotes the following aspects:

a)It means some consistent way of action, b)Strategy is connected to vision, goal or objective, c)Strategy is the means to achieve goals, objectives or vision, d)Strategy can mean a consistent way of action, policy line of action, or principle operational principle.

In the 5 P’s model, Mintzberg and Quinn (1991), Mintzberg, Ahlstrand and Lampel (1998) define strategy as a **p**lan, a **p**loy, a **p**attern a **p**osition and a **p**erspective. Recent authors such as Graetz (2002:456 and Morden 2004:505 concur with Mintzberg et. al (1991) and Mintzberg et. al 1998.

- **P**lan is defined as a consciously intended course of action or a guideline to deal with a situation.
- **P**loy means a specific ‘manoeuvre’ intended to outwit an opponent or competitor.
- **P**attern is a stream of actions or consistency in behaviour over time
- **P**osition is looking outside an organisation seeking to locate the organisation within its environment.
- **P**erspective is about looking at the inside of the organisation and its members in order to have a shared way of perceiving the world.

6.2.2 Definitions of strategy

Bryson (1988) define strategy as a pattern of purposes, policies, programmes, actions, decisions and/or resource allocations that define what an organisation is what it does and why it does it. Thompson (1990:x) See strategy as “ the means by which organizations meet or seek to meet objectives”. Mintzberg (1995) defined strategic thinking as “seeing ahead; seeing behind”; “seeing above”; “seeing below”; “seeing

beside"; "seeing beyond"…and significantly "seeing it through". . Strategy can be defined as the broad programmes for defining and achieving an organization's objectives as well as organization's response to its environment over time, (Stoner, Freeman and Gilbert Jr, (2009:16). Strategy is broad programmes of activity to achieve organizational objectives, (Appleby, 1987:49). According to Chandler (1962) strategy can be defined as the determination of the basic long term goals and objectives of an enterprise and the adoption of courses of action and the allocation of resources necessary for carrying out those goals.

An analysis of the definitions stated above show that a strategy comprises of the following characteristics:

- It is a guide as to how resources are to be deployed to achieve organizational objectives.
- Is made up of courses of actions adopted to guide the allocation of resources necessary for carrying out these goals.
- It is a unified, comprehensive and integrated plan designed to ensure that the basic objectives of the organization is achieved.
- It covers long term goals and objectives of an enterprise and adopts courses of action and allocates resources necessary for carrying out those goals.

Louw and Venter (2006:12) suggest that strategy is "the overall scheme for leveraging resources to obtain a competitive advantage". The resources referred to include the following: human resources, technological resources, financial resources and time among others, which have to be employed to generate maximum advantage in the implementation of the strategy.

Effective strategy formulation and implementation process, according to Bryson (1988) links rhetoric (what teachers and other educational personnel say) it involves choices (what people decide and are willing to pay for) and actions (what people do-teachers school heads, DEOs and the Provincial education directorate in the implementation performance management) into a coherent and consistent pattern across levels, functions and time.

Based on the above definitions, the operational definition for purposes of this thesis is that strategy is a programme of action initiated by people in leadership positions as an intentional process that consists of phases and a pattern of actions to address a particular issue or trend. It is informed by the goals, objectives and vision of an organisation which are directed by policy in order to allocate resources (human, financial, physical, technological and otherwise) to achieve intended ends in an organisation.

Davies (2004b) concurs with some of the views on strategy given above, but goes further raise the fact the term is frequently used to describe a range of activities. Bell, (1998.2002) emphasizes that most often it is explicitly linked with planning. According to Davies (2003:295) strategy is a specific pattern of decisions and actions taken to achieve organisational goals. Davies (2004a) and Van Vuuren (2008) suggest that strategy may consist of two sub-concepts, one concerned with the broad major dimensions and the other with the medium to longer term. According to Gopinadhan (2013:8-9) strategy also includes the mission, purpose and objectives. It can be viewed as the determination of basic long term goals and objectives of all enterprise and the allocation of resources necessary to carry out those goals

6.2.3 What does strategy do?

Strategy establishes a plan or course of action or a set of decisions, rules that create a common thread relating to an organisation's activities that derive from the organizations objectives and goals. Strategy is concerned with pursuing those activities which move an organization from its current position to a planned future position. Strategy is basically concerned with resources that are necessary for implementing a plan or a predetermined plan of action (Gopinadhan, 2013). Strategy involves the determination of mission or purpose and the basic long term objectives of an enterprise followed by the adoption of courses of action and allocation of resources necessary to achieve these aims, (Koontz and Weihrich, 2005:122). It attempts to delineate the resources that will be used to pay for specific activities designed to accomplish specific objectives (Eimicke and Cohen, 1996).

6.2.4 Conceptualisation of Strategy in Educational Settings.

Strategy begins with the proper identification of practical alternatives, dreams or visions for resolving the strategic problems in an organization (Bryson, 1988:77). This is followed by the enumeration of the barriers to achieving those alternatives. According to Bryson (1988) identifying barriers leads to ensuring that strategies deal with implementation difficulties directly rather than haphazardly. Once a particular strategy has been adopted, situation and needs specific objectives must be formulated as precise statements of intent that represents the major targets or end results of the strategy (Van Vuuren 2008:343). Requirements for the objectives of a strategy are that it must be clearly expressed, measurable, agreed upon, realistic and must indicate clear time frames and specify the end results towards which willpower, leadership, effort and investment are to be directed (Bateman and Snell 2004:112; Morden 2004:504 and Hannagan, 2005:139) as cited in Van Vuuren (2008:343).

The key purpose of strategy is to address challenges faced by organisations, and in order to address such challenges, strategy needs to be guided by policy. Policy helps as a guide for finding the solution to the problem. These policies are seen as broad guidelines though some are specific. They are general statements of principles which guide the thinking, decision making and in an organization they are the basis for procedure. Policies are the responsibility of top management. Koontz and O'Donnell in Gopinadhan (2013:7). It is these policies that guide and channel the implementation of strategy and prescribe the process within organization function can be administered. Thus, as suggested by Gopinadhan (2013:9) policy refers to the organisations practices and structures concerned with implementation and executing strategy.

6.2.4.1 Application of Strategy Implementation

The following aspects akin to strategy development apply in strategy development

- Conduct an analysis of the situations of the MoESAC at provincial, district and individual school level; and set objectives as expected outcomes of strategy
- Devise an action plan that indicates the practical implementation of a strategy with clear time frames to guide the process
- Ensure the systems, structures and resources to support people become champions of the strategy

- Involve the relevant role players (teachers, school heads, DEOs and provincial education directorate) regarding the implementation strategy
- Build capacity for strategy implementation by means of training for knowledge development, skills, and aptitudes, and determine performance indicators to monitor the implementation strategy**.**

6.3 THE MEANING OF STRATEGY IMPLEMENTATION

Humburg, Fassanacht and Gruentter (2000) believe that the implementation of strategy is of critical importance. Thus, according to Humburg et al (2000) while managers should be careful to develop an appropriate and effective strategy, they should assign the large portion of their attention and resources to activities tasks ensure successful implementation.

6.3.1 Challenges To Strategy Implementation

The problem with implementation is not so much that implementation is poor, rather, it is incomplete implementation, and there is an awful lot of planning (Richards and Goh, 2009). Further to that, more research evidence and literature show that many organisational failures that occur regarding strategy implementation, occur due to the lack of implementation and not at formulation level (Ahmadi, Salamzadeh, Daraei and Akbari, 2012). A study by Bourne, Mills, Wilcox, Neely and Platts (2003a) identify the reason for unsuccessful implementation to the lack of guidance on implementation issues. According to Johnson (2004) about two-thirds (66%) of corporate strategy believe plans are never implemented. This statistic can be greater in terms of public sector strategy implementation due to the uniqueness of challenges that public sectors experience. Other researches such as Crittenden and Crittenden (2008) locate the problem of strategy non-implementation ‘somewhere in the middle of the strategy-to-implementation processes.’ Noble (1999) appreciates that implementation is like a chain, which comprises; communication, interpretation, adoption and enactment respectively. Thus, if one of these implementation cogs is not handled properly it may result in implementation failure due to non-implementation or unsuccessful implementation.

Nutt (1986) sees strategy implementation as the process of putting strategic written formulae into action and realizing the strategic plans. Therefore, after the incubation of a strategy no matter how well framed or intended it maybe, there is great need to ensure that the actions taken to realise those strategic plans are the most suitable ones.

For the purpose of coming up with a strategy for the implementation of performance management in schools in a province of Zimbabwe, working definitions of the term "strategy" will be pursued. Chandley in Thenmozhi (n/d:2) define strategy as "The determination of basic long term goals and objectives on an enterprise and the adoption of the courses of action and the allocation of resources necessary for carrying out the goals" Another definition is given by Andrew in Thenmozhi (n/d:2) who observed that is "The pattern of objectives, purposes, goals and the major policies and plans for achieving these goals stated in such a way so as to define what business the company is in or is to be and the kind of company it is or it is to be" Lastly, Glueck in Thenmozhi (n/d:3) define strategy as "A unified, comprehensive and integrated plan designed to assume that the basic objectives of the enterprise are achieved." From these definitions, the main facets of strategy may be identified.

6.3.2 Choice of a strategy

Choose a strategy developed from an environmental scanning and analysis. Such a strategy takes cognisance of the strength and weaknesses exhibited in the internal environment of the schools in the province and the strengths they hold. Incorporate the results from scanning the external environment to the schools system in the province. Identify opportunities and threats in the external environment and use these results to develop the appropriate strategy. The strategy may adopt a linear view or a conceptual framework. Strategy development has to include the implementers of the strategy (teachers, school heads and MoESAC officials) to ensure a creative and effective strategy suitable to the specific situations obtaining in each school (Linstead et al 2004:519).

- **Steps to follow when formulating or developing a strategy:**

-Conduct an analysis of conditions and situations in the schools, set objectives to achieve the strategy, devise an action plan that indicates, ensure systems structures and resources to support people to become champions of the strategy, build

capacity (human capital) for strategy implementation by means of skills knowledge and aptitudes, and determine the performance indicators to monitor strategy implementation.

6.3.2.1 Formulation of Long Term Goals and Objectives

In the implementation of the performance management in schools in a province of Zimbabwe, there is need to identify and formulate long term goals because education is a lifelong activity, so the quality of the long term goals and objectives hinge on the quality of formulated aims and objectives and the resources that are committed to the fulfilment of such aims and objectives. The strategy thus, involves the setting of objectives and objectives are part of strategy formulation while strategy formulation is a major focus of the organizations' business policy. An organization's (Ministry or School) business policies are the general statements or active process that guides and directs the action of managers towards the firms (Ministry or schools) objectives.(Annichebe and Agu, 2013).

6.3.2.2 Derive a Strategy From Vision, Mission and Policies

Organisation exist in order to fulfil missions for their existence, these missions are fulfilled through the crafting of goals. A clear vision provides the foundation for developing a comprehensive mission statement, (David, 2005:82).For organisations to achieve these goals, their aims and objectives are guided by polices and plans that are formulated as guiding statements of operational intent, which prescribe the modus operandi within that organisation. In relation to the topic that was under investigation, policies and plans are important tools that guide action regarding the implementation of performance improvement plans in the ministry of education, sport, arts and culture in a province of Zimbabwe.

The MoESAC has to craft enabling legislation for the regulation of performance management implementation in schools. The historical development and inception of the existing performance management is short of legally binding legislation and policies that spell out what performance management is, what it aims to achieve, resources needed to achieve those ends, and under what time frames and so forth. Because of the uniqueness of the activities of the education sector, policy guidelines on performance management implementation need to speak directly to those needs of the implementers' so as to reduce the potential for resistance. Countries that have

succeeded with their performance management programmes have done so because they have extensive legal frameworks that guide every facet of the performance management programme. Like in New Zealand and Australia (cf. par.2.53.2) where they have legislation for performance management for teachers, for school principals and policies that govern the remuneration thresholds so that everything is transparent and enhances the building of trust between teachers and the Ministry of education. In the UK, the legal frameworks for performance management in U.K (cf.par.2.5.1.1) also have provisions for the expected remuneration of teachers in the event of having achieved set objectives and also for private investors to participate in offering remuneration to teachers in their districts. The same happens in the legal frameworks for introducing performance management in Nordic countries (2.9.1.2) and the legal frameworks for the implementation of IQMS in South Africa (cf.par.2.11.1.2). Countries whose performance management systems have not shown much success are those characterized by weak to moderate legal frameworks guiding such interventions. Inconclusive legal frameworks as the case with Zimbabwe (cf.par.1.1.2; cf.par.1.1.3 and cf.par.3.3.3), Nigeria and Ghana (cf. par.2.10.1.1; cf.2.10.1.2; cf.par. 2.10.2.1) and the legal frameworks governing the implementation of performance management in Kenya, Uganda and Kenya (cf.par. 2.10.1.6), though Uganda has recently improved the resources available for training by producing separate and up to date manuals for school principals and another for teachers.

6.3.2.3 Shortcomings of Current Legal Frameworks and Policy to Guide Strategy.

The formulation of a strategy needs to be supported by a vibrant legal framework at each phase. Action steps of a strategy need to be subjected to relevant legislation that provides direction for setting objectives and for action (van Vuuren, 2008). The close examination of the current implementation process shows weak legislative frameworks that are written in non-specific language and do not address the legal needs of the performance management process such as remuneration, promotion and developmental issues for teachers, school heads and middle management. (cf. par.6.3.1.3 above, and cf.par.1.1.2; cf.par.1.1.3; cf.par.3.3.1). In order to enhance acceptance and buy-in of the programme by the implementers it is important to involve them in the legislative process as individuals and as representative unions and the involvement of other key stakeholders involved in education.

In Zimbabwe, the provision of education is not the sole responsibility of government alone. According to the Education Act of 1979, as amended in 1992, private individuals, corporates and church organisations have a significant hold on the education landscape. As such, when these organizations are represented, together with teachers and unions the process ceases to be intimidatory, also because some schools are faith based institutions, involvement of these church organisations induce trust and enhances buy-in because the churches have a significant number of institutions which are even performing highly in the current dispensation on academic results based on the incentive stricter such schools afford their teachers.

Alignment of all aspects of the strategy with relevant legislation and policy statements are crucial to the success of the strategy. Policy directives give guidance to the programme implementers on the development, implementation and evaluation/control of the implementation (van Vuuren 2008) of performance management process. In the current dispensation of performance management implementation, teachers, school heads and DEOs raised the issue that statutes for guiding performance management need to be available to teachers even on the Ministry's website so that easy reference to such documents is nurtured, and the interpretation of those statutes must lie with the provincial and district officials not the current situation where interpretation is the prerogative of the Public Service Commission because it is far from the loci of implementation. Improve the use of performance information in formulating policy which at present is not the case.

- **Action steps for policy direction**

- Scrutinize and critique the current policy documents and legislation documents so as to identify current weaknesses.

- Empower role players through the provision of training opportunities and availability of information to enable them to carry out their duties.

-Conscientise employees by making available information on the policy in hard copy form and also as soft copies posted on MOESAC website.

-Organise workshops to enable physical interface with implementers as a way of consensus building

- **Persons to be involved**

-MoESAC officials to give direction to the process, by providing expert guidance on policy issues

-involve School Develop Committees (SDCs/ PTAs) which are mandated to help school heads manage schools on behalf of government and parents.

-involve Faith Based organisations that have schools in the province, involve individuals who have schools in the province, involve teachers in their individual capacities

-involve teachers and teacher organizations for input and for building consensus among (previous strategy was dictated from above and imposed on teachers and school heads)

PRINCIPLES FOR THE IMPLEMENTATION OF STRATEGY

- **Cultivate an organizational culture**

-develop training strategies relevant to local needs; allocate resources to start a culture of training

-support flexibility in the delivery of training and encourage participation by all groups, evaluate and maintain

- **personnel strategies**

- Enable participation in training; -implement training in the workplace for new and old staff on continuous basis

-Contribute to the development of organizational polices

- **Allocate resources for the strategies**

Provide adequate resources- performance management systems can result in the more efficient use of resources in the long run but require an initial investment of resources for implementation and for administration. People, expertise technology and money are necessary to establish and maintain systems to develop measures collect and store data conduct analyses and compile reports. Planning for the systems and allocating resources, either by shifting resources from lower value activities or providing additional

resources are critical to the successful implementation of performance management initiatives (Kreklow, 2006:56), evaluate and maintain incentives.

- **Build strategy ownership**

  - Involving implementers in policy formulation, strategy formulation strategy development and strategy evaluation and control

- **Leadership**

-Spread leadership of the strategy among implementers so as to build a foundation foe commitment to the strategy.

-ensure accountability by all involved in the leadership of their teams

- **Alignment**

-Align the individual's goals with the organisations goals.

6.3.2.4 A Strategy Is a Comprehensive and Integrated Plan Designed For The Achievement of Organisational Objectives

In this regard, plans for the realisation of perfect school environments necessary for the attainment of effectiveness, efficiency and economy in the provision of an education that is sufficient to steer development at province level is the primary focus.

6.3.2.5 Basic elements for establishing a strategy

In the development of a strategy, a consideration of the four basic elements of strategy formulation was done and these are basically the ability of the organisation to do environmental scanning, carry out a strategy formulation, strategy implementation and strategy control and evaluation. Each of these facets of strategy implementation will be discussed in detail in the next few paragraphs.

6.3.2.6 Environmental Scanning

Literature asserts that if an organisation understands the environment in which it operates, then half the problem is solved (Thenmozhi n/d:4). Thus, Thenmozhi argues that organisations need to make analyses of what is happening both in their internal and

external environments in order to appraise themselves on the current resources (strengths and weaknesses) as well as the strengths, weaknesses, opportunities and threats. In coming up with these scenarios there may be need to focus on the questions such as a) What are the strengths of the current school environment in the province under consideration. b) What is the work ethic of the teachers, school heads, district education officers and provincial education officers? c) What are the weaknesses in the current educational environment in the province? And the focus of this question could be on the following: Under environmental scanning the process may be split into scanning the internal and the external environment in search of the variables that militate against the successful implementation of the formulated strategy. Strategies are the means by which long-term objective will be achieved. Business strategies may include geographic expansion, diversification, acquisition, products development, market penetration, retrenchment, divestiture, liquidation and joint ventures (David 2005:44). In the realm of education, the MoESAC and school heads may have to diversify their approaches for the improvement of education, they may need to retrench the ineffective teachers or may need technical partners to enable them to train the incompetent teachers and other senior managers in the province so that they may be equipped to implement the strategy successfully.. Strategy is the determination of the basic long-term objectives of an enterprise and the adoption of course of action and allocation of resources necessary to achieve these goals, (Weihrich and Koontz, 2005:100)

- **Strategy formulation:** According to David (2001:5) strategy formulation comprises the following tasks:

- Formulating a vision and mission statement.

- Assessing the organization's external environment as a means of identifying external opportunities and threats and external analysis.

- Conducting analysis of the organisation's internal environment as a means of identifying internal strengths and weaknesses (internal analysis).

- Translating the mission statement into goals, generating alternative strategies, and, choosing a particular strategy as a means of achieving the formulated long term goals.

- **Definition of implementation:** Strategy is the instrument through which a firm attempts to exploit opportunities available in the business environment. The performance of a firm is a function of how effective it is in converting a plan into action and executing it. Thus implementation is the key to performance, given an appropriate strategy**.**

  In literature, implementation has been defined as "the process by which strategies and policies are put into action through the development of programs, budgets and procedures" (Wheelan and Hunger 1992:15). This involves the design or adjustment of the organisation through which the administration of the enterprise occurs. This includes changes to existing roles of people, their reporting relationships, their evaluation and control mechanisms and the actual flow of data and information through the communication channels which support the enterprise (Chandler 1962; Hrebiniak and Joyce 2005).

- **Definitions of Strategy implementation:** Literature provides synonyms of strategy through such terms as "execution" and "actualization of goals". Strategy implementation is a process perspective is seen as a sequence of carefully planned consecutive steps (Li, Guonhui and Eppler 2008).

Thus, understanding the characteristics of a business environment (of the MOeSAC and Schools in the province) will enable managers (PEDs, DEOs and School heads) to formulate appropriate strategies as a response to the changes in the environment. The strategic responses to environmental changes are the strategy implementation and the process of formulating the implemented strategies are strategic planning. (Onwuchekwa, 2000).

Table: 9: Definitions of strategy implementation

Perspective	**Definitions**
	Implementation is the *process* that turns plans into action assignments and ensures that such assignments are executed in a manner that accomplishes the plan's stated

Process perspective	objectives. Kotler (1984) cited in Noble (1999b). Strategy implementation is also portrayed as a lively *process* by which companies identify future opportunities Reid (1989) cited in Schaap (2006). Strategy implementation is an iterative *process* of implementing strategies, policies, programmes and action plans that allows a firm to utilize its resources to take advantage of opportunities in the competitive environment (Harrington, 2006).
Behaviour perspective	Implementation is a hands-on operation and *action*-oriented human behavioural activity that calls for *executive leadership* and key *managerial skills.* Dekluyver and Peace (2003) cited in Schaap (2006). Implementation is operationally defined as those senior – level (Schaap, 2006).
Hybrid perspective	Implementation is the sum total of the activities and choices required for the execution of a strategies and policies are put into action" Wheelen & Hunger (1992) cited in Smith & Kofron (1996) In the instances where plans, strategies, technologies or programmes are markedly new to the firm, implementation appears to involve organizational design reconfiguration - ie a redesign of structure, systems, process, people and rewards Galbrailth and Kazanjian (1988) cited in Sashittal and Wilemon (1996) Strategy execution is defined as the step by step implementation of the various activities that make up a formulated decision making strategy. Strategy execution also can be treated as a cognitive process (Singh 1998)

Adapted from: Li, Guohui & Eppler (2008:5-6)

An understanding of the difference between strategy formulation and strategy implementation enables participants to differentiate the two concepts at the same time understanding how that difference influences the implementation process. The comparison below gives clarity to the two terms.

Table: 10: Strategy Formulation Versus Strategy Implementation

Strategy Formulation	**Strategy Implementation**
Strategy Formulation includes planning and decision-making involved in developing organization's strategic goals and plans.	Strategy Implementation involves all those means related to executing the strategic plans.
In short, Strategy Formulation is **placing the Forces before the action**.	In short, Strategy Implementation is **managing forces during the action**.
Strategy Formulation is an **Entrepreneurial Activity** based on strategic decision-making.	Strategic Implementation is mainly an **Administrative Task** based on strategic and operational decisions.
Strategy Formulation emphasizes on **effectiveness**.	Strategy Implementation emphasizes on **efficiency**.
Strategy Formulation is a **rational process**.	Strategy Implementation is basically an **operational process**.
Strategy Formulation requires co-ordination among few individuals.	Strategy Implementation requires co-ordination among many individuals.
Strategy Formulation requires a great deal of **initiative and logical skills**.	Strategy Implementation requires specific **motivational and leadership traits**.
Strategic Formulation precedes Strategy Implementation.	Strategy Implementation follows Strategy Formulation.

Adopted from: www.managementstudyguide.com/strategic-management.htm accessed on 14/10/2013

Strategy implementation according to Thenmozhi (n/d:9) is the process by which strategy and policies are put into action through a set of development programmes. As argued by Thenmozhi, in so doing, this may change the overall culture of the entire organisation (school or ministry) as these strategies are implemented through a set or sets of programmes, governed by budgets and procedures. Thenmozhi (n/d: 48) acknowledges that a strategic plan must be implemented through procedural

implementation. This is done through proper resource allocation, structural implementation, functional implementation and behavioural implementation plans. Much of strategy execution revolves around aligning key organizational functions/factors with the chosen strategy, Higgins (2005) that is why those executives who are successful spend a great deal of time on strategy execution. And its application according to Mintzberg (1987) is to facilitate task performance.

Each school has a unique context and circumstances which will dictate *"how things are done around here".* The set of shared beliefs values and norms that influence the way people think, feel and behave (Lunenburg, 2011). The culture of an organisation is all the beliefs, feelings, behaviours and the symbols that are characteristics of an organization, thus, Schein (2011) argues that *"Organizational culture is the shared norms, philosophies, ideologies, beliefs feelings assumptions, expectations attitudes and values".* The culture of each organisation has to be considered positively when implementing strategy so that it does not result in "*implementation shock"* at the execution stage.

Strategy control and evaluation: This is a very important facet in the implementation of strategy. Through this step of strategy evaluation and control the process is focussed on realising the objectives and missions of the organisation.

6.3.2.7 Identify barriers to successful implementation of strategy

Chalmers and Davis (2001:77) identified implementation pitfalls that militate against the successful implementation of policy, projects or programme and assert that they are:

- Associated with gaps in the policy and the outcomes of such policy on the ground due to unclear policy prescriptions.
- Created as intention and outcome are separated, so as to ensure policy success those responsible for implementation must be involved in the design of the policy/projector programme in the first place, so involve teachers, school heads, the ministry officials and faith based responsible authorities for benchmarking purposes.

- Conflicting objectives and lack of commitment from service providers/ implementer's, employee aspirations not dovetailing into school and ministry goals.

- The difference in priorities as a result of complications associated with communication. In this regard, when communication mechanisms and are insufficient or goals are not conveyed effectively, conflicting objectives maybe followed by the agent in the implementation process.

TABLE: 11: Causes of implementation failure from data.

IMPLEMENTATION PITFALL	**CAUSE FOR FAILURE**
Policies decided at one level of government and implemented at another level	There is a gap between decision and implementation and this results in conflicting objectives due to the decision discrepancy
Conflicting objectives	Implementers may have different objectives to those held by government
Agencies lack appropriate expertise to implement the change successfully	Not enough training (*both theoretical andpractica*l) aspects of programme implementation hence the probability for success is minimized.
Agencies/implementers lack commitment	Failure to identify or buy into the vision of government results in implementers failing to implement objectives of the programme
Limited competency (Craft competency and literacy)	Implementers may not have the skills required to implement public policy and may have little experience in delivering on public objectives.

People do not respond to programme as expected.	Implementation based on trial and error
Inadequate resources	Emphasis on cost cutting and efficiency may direct resources away from the core programme objectives
Too few or inappropriate incentives	Conflicting priorities cause implementation to dislocate; resources meant for incentives may be used for non-critical issues instead.
Communication failure: Those responsible for implementation do not understand what is required of them in the implementation process.	Absence of two way communication avenues – gaps may develop between government and implementers

Adapted from: Chalmers and Davis (2001:77)

They (Johnsen and Vakkuri 2010) further argue that the success of any performance management depends on the political and other factors obtaining in the country it is being implemented. Some of the factors play out at the micro (individual or organisation) levels others at the meso (public policy) level while others are impediments at the macro (societal) level. These factors may affect performance management at different stages such as its design, implementation and use (Johnsen and Vakkuri, 2010).

6.4 THREATS TO STRATEGY IMPLEMENTATION.

Studies conducted on strategy and available literature consistently argue that strategy is quite a difficult task to implement in practice. Ikǎvalko and Aaltonen (2001) have identified the following as challenges to strategy implementation;

Infeasibility of the strategy, weak management roles, lack of communication, lacking commitment to the strategy, unawareness or misunderstanding of the strategy, unaligned organisational system and resources, poor coordination and sharing of responsibilities, inadequate capabilities, delayed schedules, and uncontrollable

environmental factors. By being able to identify the threats to strategy the leaders and implementers of a strategy are able to avoid pitfalls to strategy implementation which culminates in successful strategy implementation.

Communication: Many researchers have emphasized the importance of adequate communication channels for the process of strategy implementation. Alexander (1985) noted that communication is mentioned more frequently than any other single item that promotes successful strategy implementation. Communication includes explaining what new responsibilities, tasks, and duties need to be performed by the employees in order to implement the strategy. It answers the why behind the changed job activities, and explains the reasons why the new strategic decision was made. Rapert and Wren (1998) find that organizations where employees have easy access to management through open and supportive communication channels outperform those with more restrictive communication environments.

Effective communication is a fundamental requirement for any effective strategy implementation to take place in any organization. Organizational communication plays an important role in **training, knowledge acquisition** and **applied learning** during the process of implementation. In fact, communication is vital in every aspect of strategy implementation, as it relates in to the organizational context, organizing processes and the implementation objectives.

Commitment: Strategy implementation process may fail if the strategy does not achieve support and commitment by the majority of employees and the middle management. Shared understanding without commitment would result in 'counter effort' and may negatively affect the organisational performance. The understanding between middle management and those at the operational level to that of the top management team's strategic goals is of prime importance to successful implementation. Noble & Mokwa (1999) have put forward three dimensions of commitment that are central factors which directly influence strategic outcomes: organizational commitment, strategy commitment and role commitment. Organizational commitment is the extent to which a manager identifies with and works toward organization-related goals and values. Strategy commitment is the extent to which a manager comprehends and supports the goals and objectives of an implementation strategy. Role commitment is the extent to

which a manager is determined to perform his individual implementation responsibilities, regardless of his personal beliefs about the overall strategy

Implementation Tactics: Nutt (1986) stipulates four types of implementation tactics used by managers in making planned changes: intervention, participation, persuasion, and edict. Intervention refers to strategy adjustments made during the implementation stage by introducing new practices and norms. Participation includes formulating strategic goals and nominating a task force that can develop and propose the corresponding implementation options. Persuasion is the tactic which uses involved parties to convince the employees about the desired course of actions. The issuing of directives is the main focus of the implementation tactic edict. Lehner (2004) considers the implementation tactics as genuine organizational behaviour based on the assumption that implementation in general is dependent on the environment, and various strategic and corporate variables.

Consensus: In private sector settings, Nielsen (1983) noted that firms must achieve consensus both within and outside their organization in order to successfully implement business strategies. The consensus about the MoESAC on the strategy for implementing performance management differed across the operation channels within the company. If the employees of the company are not on the same information level or if information passes through many layers in the organization, a lower level of consensus would result. This lack of shared understanding may create obstacles to successful strategy implementation (Noble, 1999b).

Floyd and Wooldridge (1992a) argued that when there is a the gulf between strategies conceived by top management (MoESAC) officials at national and provincial levels, and awareness at lower levels district, school and individual teacher levels, that discrepancy constitute an “implementation gap”. Strategic consensus and agreement should be established between the top, middle, and lower-level managers on the fundamental policies to guide the organization in strategy implementation. Strategic decisions are initiated by a team of top managers and then mandated to the rest of the organization DPEDS, DEOs, School heads and teachers. Overlooking the importance of securing consensus with and commitment to the organizational strategy with the lower level employees, which is a big barrier for effective strategy implementation

6.4.1 Barriers To Strategy Implementation

Fortune magazine as cited in Rȍseoğlu and Karayormuk (2009) revealed that 90% of implemented strategies in organisations are unsuccessful, and the single most known cause for this is believed to be weak application of the chosen strategies. Higgs and Rowland (2005) that 70% of change strategies that are implemented are unsuccessful. Results from de Waal and Counet's (2009) study found out that the failure rate of performance management implementations has decreased in the past decade from 70% to 56%, and that the most severe problems organisations encounter are: lack of top management commitment, not having a performance management culture, performance management getting low priority or its use being abandoned after a change of management, management putting a low priority on implementation, and people not seeing enough benefit from performance management.

6.4.2 Identified Factors In The Corpus Of Literature As Barriers To Strategy Implementation.

According to Jooste and Fourie (2009:59-61) the following have been identified as barriers to effective strategy implementation;

Major barriers to effective strategy implementation are;

- *The workforce does not understand the organizations' strategy*
- *The organization's strategy is not effectively communicated to the workforce*
- *The leaders are not competent enough to implement strategy*

Moderate barriers to effective strategy implementation are;

- *The strategy leaders in the organisation does not provide the strategic direction for the organisation*
- *Human capital not fully developed to support strategy implementation social capital not effectively developed to support strategy implementation*
- *The goals of, and the incentives for the workforce not aligned with the strategy of the organisation*- it is human tendency to ask questions like, " what's in it for

me?” before they commit to expend their energy, skills and invest time in doing activities

- *The allocation of resources is not aligned with the strategy of the organization*
- *There is a lack of alignment between culture of the organization and the strategy of the organisation*
- *There is inability to manage change effectively*

Minor barriers to effective strategy implementation

- *The strategies are badly or vaguely formulated*
- *Top managers do not support strategy implementation*
- *The implementation of strategy is not effectively controlled*
- *Ethical practices not are not evident in strategy implementation*
- *The core competencies are not aligned to with the strategy of the organisation*

Pindelski and Mrŏwka (2011) developed a list of reasons that may affect occurrence of significant difference between strategic targets and strategy performance results, and these are;

- **Unclear strategy**-the strategy is formulated in a generalist manner, goals are unclear and ambivalent.
- **Improper methods**-the methods of translating visions into substantial targets and tasks are selected improperly while the guidelines on the methods are unclear as well.
- **Lack of communication**- insufficient or improper communication. The lack of verification of the level of understanding the message.
- **Improper motivation**-effective motivation systems unfit for the strategy and non-supportive to the target performance, rewarding improper behaviours and actions may negatively affect the strategy performance and for effectiveness of strategy performance, rewarding the people who achieve satisfactory results must become obvious.

- **Insufficient resources**- wrong selection of the appropriate resources, improper allocation and inappropriate combination thereof According to Kaplan and Norton (2000) about 65% of enterprises do not allocate sufficient resources for the strategy performance purposes. As a result, a significant part of the measures related to strategy is condemned to fail at the very start of the implementation. Allocation of responsibility and accountability is another very important element in the proper allocation of resources (Pindelski and Mrŏwka 2011:45).

- **Control systems**- the lack of control and monitoring of strategy performance progress, the lack of consistence in monitoring and supporting the employees in the performance thereof; another reason for the gap in between strategy and its performance are the what Pindelski and Mrŏwka (2011:46) call the three lacks as follows:

Lack of control and monitoring of the strategy and performance progress,

Lack of consistency in monitoring, and;

Lack of support for the staff in its' performance management implementation endeavours.

The measurement of numerous parameters creates the excess of information, the absorption thereof being impossible for managerial staff to make decisions.

- **Ignoring the environment**- the varying degree elements of environment and the lack of space for the possible strategy changes in the course of its performance. Improper adaptation of the strategy to the varying enterprise environment will result in strategy implementation failure.

Alashloo, Castka and Sharp (2005) categorized reasons for the failure of strategy under four main heading: namely; *planning consequences*, organisational issues, *managerial issues* and *individual issues.* Drivers of strategy implementation according to Jooste and Fourie (2009:62) are follows;

- *The organization structure*

- *The allocation of resources in the organisation*

- *The culture of the organization*
- Training and development in the organization, and the information systems of the organisation.

6.4.3 The Impeders of Performance Management Implementation in The Current Model From Empirical Evidence In Study.

TABLE 12: IMPEDERS OF PM IMPLEMENTATION

No	Impeders	No	Impeders
P	**PLANNING CONSEQUENCES**	**O**	**ORGANIZATIONAL ISSUES**
P1	Lack of consensus among decision makers (teachers, school heads, DEOs and the Provincial Education Directorate) on performance management implementation	**O1**	Unsuitable resource allocation (schools not well resourced with computers and copy machines and PM stationery and guide books)
P2	Unsuitable training system	**O2**	Lack of adequate communication (top-down; bottom-up and horizontally within the ministry and schools)
P3	Lack of choice of real strategy	**O3**	Lack of effective coordination (programme being coordinated in a haphazard fashion)
P4	Unclear regulation and executive policies	**O4**	Unsuitable evaluation and control systems (instrument to measure performance not compatible)
P5	Lack of provincial/district/school strategy	**O5**	Lack of incentive systems
		O6	Lack of adequate information systems

		O7	Incompatible organisational culture
M	**MANAGERIAL ISSUES**	**I**	**INDIVIDUAL ISSUES**
M1	Unsuitable leadership	**I 1**	Lack of adequate capabilities by employees (Knowledge, skills and aptitudes)
M2	Lack of leadership commitment	**I 2**	Lack of understanding of strategy
M3	Lack of enough motivation	**I 3**	Lack of enough motivation for employees
		I 4	Inadequate connection to vision (no buy-ins, no engagement)
		I 5	Lack of employee commitment

Author's own thought

6.5 CRITICAL SUCCESS FACTORS IN STRATEGY IMPLEMENTATION

6.5.1 Performance management as policy implementation:

The pioneering work by Pressman and Vildavisky (1973) recognised that implementation is the key element of public policy making and public administration to which education is intricately linked. In an attempt to minimize implementation failure, follow up studies to that of Pressman and Vildavisky have largely focused on identifying and researching the causes of failure of policy particularly at the implementation stage. This led Hogwood and Gunn (1989:198) to conclude that there should be no distinction between policy formulation and implementation, for "what happens at the so called implementation stage will influence of the actual policy outcome"

Public policy literature suggests that for the implementation stage of the policy process to succeed there needs to be simple workable models, frameworks and approaches of a policy sequence that involves a few steps between formulation and implementation as is possible. The involvement of limited players so that the demands and coordination do

not become too great; a chain of accountability that allows one actor to intervene and accept responsibility for problems that may arise; a line of authority so that those responsible for implementing have a hand in the design of the policy; and that stakeholders are motivated to ensure programme succeeds; scope for continuous comprehensive evaluation of the policy being implemented and that the implementation process must be considered by policy makers to be as important as formulation.

6.5.2 Prepare Implementation Strategy

Implementation strategies describe the practical steps needed to translate new ideas and approaches into on the ground outcomes (Australian National Office 2009). These new ideas can be policy interventions to public sector organisations that may not be functioning optimally. However, these implementation strategies are likely to work best when informed by experts and practitioners with experience and expertise coupled with client and stakeholder consultation.

The implementation will be facilitated by communication strategies which are designed to achieve broad understanding of feedback on and support for the initiative. To develop these strategies there is need to develop early consultation and agreement with stakeholders to obtain a clear understanding of roles and responsibilities; mechanisms and timing (Australian National Office 2009:34)

6.5.3 Organisational Factors

Organisational factors that play a huge role in the success of organizational strategy implementation are leadership and human resources (Sororshian, Norzima, Yusof and Rosnah, 2010). Leadership assumes a critical role in the formulation, implementation and, management of the strategy. In the findings of this study, there was emphasis by interviewees across the four strata of respondents showing that proper leadership of the programme was lacking (cf.par.3.7.1.2 and 3.7.1.3). Leadership is needed in an organisation if it is to achieve its goals. Fullan (2006:33) asserts that “It has become increasingly clear that leadership at all levels of a system is the key lever for reform, especially leadership that focus on capacity building and develop other leaders who can carry on”. Leadership is tasked with creating changes that can be embraced and owned by teachers who are responsible for implementing the change in the classroom (Hall and Hord, 2001 in Heck and Hallinger 2009; Fullan 2006).

Leadership that build capacities within their organisations are capable of improving performance and the quality of working environment by meeting the organisations fundamental needs, facilitating the achievement of results by building strong teams and empowering team members through involvement and engagement through training and development (OPHA, 2009). This suggests, as stated by Elmore (1992, 2004) that for change to take place effectively, it needs to take place at the smallest unit level, at school and teacher level. Leadership of the strategy implementation process is a shared responsibility between all the people in the organisation and is not centralized in the one who occupies the highest office in the institution.

Human resources are an integral part of an organisations success strategy. Without them all the other factors for the organisations' success become irrelevant. Human resources have always been named as the most important resource in an organisation. According to available literature, the development of a competent human resource base is every organisation's trump card (cf.3.3.2.1; cf.3.3.2.3; cf.3.7.1.3; c.f.3.7.1.4; 3.3.2.3; cf.2.3.2.2; c.f.2.3.2.1). Findings show that there was inadequate training offered to implementing agents of the performance management process as evident in the low level of understanding by staff on what exactly the performance management entails (cf.2.3.1.5.; cf.3.2.1and cf. 3.4.1.4) and the low level of buy-in by teachers, school heads and even DEOs (cf.2.3.3.1), so the need to train implementers adequately at implementation followed by regular training will enable programme to be institutionalised amongst individuals. When leadership is adequately trained it will use its power to influence followers towards intended change, and the thoughts and actions of followers will engender commitment to the leaders' goals at the same time developing an internalisation of the employees own values (Mau, 2007).

Leadership is a compulsive force in the effectiveness of strategy implementation process. It is the leadership that transforms the strategy blue print into actions, behaviours and results by creating value by mobilizing and guiding the process of change required to effectively implement and develops the human capital competencies required to effectively implement strategy (Kaplan and Norton (2004). It is such leaders as these who become drivers of strategy implementation. Training and development are the key strategies that can be utilised to improve the quality of leadership in any organisation, thus it is necessary that:

Leaders and teachers must be trained on how to link individual goals to organisational goals. The development of a national set of principles for effective performance management is very important (Nexus Strategy Solutions 2009), therefore, the establishment of a performance management policy crafted by teachers, school heads, DEOs and the Provincial Education Directorate should be of paramount importance because it embraces the culture, expectations and aspirations of the personnel involved in implementing performance management at a province wide level. The results show that the leadership and management level personnel has a low understanding of policy formulation based on the question where these leaders were required to explain whether the performance management information helps them to formulate policy pertaining teachers' work.

The executors of a programme are very important in the execution of a programme. These executors include the top management, middle management, lower management and non-management. This implies that the effectiveness of strategy implementation is affected by the quality of people involved in the implementation process. Their skills, attitudes, capabilities, experiences and other characteristics of people required by a specific task or position influences the level of implementation success (Peng and Littlejohn 2001 in (Li, Guohui and Eppler, 2008)

- Train leaders and teachers how to focus on performance improvement activities and identify evidence of improvement in the individual's performance Training school leaders to undertake performance management effectively in schools, developing on-going monitoring of implementation

- .Train leaders and teachers to review and update plans regularly (OPHA 2009), and use of provincial funds to design appropriate computer software to reduce paperwork associated with performance management (Nexus Strategy Solutions, 2009).

- Train leaders to give feedback and train employees to receive feedback. (cf.par.5.9.1.4)and (cf.par.5.9.1.5). The primary purpose of performance management conversations is to drive immediate changes in current behaviour to meet expectations. Therefore, the most appropriate starting point in the conversation is success factors, followed by perceptions to indicate exactly what is expected of the person and where the person is falling short.(Smither and

London 2009:129) and establish quality feedback mechanisms that enhance understanding of the performance management process (Nexus Strategy Solutions, 2009)

- Train teachers how to receive feedback of performance evaluations. Teachers must always adapt themselves to function in a world where chance is the only constant. This, according to Kotter in Winninger Aarts and Burch (2010) involves leaders in creating a vision of the future and a strategy for achieving this vision by communicating that direction to all relevant parties so that they may understand it and believe it. Further to that, leadership needs to provide an environment will inspire and motivate people (teachers) to overcome any obstacles that may arise along the way (Kotter in Winninger, Aarts and Burch, 2010). In this way leadership transforms itself to effective leadership that produces useful adaptive changes for organisations.

6.5.4. STRATEGY FORMULATION

According to Pearce and Robinson Jr (2009:23), strategy formulation is a guide to executives in defining the business their firm is in, the ends it seeks and the means it will use to accomplish those ends. In the MoESAC, management and senior executives need to redefine their ministry so as to enable the MoESAC and schools as organisations to respond to the challenges in the education environment and in general, and also to enable it to respond to challenges in the performance management implementation process specifically. Therefore, organizations formulate strategy by firstly defining the mission of their organization. A company's mission is the unique purpose that set the company apart from others of its type and identifies the scope of operations. Organizations are consciously created at one point in time to accomplish certain objectives, (Onwuchekwa, 1993:106). In order to accomplish the objectives which they have set, organizations formulate appropriate strategies which give rise to development of organization structure through which the set objectives will be achieved, hence in strategic management; organizations choose appropriate organizational structure that matches the environment in which the organization operates as well as the productive activities of the organization.

At the implementation level of formulated strategies there could be further environmental changes which indicates that there could also be further strategic

planning analysis of the new changes. This is done by the organization such that the organization is not taken by surprise, which could lead to some losses in investment caused by the new changes. The new analysis to the changes are called real time response issue or surprise issue, (Ansoff, 1984). When formulated strategies are being implemented as a response to changes in the environment, two major problems are faced by organizations. (Onwuchekwa, 2000:1). The problems are: Behavioural resistance to strategic changes and Systemic resistance to strategic changes.

The former being mostly common among the middle and first line managers who have most time feel that their interests and positions may be affected by the new strategic changes hence they psychologically resist the changes. The systemic resistance to changes occur in a situation where there are the structure deficiencies in the organization. The structure of the organization must contain appropriate skills system, flexibilities, managerial mentalities and critical success factors if the purpose for which strategies were formulated must be accomplished.

6.5.4 STRATEGY FOR IMPLEMENTATION OF PERFORMANCE MANAGEMENT

A conceptual understanding of implementation as a process that enhances the realisation of a strategy is important. For some scholars implementation is comprised of a series of administrative sub-activities. The implementation of strategy is comprised of a series of sub-activities that are primarily administrative (Andrews et al 1969). Such administrative activities include among others the allocation or reallocation of resources, funds, equipment personnel and the adjustment of the organisational structure (Chandler, 1962), and becomes a process of causing the firm to behave in accordance with the purposes, guidelines and strategies (Ansoff and McDonnel,1990) for which it was meant to fulfil.

Strategy implementation is concerned with the translation of strategy into organizational action through structure and design, resource planning and the management of strategic change. Candido (2001) suggest that strategy implementation is likely to be dependent on the extent to which these various components are effectively integrated to provide in themselves, competencies which other schools find difficult to match. Anichebe and Agu (2013) suggest that for strategy implementation to succeed, top

management should take more responsibility in reducing uncertainties for the organisation for the organisation through strategy formulation, management need also to position the organization in such a way that they develop activities that enable them to integrate management functions through organizational designs that will that will support strategy implementation, by reducing systematic resistance through appropriate organizational structure. A new performance management system cannot succeed without senior management support and commitment. To ensure this vital support, organizations can employ a technique known as the Awareness, Buy-in, and Ownership (ABO) Continuum2 to gauge the level of support and commitment among senior manager (IMA, 1998). This is enhanced by making sure those teachers and all other people that are involved in the implementation process reduce fears and encourage implementers to work and perform optimally. In its simplest terms, implementation in school organizations is, thus, the execution of a new strategy execution which is constituted by a sequence of actions that involve almost every organizational department resource (teachers, leaders, financial and technological resources) in a coordinated way. Such executions result in changes in the direction of the school as an organisation thereby giving a different shape to what is being done.

The strategy is based on the identified challenges to the current performance management implementation process. Key issues raised as challenges are turned into strategy actions for implementation of an enhanced programme that integrates all programme success requirements in order to roll out a successful implementation plan

6.5.4.1 PERFOMANCE MANAGEMENT IMPLEMENTATION ACTION PLAN

The performance management implementation plans outlined below are utilised to address strategy implementation issues and are described in full in the paragraphs that follow.

6.5.4.2 STRATEGY 1: Formulate and communicate a performance management policy

-formulate a policy to guide performance management implementation strategy at school level

- **Identify Lead Persons to formulate and communicate implement strategy:**

-People responsible for process shall include school head, school teachers, site champions, SDCs, PTAs Responsible Authorities, MoESAC representatives-DEOs and DPEDs.

- **Identify Critical Resources for successful implementation of strategy:**

Technological resources (computers, printers, photocopiers, internet facilities) Financial resource allocations for bonus, salary increments, time allocation to sit and brainstorm, deliberate and compile policy and expertise (policy formulation craft competency and craft literacy)

- **Identify Time frames for accomplishment:**

-Annually to accommodate changes in the internal and external environments

6.5.4.3 STRATEGY 2: Training Of Implementers And Evaluators Of Programme

Appraisal systems suffer leniency problems (Kim, 2009). In the context of Zimbabwe's performance management system, school heads tend to evaluate subordinates leniently with very little differentiation between high or low performers. Due to lack of expert training on performance management implementation and evaluation, school heads are more inclined to produce lenient appraisals of employees. A critical component of effective performance is a point in the process where the manager and employee, having agreed on targets for development, create the employee development plan (Smith and London 2009:129)

- **Identify Lead Persons:** School head, strategy champions, teachers, stakeholders and Ministry reps (DEOs)
- **IDENTIFY RESOURCES FOR SUCCESS:** Training manuals, finance to support the programme through workshops, seminars, venues among other things, remuneration

- **Identify and set time frames for implementation and evaluation:** Once every quarter, with extensive feedback and communication with participants and implementers

6.5.4.4 STRATEGY 3: Make Adequate Resources Available Early On In Programme

Availability of adequate resources is one of the key ingredients in the recipe for success. If resource allocation is done correctly becomes a driver of strategy implementation and it ensures the effectiveness of the strategy being implemented. The availability of financial, physical, human and technological resources at the right phase in the right quantities in the strategy implementation process is of utmost importance for the effective and successful implementation of the organisations (province, districts and schools) preferred strategy. These resources need to be allocated in a way that aligns them to effective strategy implementation, thus, a change in strategy implementation requires a change in or reallocation of all the four different classes of resources named above (Kaplan and Norton, 2004).

Empirical evidence from this study suggests that resources for the implementation of performance management in schools were lacking (cf. par. 5.6.1) and this concur with findings from literature and empirical evidence from Ghana and Nigeria in West Africa (cf.par.2.10.1.1 to cf.par.2.10.1.4) and literature and empirical evidence from Kenya, Tanzania and Uganda in East Africa (cf.par.2.10.2 and cf. par. 2.10.2.6). Apart from the tangible resources necessary for strategy implementation identified in the paragraph above, Kaplan and Norton (2004:4) also identify three categories of intangible assets that are essential for the implementation of strategy and these are: *Information capital, human capital and organizational capital* as essentially prerequisite in the effective implementation of strategy. Information capital affords the province, districts and schools with the systems, databases and networks that enable information to flow back and forth amongst teachers, school heads district managers and the provincial education directorate as well as between these various strategic levels where the strategy implementation process hinges upon. Thus, the schools, district and province need to be equipped with the equipment and technological facets that enhance the building of the requisite level of information capital in order to successfully implement the chosen strategy.

The human capital comprising knowledge, skills, values and aptitudes necessary for the successful implementation of strategy (Kaplan and Norton, 2004) need to be developed so as to enhance the teachers, school heads, and middle managers at the districts and senior managers at the provincial education directorate in their abilities to implement the chosen strategy. This is achieved by instituting thorough training programmes facilitated by experts in the field of education to eliminate knowledge gaps in the training process (cf.par.5.4.1.1; cf.par.5.4.1.2; cf.par. 5.9.2.6)and further coaching mentoring and continuous development processes at the provincial, (cf.par.2.6.1.2) district and school levels which is tailor made to address the challenges emanating from the complex organizational structures and cultures.

Lastly, organizational culture has to be developed to be a driver of strategy implementation by enabling the organizational capital stock through leadership culture socialization and alignment of goals and rewards with strategy. Leadership culture refers to shared assumptions, beliefs and behaviour norms that the members of an organization share (Handy 1993:180, Peace and Robinson 2005:345). This culture refers to "…the way we do things around here" Thompson and Strickland 2003:420). In the province, different districts need to be able to develop a strategy and tactics of implementation that take cognisance of the idiosyncratic differences that abound in their internal environments. There is no "one size fits all" in strategy formulation, implementation and evaluation and control in district and school settings because these are different in their level of need for human capital, financial capital physical capital and other capitals.

The districts and schools need to build a corpus and cultural stock that enables then to effectively implement the strategy that ensures that performance management yields solutions to the current challenges bedevilling the schools and districts. An inappropriate culture can be a barrier to or an enabler to the implementation of the right strategy of implementation of performance management. Thus, the building of strong organizational cultures in each school and district is seen as a way to promote the effective implementation of strategy. Also, the aligning of vision, mission strategy goals and objectives of the schools and districts enables a culture needed for the successful implementation of a strategy that fosters success in performance management implementation to be built. Organizational culture and leadership are closely intertwined,

so the schools and districts need to develop, instil and cultivate the right kind of culture that enables strategy implementation to be successful.

- **Identify The Lead Persons:**

School head, teachers, school champions, DEOs and SDCs, PTAs and School Responsible Authorities shall comprise the task team. Each member of the lead persons' team is tasked with specific activities to oversee in the strategy implementation process, and they evaluate success or failure early on in the strategy implementation process. Provide opportunities for updating sessions as a way to monitor and keep track of all steps of the strategy implementation process.

- **Identify And Allocate Adequate Resources:**

Policy documents, with explicit guides for every facet of the performance management implementation strategy, instructional manuals detailing how resources will be used to achieve objectives and what each specific person at their level will do to achieve the strategy objectives.

- **Identify Explicit Time Frames For Implementation And Evaluation:**

Quarterly, well before the tri-monthly reviews are done.

6.5.4.5 STRATEGY 4: Remunerate Positive Behaviour And Results

Remunerating positive behaviour is a way of reinforcing behaviour that leads to superior performance. Reward systems are known to be positive drivers of strategy implementation. A variety of incentive strategies can be created to enhance employee contribution to organisational effectiveness (cf.par. 2.3.1.4).Teachers who consistently exude superior performance feel valued when they are equitably compensated (Kim, 2009) (cf.par.2.3.1.4). One of the primary purposes of performance management is to distinguish between high performers and low performers in an organization (cf.par.2.3.2.1) because current strategy does not differentiate the performance of teachers (cf.par.5.5.1.5; cf.par.5.5.1.6). Use of positive rewards reinforces a high achievement culture in an organisation and sends message to underachievers to improve their efforts (cf.2.3.2.1). Motivated and competent teachers are necessary for

the effective implementation of strategy, establishing a province wide reward system is one of the most powerful tools the province and district and schools can use in the development of commitment and motivation to the strategy implementation process among personnel.

Rewards reinforce and condition employees to effectively implement strategy. However, rewards must be positively linked to specific outcomes necessary for the effective implementation of strategy and must focus on rewarding managers and employees at all levels for taking action and for the achievement of desired goals (Hrebiniak, 2005:189). The reward system reflects the attitude of top management towards performance management and they exert an influence on organizational culture and leadership (Robinson, 2005). The current system of remunerating teachers under performance appraisal system does not differentiate among performers and non-performers (cf. par. 5.5.1.5 and cf.par.5.5.1.6) and becomes one of "*the silent killers"* of performance management implementation success. The practice of failing to distinguish between high performers and low performers is highly symptomatic of the harmony orientation embedded in the Ubuntu philosophy of management to which every African subscribes, so as not to arouse or trigger conflict and tension through critical and negative appraisal (cf.par.2.4.4 to 2.4.5) Implantation of innovations without adapting them to local environments (cf. par. 2.4.8.1); cf.2.par.4.8.3 and (cf.par.2.4.8.3) on cultural issues in performance management (cf.par.2.4.7).

The current appraisal system where high performers are awarded US$5.00 from the post level of class teacher to the post level of Provincial Education Directorate defeats the purpose of merit. If employees do not see significant distinctions between top performers and poor performers, the top performers may become frustrated and reduce levels of performance. Also if all or most of the employees get the increments it becomes an entitlement and statements by respondents that, "*No one has ever lost a job due to underperformance"* are transformed to influence the culture and work ethic in schools. Rather create a win-win situation among high performers by ensuring that they receive incentives, recognition and eligibility for promotions and that low performers win by undergoing the training they badly need to function optimally and/or other performance related discipline that is meant to shake them up into doing something.

The biggest challenge the provincial team will meet in trying to remunerate positive behaviour is the lack of clarity on the management philosophy at work in the MoESAC. The performance management ethos were conceived from western management thought but the entrenched Ubuntu management distorts that by sticking to solidarity issues whereby all employees are said to be receiving a flat rate of incentive .

- **Identify Lead Persons:** school head, DEOs, provincial education directorate, responsible authorities. Identifying the lead persons enables the organisation to entrust responsibility for the successful implementation of a strategy. The school head as the person in the work environment ought to be identified as the coach, the champion and the accounting officer in the performance management chain at the school level. The professional conduct of the school head inculcates a culture of hard work, honesty and truth to duty as the needle is to the pole.

  The DEOs are officials who are in charge of supporting, monitoring and controlling the implementation of performance management activities at the schools. Their ability to use performance information may empower and equip school managers to be effective champions in their respective schools. Training needs that are identified need to be responded to in order for teachers and school heads to develop positive affect from the implementation process. Recommendation for the awarding of both tangible and intangible rewards is of vital importance in building employee confidence in the system.

- **Identify Resources:** Financial and non-financial rewards such as recognition, praise

- **Set Time Frames For Implementation And Evaluation**: Monetary incentives to be given monthly after being recommended the previous year, non-financial rewards to be given when positive performance is observed.

6.5.4.6 STRATEGY 5: LEADERSHIP TRAINING AND DEVELOPMENT:

Principals are the lynch-pins of an effective performance management system, so the success of performance management in any organization is a function of the factors operating at the local level (Nexus Strategic Solutions, 2009:2). Responsibility to carry out performance management has been delegated to principals at school levels (Nexus

Strategic Solutions, 2009) see (cf.par. 2.3.3.1; cf.par.2.3.3.2 and application of bureaucratic management theory to educational settings (cf.par 2.3.3.3).Proponents of leadership argue that leaders by their very roles, are responsible for making decisions that help the organization to adapt and succeed in competitive environments (O'Reilly, et al (2009:104) A number of studies have shown how a crucial determinant of successfully implementing a new strategic initiative is whether the lower level leaders support for change

Leadership is a multi-layered entity and in an organisation every layer becomes an entity for leadership with responsibilities to influence the implementation direction of agreed strategies. Therefore, building active leadership and support from top management through to the bottom of the school becomes extremely important, however, the implementers of this programme in Zimbabwe were not adequately prepared (cf.par.3.6.1.2).The programme lacked informed leadership at school level(cf.3.6.1.5),policy formulators underestimated the contribution that leadership at school level brings to programme success(cf.par.3.6.1.5; cf.par.3.6.1.4, cf.par.3.6.1.7). The energetic and sustained support from the organizations' leaders at various levels is important for performance management implementation to succeed; these people create and communicate a vision for the performance measures used how managers, employees, and stakeholders will benefit. (Government Finance Review, 2006:55) The more involved middle level managers were the in formulating their organizational strategy the more the organization improved as a result of the new strategy (O' Reilly et al: 105). If middle level managers do not support the strategy they are more likely to sabotage it (O'Reilly, et al 2010).

To implement a new strategic initiative, leaders at the institutional and subordinate levels must reinforce it: that is they must allocate resources for it, but in the MoESAC resources are always thin, evaluation form were improvised, schools had financial challenges, teachers had to sacrifice their meagre incomes to subsidise government programmes, time constraints because the performance management system was time consuming and lots of paperwork (cf.5.5.1.1) consumes time for teachers, school heads DEOs and Provincial Education Directorate officials (cf.par.5.5.1)deal effectively with resistance to it, and convince employees that the new initiative is important to the employees' interests so as to build support for the programme (Cannella and Monroe, 1997; Rotemberg and Saloner, 1993 in O'Reilly, et al 2010).

- **Identify Lead Persons:** School head, teachers, site champions, trainers and DEOs. Allocate tasks to each of the lead persons and strategy objectives to enable them to track implementation and implementation success or failure. Each member of team record results of progress or lack of it thereof, correctly identifying the threats and opportunities to implementation and report at quarterly meetings to lead people's team.

- **Identify, Allocate and Provide Adequate Resources**: ICTs, infrastructure, finance, and stationery needed to successfully run this phase of the strategy implementation process.

- **Set Time Frames For Evaluation:** Quarterly sessions for reviewing progress and re-planning for the next requirements of the next strategy implementation cycle.

6.6 HUMAN FACTORS FOR STRATEGY IMPLEMENTATION SUCCESS

Sufficient staff training- implementation of performance management system requires skills that current staff and especially those on the project team may not have in a long time. Addressing the concerns through thorough training programmes to achieve understanding and overcome resistance. (Kreklow, 2006:55). The development of human capital and the exploitation and maintenance of core competencies also play an important role in strategy implementation (Jooste and 2006).

In their study, Viseras, Baines and Sweeny (2005) grouped thirty six key success factors into three categories: people, organization systems in the environment. Findings indicate that strategy implementation success depends crucially on the human factors of project management, because human capital an important factor in the productivity of organisations (cf.par. 2.3.1.1),they influence the competitiveness of organisation and thus builds to organisations cultural stock (cf.par.2.3.1.2), and less on the organization and systems related factors (Li, Guohui and Eppler, 2008:14)

Several researches have emphasized the effect of top management on strategy implementation (Hrebiniak & Snow, 1982: Smith & Kofron, 1996: Schmidt and Brauer, 2006: Schaap 2006 in LI, Guohui and Eppler, 2008:14). Hrebiniak and Snow (1982) particularly found out that the process of interaction and participation between and

among top management team leads to greater commitment to the firms' goals and strategies (cf.par. 3.3.3.1); lack of involvement of teachers and teacher unions at inception of performance management in schools (cf.par.3.6.1.2); because performance improvement programmes were derived from management theories developed when employees had little specialist knowledge, and during the command and control management style, programme initiators assumed that top-down methods would ensure compliance and success (cf.par.2.3.3.1) and lack of political will to support the programme (cf.3.6.1.4). Having everyone involved in the programme build shared vision of the goals and objectives of the programme builds positive affect in programme implementation success. Competing philosophies between performance management implementation programme and expectations of teachers on the programme benefits creates restraining forces in programme implementation.

Some authors have classified it as unfortunate that few studies have committed themselves to study the impact of lower management on and non-management on strategy implementation. Gronroos (1985) in Li, Guohui and Eppler (2008:17) believes that an organization must first persuade its employees about the importance of the strategy before turning to its customers. Alexander in (Li, Guohui and Eppler, 20008:17) suggests that half of the corporation's problems are due to the fact that those involved have insufficient capabilities to perform because they have been inadequately trained (cf.par.5.4.1.1; para.5.4.1.2; cf.par.2.3.1.5; cf.par.3.2.1 & cf.par.3.4.1.4). If lower level management and non-management personnel are not aware of the same information, then consensus building becomes difficult to achieve among such groups of employees, in the context of MoESAC as outlines in the Public Service documents, There were sixteen reasons mentioned for the implementation of PM and it confuses employees because the objectives of the programme are too many (cf.par.3.3.3.6; and cf.par.5.4.1.2). Thus, the lack of shared knowledge between lower level management and non-management employees creates a barrier to successful implementation (Noble,1999b) Though few authors have committed little research on the relevant value of communication, it has become increasingly imperative that that the organization's communication strategy brings the ability to create and disseminate its strategy. The content of such communication involves clearly explaining the what the new responsibilities are, tasks and duties that need to be performed by the affected employees, making it explicit why there has been such change and reasons why the

new strategic decisions were made. So effective communication is a key requirement for effective strategy implementation communication may come as training, knowledge dissemination and learning during the process of strategy implementation (Li, Guohui and Eppler, 2008:18)

In order for strategic consensus to be formed, vertical and horizontal communication is absolutely important in an organization. A study by Schaap (2006) shows that about 38% of senior leaders do not communicate the organization's direction to and business strategy to all of their subordinates, it is important that organizations constantly engage in communication up and down the organization to enhance strategic consensus and fostering shared values and attitudes (cf.par.5.7.1; cf.par.5.7.1.7;and cf.par.5.9.2.) on selective performance information use. Nutt (1986) in Li, Guohui and Eppler, 2008:19 identifies four types of implementation tactics used by managers, these are: *intervention*, *participation, persuasion and edict*. Intervention tactics had 100% success rate, while persuasion and participation elicited about 75% success rate and implementation by edicts had the least success. Intervention refers to strategy adjustments during the implementation stage including introducing new norms and practices.

Participation consists of articulating strategic goals and nominating a task force that develops and proposes corresponding implementation options, persuasion consists of tactics using the involved parties to convince employees about the strategy's decided course of actions The main mechanism of implementation in the edicts tactics (that relies on power is characterized by the absence of participation) is the issuing of directives Bourgeois III and Brodwin (1984) in (Li, Guohui and Eppler, 2008:20) examined five process approaches used to advance strategy implementation*: Commander model, Change model, Collaborative model, Cultural model and the Coercive model.*

The creation of a capable leadership is another strategy needed to make the implementation process a success. Leadership, and specifically strategic leadership, is widely described as one of the key drivers of effective strategy implementation (Noble 1999; Bossidy & Charan 2002; Thompson & Strickland 2003; Freedman & Tregoe 2003; Kaplan & Norton 2004; Hrebiniak 2005; Pearce & Robinson 2007). A lack of leadership, and specifically strategic leadership by the top management of the

organisation, has been identified as one of the major barriers to effective strategy implementation (Alexander 1985: 91–97; Business Day 1999: 37; Beer & Eisenstat 2000: 29; Kaplan & Norton 2004: 277; Hrebiniak 2005: 17).

6.7 OTHER MODELS OF IMPLEMENTING STRATEGY

Commander model- addresses the strategic position only and should guide the CEO in charting the firm's future by planning resource allocation to achieve his goals. (Li, Guohui and Eppler, 2008)

Change model -emphasizes how the organizational structure, incentive compensation, control systems and so forth can be used to facilitate the implementation of strategy (In Li, Guohui and Eppler 2008:20).

The Collaboration model -concentrates on group decision making at a senior level and involves top management in the formulation process to ensure commitment (Li, Guohui and Eppler, 2008:20).

Cultural model uses and derives from the corporate culture of an organization to implement strategy (Li, Guohui and Eppler 2008:20).

The Coercive approach -draws on the manager's inclinations to want to develop new opportunities as s/he sees them during the course of their day-to day management.

Lehner (2004) in Li, Guohui and Eppler (2008) takes implementation tactics as genuine organizational behaviour based on the assumption that implementation is generally dependent on the internal environment. And as such, Lehner (2004) based on Bourgeois III Brodwin (1984) proposes five alternative implementation tactics: Command, Change/politics, Culture, collaboration and Coercive/market

*Command and Change/*politics tactics are coercive tactics and can be classified as tell/sell tactics to change management and by contrast, the Collaboration and Market tactics utilize high participation in a way that gives subordinates a voice, the possibility of tem influencing the selected implementation tactics and selected courses of action. Culture as an implementation tactic is close to the transformational dimension of implementation of strategy (Li, Guohui and Eppler 2008:21).

6.8 CHAPTER SUMMARY

Chapter 6 analysed the current performance management implementation process and proposed a strategy for the successful implementation of performance management in schools in a province of Zimbabwe. The strategy was strongly informed by the current challenges to implementation of performance management whose success has been limited due to plethora of challenges in the training, resourcing leadership and management, incentive system, culture and perceptions of the performance management system. The provision of adequate resources, sufficient initial training coupled with regular on-going training support and coaching, transformational leadership, adequate financial and non-financial incentives and organisational culture have a big influence on strategy success. According to findings of this study, these very important facets were not evidently available in the current system. The strategies were derived from the comments made by participants to the research study during the data collection process. Also the findings from literature and the well documented silent killers of strategy also informed the strategy.

CHAPTER 7
SUMMARY, FINDINGS AND RECOMMENDATIONS

7.1 INTRODUCTION

The increasing demand for effectiveness, efficiency and economy in the manner public service employees utilize the meagre resources allocated to them amongst a host of competing social programmes cannot be underestimated. Effectiveness, efficiency and economy have been the buzz-words in modern day public administration and management including education in the past ten years. Further to that, the increased demand for accountability and transparency on teachers, school heads and other education managers led to innovative approaches to mitigate the provision of services in schools. One approach adopted in public services was the introduction of performance management in order improves the delivery of quality education. Chapter 2 and 3 indicated that the implementation of performance management the world over is

fraught with challenges and it is from such findings that the desire for this research was conceived.

The realisation that performance management continued to experience implementation problems even after more than ten years into its implementation in Zimbabwe's MoESAC prompted this research. This made participants able to give their perceptions, understandings, fears, frustration with the programme and process, and other vivid lived experiences that have confronted them in the implementation of performance management over the years and at the same time offer meaningful suggestions on what has to change in order for programme to succeed. .

This chapter was divided into sections and provides a synopsis of this study, its major findings and recommendations for further study

7.2 SUMMARY OF THE STUDY CHAPTERS

Chapter 1 presented an orientation of the study and explanation of the problem statement regarding the implementation of performance management in schools in a province of Zimbabwe. It was highlighted that the implementation of performance management in schools continued to experience overt and covert challenges and this highlighted the need to formulate a new strategy for the proper implementation of performance management in a way that ensures success.

This chapter also presented a framework of the study in its entirety, covering the research questions, aims of the study, research methodology and design and the subsequent chapters for the study.

Chapter 2 presented a focus into the theoretical basis of the performance management philosophy in the public sector in general and also specifically in education and schools sector. Various theories of management were presented; their major tenets outlined their relationship to the evolution of private sector management focus in the schools. Synthesis of these private sector management theories to schools were discussed, and their contribution to management of schools enumerated and critiqued.

Chapter 3 provided a historical account on the adoption of and the current state of performance management implementation in the whole country and specifically in

schools. A summary of the performance management processes and how the various players contribute to its implementation were explored and research boundaries established. Current challenges to the implementation of performance management were enumerated and factors that probably would increase programme implementation effectiveness were explored.

Chapter 4 presented the empirical design for the study. The justification for the methodology was given and the research philosophy was outlined. A detailed exposition of the research aims and objectives, methods of data collection and the whole research process was outlined. Guidelines on how data were collected and analysed were given and a methods for data analysis presentation and interpretation were given.

Chapter 5 in this chapter results of both the theoretical and empirical findings are presented and analyses made. Results from the study offered an adequate corpus of on data how teachers, school heads, district education officers and the provincial education directorate perceive and experience the current implementation of performance management in schools in the province. The results of the literature study and empirical findings were used to inform the development of a strategy for the implementation of performance management in schools in a province of Zimbabwe.

Chapter 6 presented the development of a theoretical framework for a strategy to implement performance management in schools in a province of Zimbabwe. The processes of strategy formulation, strategy implementation and strategy evaluation and control were discussed. The strategy for the implementation of performance management was informed and supported by findings from the literature study and empirical evidence from the research and was guided by the contextual factors emanating from training methods, perceptions on the programme, resources, culture, rewards and remuneration policy and performance management information use at school, district and province level. The strategy to assist in the implementation of performance management was designed.

The next section presents the findings of the study.

7.3 FINDINGS FROM THE RESEARCH

The following are the major findings of the study and they will be discussed with an explicit link to the aims **(cf.par 1.6)** and objectives **(cf.par.1.6.1**) in chapter 1. The presentation of findings is divided into sections. The first section draws answers given by participants as captured in chapters 5 and 6 guiding the study. The section will ensure that the attendant issues raised speak to the each of the aims of the study as directed by the research questions. In so doing the study will identify the challenges to performance management implementation and identify the contributing factors to these discrepancies. The second part will try to build theory from the corpus of findings by explaining the relationships between participant responses and success of implementation of performance management. The third section of the study discusses the study with reference to literature for purposes of comparison with international standards. Because performance management is heavily influences by a lot of contextual in the host schools, no reference will be made to benchmarking and international best standards.

7.3.1 FINDINGS FROM RESEARCH:AIM 1

To give an account of performance management used as a management tool in schools in Zimbabwe

This aim sought to address issues raised by research sub-question one (cf.par.1.5) derived from the main research question (cf.par.1.4) in the first chapter.

The following issues were identified as central to performance management in schools:

- PM is implemented on a cyclical process starting in January and concluding in October, culminating in the performance appraisal ratings being sent to the district office. (cf.par.5.4.1.1;) Performance management follows a cycle of implementation. The starting point being the planning stage where supervisor and supervisee sit and compile a work plan for the subordinate. The work plan covers all the duties and responsibilities of a teacher as detailed in the officers' job description. This is followed by the implementation phase where the action plans are turned into specific activities. The evaluation phase follows thereafter and the supervisor and supervisee score the subordinates' work performance.

The results of this evaluation are fed forward into the following years' performance management cycle.

- PM is a way of harnessing the efforts of the teacher in schools so they can work towards achieving organisational goals (cf.par.1.2.4)The performance management programme is supposed to be a strategy for empowering participants on the programme so that they may be able to function at optimum levels in their day to day tasks of teaching and management of schools..

- PM starts with supervisor and supervisee agreeing on work plans, followed by reviews throughout the year.
- PM is a strategy to improve the results of an organisation and requires adequate allocation of resources and implementation competencies to be effective, commitment to the agreed frameworks at all the levels of implementation (cf.1.2.4)

7.3.2 FINDINGS FROM RESEARCH:AIM 2

The provision of adequate resources in programme implementation is believed to be the key to whether the innovation succeeds or fails. Respondents in the current research highlighted the need for appropriate stationery, technological resources and being capacitated in the form of provision of vehicles to enable supervisor mobility for officials to be able to conduct on site spot checks to ensure success. Lack of resources to implement performance management systems end up seriously compromising the capacity of the change agents at the school, district and provincial strata in the MoESAC.

Resources are needed to develop the knowledge and skills capital stock needed to successfully implement performance management systems. Financial resources are required to train middle managers and those below them to enable the prioritization of implementation decisions. Reform initiatives that receive adequate funding and leverage other resources from the resource allocation process can be strategically positioned to be able to succeed in the strategy implementation process.

Lack of expertise in the MoESAC stifles the implementation process because no one will be having that specialist knowledge needed to fall back on and to energise the process. .As a result of the lack of expertise with the highly sought after implementation skills, there are disconnections and disparities in the intended strategy and what was taking place on the ground between school and district, and school and province in the implementation of performance management. Lack of relevant skills in the implementing cohort make implanted reforms such as performance management difficult to sustain under the different local contextual factors.

7.3.3 FINDINGS FROM RESEARCH : AIM 3

To explore the effectiveness of the current strategies for implementing performance management in schools

The aim addresses the pertinent issues raised by research sub-questions 2, 7 and 8 (cf.par.1.5) as derived from the major research question (cf.par.1.4) in chapter one. For some programme to be described as effective they must be able to focus on what the teacher, school head, DEO and Provincial Education Directorate must do from an outcomes-base perspective. Effectiveness is a measure of the extent to which the interventions' intended outcomes, that is the specific objectives, have been achieved explicitly, effectiveness is the relationship between the interventions outputs that is, its products or services, its immediate results and its outcomes. An intervention is considered effective when its inputs produce the desired outcomes, that is, it is efficient when it uses resources appropriately and economically to produce the desired outputs (Oppermann and Meyer 2008:194). The experiences at the policy implementation level have presented a challenging policy environment and the following have generally reduced effectiveness of the implementation process

- There has been an evident shortage of adequate financial support to schools, districts and the province so much that the purchase of consumables that influence quality teaching and learning may be secured at each level of the MoESAC in the province. (cf.par.5.6.1).Where teachers subsidise ministry by buying performance evaluation forms.
- Evidence from the study highlighted the shortage of technological resources such as ICTs needed to successfully implement performance management in schools

in the district. Schools connectivity to the internet is limited to very few schools, so changes in policy content takes too long to filter down to the people who are implementing the policy as it takes the slow communication route through circulars, meetings, and workshops. ICTs would greatly reduce the knowledge gap on performance management if teachers accessed ministry policies online. ITCs make it easy for teachers to complete forms, send information from schools to districts and from districts to province (5. 5.1.1)

- The performance evaluation form is giving implementers challenges in the following areas:

  - The instrument is said to be not suited to the evaluation of the teaching learning process.(cf.par.3.3.2.5 and cf.par.5.5.1.5; cf.par. 5.5.1.5 and cf.par 5.7.1.2)
  - The performance evaluation does not recognise the diversity that exists between schools as institutions and the teachers and learners in the schools.(cf.par. 5.5.1.4)
  - Performance management has not improved results in schools(cf.par.5.5.1.3) and has resulted in teachers cheating and creaming their way to secure favourable rankings on the performance league tables (cf.par 5.5.7.3)
  - The performance management form is complicated and makes the performance management implementation process less effective (cf.5.5.1.2)

7.3.4 FINDINGS FROM RESEARCH: AIM 3

To explore the understandings and experiences of teachers, school heads, district education officers and provincial education directorate towards implementation of performance management.

This aim consolidates the understandings and experiences of all educational personnel in the province derived from research sub-questions 3, 5 and 6 (cf.1.5) as derived from the key research question (cf.par.1,4).

- Staff at all levels of the ministry does not fully understand PM due to poor levels of training (cf.par.5.4.1.1; cf. par.5.4.1.4)

- Trainers who introduced PM to teachers and school heads were not quite conversant with performance management in schooling organisations (cf.5.4.1.2)
- Implementation of performance management was a top-down approach without input from people in charge of implementation at different levels in the ministry (cf.par.5.4.1.3)
- There is a lack of fit between the school context and the forms that are used to evaluate and rate teaching activities and as a result the performance evaluation data generated does is not trustworthy at all. (cf.par.3.3.2.3 and cf.par. 5.5.1.2)
- Senior managers in the province are not able to address this fit because public service commission demands that implementation be done as prescribed by them.
- It is generally believed that PM is not working in schools (c.f.par.5.5.1.1)
- Personnel showed the consensus that PM has increased the workload of officers at all the levels of the Ministry (cf.par.5.5.1.1)
- PM is considered a pain in the neck and a witch-hunting process(cf.par.5.7.1.7)
- PM is implemented as a rushed process (cf. par.5.7.1.6)
- Personnel in education not committed to PM (cf.par.5.7.1.4)
- There is nothing to write home about in the PMs (cf.par.5.7.1.4)
- PM is viewed as unpopular animal by the teachers and the school heads (cf.par.5.7.1.2)
- Teachers and school heads have negative attitudes towards performance management (cf.par.5.8.1.1)

Comment: The few training sessions that are seen as useful by teachers are those that take place in schools after the teachers' training needs have been identified; most school heads conduct workshops to close the gaps between expected performance and actual performance by teachers. The training workshops run by the ministry at district and provincial level are quite thin and in most cases when they do take place these sessions only offer to convey dictated changes coming from head office of the MOESAC and Public Service Commission.

7.3.5 FINDINGS FROM RESEARCH:AIM 4

To assess the extent to which performance measurement information is used for decision making in implementing performance management in schools.

Findings to research aim 4 are informed by sub-question 9 (cf.par. 1.5) as developed from the main research question (cf.par.1.5) in this study.

- There is a lack of trustworthiness of ratings in the current performance management system (5.8.1.1). Empirical evidence suggest that ratings are not trustworthy because of the following challenges:

  a) Ratings are rushed through.(cf.par.5.7.1.6)

  b) Raters and supervisees have limited time in which to do performance management tasks due to other responsibilities they are expected to fulfil

  c) There is evidence of lack of systematic monitoring and control for quality assurance from higher offices.

  d) In some schools the performance management process has taken the form of an event and not a process, drafting work plans, agreement on objectives, performance evaluation and rating all take place in one sitting.

  e) Biases in raters who choose to use the instrument to settle scores against subordinates

- There is evidence of lack of sufficient and quality feedback after appraisals from supervisors (cf.par.5.8.1.2) especially supervisors at district level who do not give provide feedback once performance evaluation forms are submitted at district office.(cf.par.5.9.1.1 and cf.par. 5.9.1.2).

- Productivity of performance management system (cf.par.5.9.1), the productivity of a system is seen in the can be measured by the results culminating from its

implementation. There is evidence to show that the current performance management system is less productive in the following respects:

a) The current performance management programme does not culminate in systematic and frequent training and development sessions for teachers and school heads so they may be equipped with the requisite skills to ensure effective performance management implementation in future cycles. (cf.par.5.9.2)

b) There is no sufficient evidence to prove that the implementation of performance management has improved the results of learners in national examinations at district and province levels also in the literature study, Nordic countries have experienced no improved to small improvement of learner performance due to performance management implementation (cf. par.2.9.1.4). In the USA, U.K, and it also has been reported that Performance management implementation has not improved results (cf.par.2.7.1.4)

c) There is overwhelming evidence that performance management implementation has not improved working conditions of teachers and school heads, instead, it has creased workload and paperwork (cf.par.5.5.1.1) and there is no marked improvement in the remuneration teachers, school heads and DEOs get as a result of their performance on the performance evaluation and performance ratings at the end of each performance cycle.

- There is evidence of partial/ selective / and /or non-use of information generated from appraisals (5.9.1.2) whereby information is used by school heads to improve implementation/ teachers' knowledge and skills (cf.par.5.5.1.1)selective use, whereby information is used to confirm conformance to the performance management systems for those who have applied for promotions and blatant non-use where no remuneration is given to teachers and other officials even after successfully implementing the cycle and even when school results have shown consistency.

7.3.6 FINDINGS FROM RESEARCH: AIM 5

To propose a strategy that empowers and capacitates teachers, school heads, district education officers and Provincial Education Directorate towards successful implementation of performance management in schools

Findings that address research aim 4 are informed by research sub-question 10 (cf.par.1.5) as derived from research question (cf.par. 1.4) of the study.

7.4 DISCUSSIONS (SYNTHESIS)

In general, teachers, school heads, district education officers and the Provincial Education Directorate suggest that they have not been able to successfully implement the Performance Management System (PMS) in their respective capacities and according to the expectations of their mandates. Several challenges were acknowledged at each implementation level in the province and these have been represented and discussed below.

7.5 RECOMMENDATIONS

Recommendation 1

Improve the understanding of officers at each level of performance management implementation cycle and the purpose of each step in the cycle in influencing the successful implementation of the performance management programme in the whole organisation - wide. The understanding of the clear goals of performance management system enables employees to perform at their optimum levels.

- **Motivation**

Implementing performance improvement programmes require that the implementers of such programmes have exceptionally high levels of understanding the structure and process of change required to culminate in the intended change. Teachers, school heads DEOs and the Provincial Education Directorate need to undergo high level intensive training to enable them understand the various steps in the performance management cycle and appreciate how the proper implementation of each step contributes to an effective and trustworthy performance management system. Supervisors and supervisees must undergo rigorous training on setting

SMART objectives that enable them to achieve the critical goals of the MoESAC at their different strata. Improved understanding of a programme results in having a clear vision and knowledge of the intervention strategy.

Adopt various performance enhancing tactics such as coaching to be at the heart of good day to day performance improvement activities in schools and districts and the province. The level of effective coaching makes significant difference in the quality of performance management implementation and the level of success achieved by the institution. Good coaching is genuinely linked with the use of technology in the development of new competence and new skills necessary to take the organisation to next higher performance levels.

Recommendation 2

Establish a fit between the performance management system and the strategic activities that enhance the performance of learners teachers, school heads, DEOs and the Provincial Education Directorate in the province as captured in the national vision of providing holistically well-educated Zimbabweans with *Unhu/Ubuntu* who are patriotic and self-reliant as out lined in the Zimbabwe Interim Education Plan 2011- 2015 as guided by the Education Act of 1979 as in the amended Education Act of 1992.

- **Motivation**

There is a disjuncture in the current strategy for implementing performance management as shown by the experiences of teachers, school heads, DEOs and the Provincial Education Directorate who argued that the performance management programme has not resulted in the improvement of results of schools in the province. They believe the ever improving results are a result of performance improvement interventions done in schools which are not even part of the performance management process that has resulted in the consistency of performance in national examinations.

Recommendation 3

Make performance management process effective by providing the necessary resources for the successful performance management implementation. Literature

indicates that salaries, advancements and promotions have to be tied to performance. In this study, it was observed that there was no meaningful relationship between performance and financial rewards, between salary increments, promotions and advancements. These were done in a harp-hazard manner without considering the performance of educators and other management personnel. This has left many teachers and those in management at district and provincial levels disgruntled and they felt that there was no need to work hard but should work so that they get paid. Build effective organisational structure, systems, culture, capacity and resources for successful implementation of performance management at all levels in the schools districts and province.

- **Motivation**

The lack of resources and capacity affects the success of implementing performance management at all levels of the MoESAC and particularly the grassroots implementers (teachers) and supervisors (school heads, district education officers and the provincial education directorate) who are expected to provide support, guidance and direction during the implementation process. Capacity can include organisational structure, which if endowed with competencies will effectively increase chances of success, whereas lack of expertise on performance management implementation in the organisation at school and district level is necessary for success.

Performance management systems generally seek to link rewards to (for example money or recognition) to performance. Awarding of incentives to the employee assures the employee that the employer is committed to the success of the programme being implemented and the absence of incentives sends a message that the change in is not important and the employer is not interested in its success. Thus, the employee will not commit their energy to make the change process a success.

Focus pay for performance systems on the individual performance awarding merit pay to teachers, school heads DEOs and Provincial Education Directorate when they achieve their individual stated objectives in a performance cycle. Offer team performance systems when the whole organisation has performed exceptionally

well. In the context of organisations in African settings it is also important reward groups and teams so as not to kill the spirit of Ubuntu by only focussing on individual rewards which may introduce competition amongst the teachers and between teachers and school heads who are supposed to work in teams to achieve organisational success and unity. This ensures that each employee is motivated to do their optimal best in the performance management implementation process without breeding the spirit of competition, hatred and insubordination which are all detrimental to performance management implementation success.

Offer team incentives as a way of introducing a good fit for team objectives. One of the attendant areas that were to be addressed through the implementation of performance management is the issue of rewards and incentive. Incentives are meant to build commitment and engagement to the company (school) so if these incentives are not awarded teachers, school heads, DEOs and Provincial Education Directorate personnel will only do the barest minimums in the expending of energies just to keep their noses above the water, so as to avoid being made redundant.

The ability of the organisation to be able to expend non-financial rewards cannot be overestimated. Recognition, achievement and responsibility may be used to motivate personnel into expending their energies for the organisations benefit. Incentive packages must be used to align the individual, teams and organisational goals towards successful PMs Implementation.

Establish organisational systems that develop budgets that ensure resources are allocated to ensure strategic success from school to province level. Teaching and learning materials to be in schools at least 30-days before schools re-open for the first term of each school year.

Formulate policies and procedures to support the organisations culture and enable employees to implement effective performance management in the whole MoESAC. At the centre of creating an enabling environment is the decentralisation of decision making to the schools and districts which are at the epicentre of the performance implementation process. Centralised performance management systems favour top-down implementations and these are not suitable in schools where diversity issues

can make or break organisational cultures. Decentralisation of performance management implementation allows individual schools and districts in the province to draw out a performance management implementation programme that respects the institutional diversities that exist at school and district level in the crafting of successful performance management systems.

Recommendation 4

There is evidence of selective/non-utilisation of performance measurement information in the current performance management process. The study recommends that the information collected be utilised accordingly so as to allow for improved performance by ensuring that incentives are awarded accordingly, that training gaps be filled with high skills enhancement in order to empower the teacher, school head, DEOs and the Provincial Education Directorate be able to lead the implementation of performance management programmes.

- **Motivation**

Address human factors in the implementation of performance management to ensure continuous improvement. Subjective application of performance evaluation techniques, the adequacy training of initiatives provide to provide the skills needed to drive the performance and meet performance expectations. Training is a key element in creating a positive social capital in an organisation. It also provides skills needed to utilize the performance management system fully and engage the resources needed to meet the goals of the MoESAC's performance management programme. The MoESAC must have in place training programmes to create an organisational culture that supports implementation of performance management by creating competent and committed leaders at all the levels of the ministry who can mobilise for the effective execution of performance management.

Training should enhance the supervisors' skills in rating subordinates fairly based on substantial facts on the performance of individuals they supervise. Supervisors need training on how to provide feedback to supervisees in a non-threatening manner and also with the expertise to do it objectively by highlighting where supervisees have excelled so as to motivate them to superior performance. Supervisors also need to have expertise and tact to highlight to supervisees where they need to improve in

order to enhance their ability to engage in the continuous improvement of the performance management implementation process. Supervisors also need to be trained on a continuous basis, to be able to train, coach and mentor their subordinates to produce superior performance by taking them through systematic coaching and mentoring. Training supervisors enables them to be able to mentor their juniors in the school diverse schooling environments that exist in different schools.

Supervisees also need to be trained so as they can master the performance management system in operation in the MoESAC so that they may be enlightened. The supervisees also need to be trained to receive performance management evaluation feedback so they may incorporate this information into the future cycles of the performance management implementation process.

Recommendation 5

Provide expert feedback to teachers, school heads and DEOs as a way of keeping the thumb of the MoESAC on the pulse of the performance management implementation process.

- **Motivation.**

In a performance management process regular feedback and reviews are necessary for the success of the performance management implementation. Therefore, it is important to equip each supervisor with feedback facilitation skills that convey the strengths and weaknesses of employees in a way that enables the subordinates to learn from their past shortcomings and build on their strengths in order to improve the implementation of the performance management system.

Feedback needs to be prescriptive of the different skills and competencies that supervisees must develop in order to function optimally in the successful implementation of performance management thus performance data must be trustworthy so as to be able to identify different strengths and weaknesses of each employee in order to then develop a tailor-made interventions and PDPs for every supervisee. As providing performance feedback has become more subtle, it has become imperative that supervisors be endowed with exceptional feedback skills.

When feedback information is not made available to implementers it that lack of information becomes a barrier to the successful implementation of performance management

7.6 CONTRIBUTIONS OF THE STUDY

-This study through the extensive literature study provides a theoretical framework on performance management systems in both developed countries and developing countries with special reference to the English speaking countries in African contexts.

-This thesis also contributes to theory on the implementation of performance management through the suggested strategy formulated based on the empirical evidence from the study..

-The study contributes to the general practise of education in the MoESAC Zimbabwe and probably in other countries in African contexts

-The study informs policy formulation, implementation and evaluation. The education policy making landscape needs informed decision makers who take cues from the political, technological and economic environments so as to enable policy and policy makers to address challenges in the education system.

7.7 RECOMMENDATIONS FOR FURTHER STUDY

- The research covered the performance management from the school, district and province level in its entirety need to be replicated in all the country's ten administrative/education provinces and see whether studies from the other provinces can have similar findings in order to create a national impression and formulate theory on performance management system implementation in Zimbabwe.

- Further research should be carried out to establish the effects of different types of performance rewards that can be adopted for implementation in the MoESAC in order to enhance the successful implementation of performance management

in schools in the province and national level in order to develop theory to guide the reward structures that must be enforced if performance management implementation is to be successful.

- Research should be done to establish how the involvement of teachers in formulating policies and strategy influence programme implementation success.

- Further research should be carried out to establish the how the cultivation of organisational cultures in different schools/institutions would help develop employee commitment to performance management implementation in schools.
- The performance review rating instrument generated discontentment among educational practitioners who suggested that the aspects covered by the instrument are not representative of the job descriptions of educators. Thus, further research should be carried out to determine the key activities of the teaching profession from the point of view of the teachers in order to ascertain how some more representative and suitable forms could be formulated and be used to evaluate teacher performance.

7.8 SUMMARY OF THE CHAPTER

The chapter presented an overview of the study. It also presented the key findings of the study. The study also gave a detailed account of the recommendations from the research.

A clear strategy for the successful implementation of performance management in schools in the province was given. The success of the strategy depends on a number of factors such as the availability of adequate human, financial and technological resources to support its implementation. The strategy needs to be formulated through the involvement of all the relevant stakeholders that feature prominently in the provision of education in the province such as faith-based organisations and private individuals. Also the spirit under which these changes are implemented will go a way to inculcate the ownership of the interventions.

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APPENDIX

ANNEXURE1: NWU ETHICS APPROVAL

Joe Mosoge - Ethics application

From: Joe Mosoge
To: saurombetalkmore@yahoo.com
Date: 2011/09/29 09:48 AM
Subject: Ethics application
Attachments: Interview schedule for teachers.doc; APPENDIX 3 INTERVIEW QUESTIONS FOR MINISTRY OF EDUCATION, SPO.doc; APPENDIX 2 INTERVIEW QUESTIONS FOR SCHOOL HEADS.doc; Saurombe informed consent form.doc; Joe Mosoge.vcf

Dear Talkmore

Your ethics number is NWU-00117-11-S2.

I attach the following documents for your attention

- Informed consent form
- All you interview schedules

prof Joe Mosoge

Prof. M.J. Mosoge
Professor
Onderwysbestuur en Leierskap
Fakulteit Opvoedingswetenskappe
Skool vir Opvoedkunde
NWU, Potchefstroomkampus
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NORTH-WEST UNIVERSITY
YUNIBESITI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT

Vrywaringsklousule / Disclaimer: http://www.nwu.ac.za/it/gov-man/disclaimer.html

ANNEXURE2: REQUEST TO CONDUCT RESEARCH

MINISTRY OF EDUCATION
(PROFESSIONAL ADMINISTRATION)
28/12/11
MANICALAND
P.O. BOX 146, MUTARE

To the DEO's
Mutasa/Makoni
Could you please assist the bearer who wants to carry out research in your Schools. This office has no objections -

Mushonga C.T.
for PEO Manicaland

NORTH-WEST UNIVERSITY
YUNIBESITI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
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Private Bag X6001, Potchefstroom
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Tel: +2718 299-1111/2222
Web: http://www.nwu.ac.za
School of Education
Tel: +2718 299-4752
Fax: +2718 200-4712
Email: 10477918.@nwu.ac.za

The Director
Ministry of Education, Sports and Culture
Harare

1 December 2011

Dear Director

Request for permission to conduct research

I hereby request for permission to conduct research in your schools. I am registered for a Ph.D–degree at the North West university (Potchefstroom Campus) and my student number is 21663483. My research topic is:

"A strategy for the implementation of performance management in schools in a province of Zimbabwe".

I need to do fieldwork in the schools and apply interviewing of the principals and teachers in the selected schools. I will ask permission to conduct research also from the participants and the principals in the selected schools. I want to assure you that confidentiality will be maintained as participants need not give their names or the names of the schools to which they belong. Participants may withdraw at any time from the research without penalty. Even if I obtained permission from you, this will not be used to persuade participants to take part in the research. I also assure you that participants will not suffer any discomfort in the interviews. There are no risks related to this study.

If you have any questions please direct them to my promoter, Prof M.J. Mosoge, who is available at the following contact numbers: (018) 299-4752 or 072 6581366

Yours sincerely

MINISTRY OF EDUCATION
D.E.O. CHIPINGE
03 01 2012
P.O. BOX 175, CHIPINGE

District Staff - Chipinge
Please assist Mr Saurombe in his research.
Thanks

T. Saurombe

M.J. Mosoge
Professor

Original details: M.J. Mosoge(10477918) C:\Documents and Settings\Administrator\My Documents\Geetha Devi Deenanath\Request for permission to conduct research.docm
1 December 2011

NORTH-WEST UNIVERSITY

Faculty of Education Sciences (School of Education Leadership and Management)

NWU, Potchefstroom Campus. SOUTH AFRICA

Tel +27) (0)18 299 4752 Fax: +27(0)18 299 4712

MINISTRY OF EDUCATION PROFESSIONAL ADMINISTRATION 3/10/11

MINISTRY OF EDUCATION MANICALAND DISTRICT OFFICE D.E.C. 05 OCT 2011 P.O. BOX 232, MUTARE ZIMBABWE

O3 October 2011

The Provincial Education Director

Ministry of Education Sport and culture

Manicaland Province

P.O. Box 146

Mutare

Dear Sir/Madam

The DEO's
1. MUTARE
2. MANICALAND
3. NYANGA
4. CHIMANIMANI
5. MUTASA

Please assist the member
Could you please assist the bearer who wants to carry out research in your Schools.
Mublanke CT.
for PED Man

REF: APPLICATION FOR PERMISSION TO CARRY OUT RESEARCH IN SCHOOLS IN MANICALAND BY MR TALKMORE SAUROMBE STUDENT NUMBER 21663483.

I am PhD student at the above named university and am applying for permission to carry out research in schools in the province on the thesis topic. "**A strategy for the implementation of performance management in schools in Manicaland Province in Zimbabwe.**"

The thesis follows the Qualitative Research Methodology and the information will be gathered through in-depth interviews and focus group interviews and responses will be digitally audio-recorded. All relevant communication from the thesis promoter the ethics clearance and three interview protocol are attached with this application. Guidance on research participants are outlined in the table below.

Participant group	Designation	Number of years preferred in post	Number of participants
Ministry of Education Sport and Culture	1.Provincial Education Director	n/a	One (1)
	2. Deputy provincial Education director(HR/ Professional administration	n/a	Two (2)
	1.District education officers	n/a	Five(5)
	2.Education officers	n/a	Five(5)
	School heads	Since 1999	Fifteen(15)
	School teachers	Since 1999	(Fifteen15)

Total number of participants n=43

MINISTRY OF EDUCATION MUTASA DISTRICT E.D. MUTASA 06/10/11 P.O. BOX 100, WATSOMBA ZIMBABWE

Please assist him so that he carries out his research.
for DEO Mutasa

Your kind support is appreciated in advance.

Yours faithfully,

Talkmore Saurombe (Mr) (PhD Student: Northwest-University; Potchefstroom Campus, South Africa)

MINISTRY OF EDUCATION (PROFESSIONAL ADMINISTRATION) 11/09/20

Please assist in allowing him to carry out the research.
E.O. Policy Planning, Research and Development 03/09/11

ANNEXURE3: INFORMED CONSENT

MINISTRY OF EDUCATION AND CULTURE (D E O - NYANGA)
2 1 DEC 2011
P. O. BOX 40, NYANGA

MINISTRY OF EDUCATION MANICALAND
Education Officer-Nyanga
2 1 DEC 2011
P.O. BOX 140
MUTARE, ZIMBABWE

NORTH-WEST UNIVERSITY ®
YUNIBESITI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT
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Web: http://www.nwu.ac.za

School of Education
Tel: 018 299-4752
Fax: 018 299-4712
Email: 10477918@nwu.ac.za

To whom it may concern

1 December 2011

INFORMED CONSENT FORM

RESEARCHER: SAUROMBE, T..

TITLE OF RESEARCH PROJECT: A STRATEGY FOR THE IMPLEMENTATION OF PERFORMANCE MANAGEMENT IN SCHOOLS IN A PROVINCE OF ZIMBABWE.

PURPOSE OF THE RESEARCH is to investigate the experiences and perceptions of participants in implementing performance management at schools and to develop a model that will assist school principals in achieving this aim.

DURATION: The duration of each interview session will be approximately 20–30 minutes. **PROCEDURES**: Interviews will be one-to-one and group discussions after school hours.

POSSIBLE RISKS: No possible risks to participants are envisaged. However, in the event of questions that may be perceived as threatening or causing discomfort, you may decline to answer such questions without providing any reason for doing so.

BENEFITS: No direct benefits or compensation will be due to any participant.

VOLUNTARY PARTICIPATION: Participation in this research is completely voluntary. You may at any stage, refuse to participate and or withdraw at any time. The researcher will ask your permission to use an audio-tape to record the interview.

CONFIDENTIALITY: Data in this study will be confidential. As such all data collected will be kept at the North West University and no parties will be allowed access to the data. No names of individuals and schools will be used. Audio tapes will be kept confidential until they are erased after a period of seven years.

CONTACT: The research is conducted by a Ph.D student, Mr T. Saurombe, under the supervision of Prof M.J. Mosoge from the School of Educational Sciences: North-West University – Potchefstroom Campus. Prof Mosoge can be reached at 018 299 4752 (o/h) for questions regarding this research project.

This research has been ethically approved by the North West University Ethics Committee. Ethics No. NWU-00117-11-S2

ANNEXURE4:INDIVIDUAL INTERVIEWS WITH TEACHERS AND FOCUS GROUPS

APPENDIX 1: INTERVIEW QUESTIONS FOR SCHOOL TEACHERS.

PURPOSE: To obtain views and perceptions of teachers with regard to the implementation of performance management.

1. **What is your understanding of performance management as it is currently implemented in schools?**
2. **What is your understanding of the purpose and reasons for introducing performance management in schools?**
3. **Did the teachers benefit from the implementation of performance management?**
4. **Is the performance measurement instrument suitable for assessing the teaching/ learning process in your school? Explain.**
5. **Tell us about challenges that you, as a teacher, face about the implementation of performance management**
6. **How can these challenges be overcome?**
7. **Describe your attitude towards performance management.**
8. **If the performance management process were to be improved, which specific aspects would you expect to change?**
9. **Do you think that performance management has a role to play in schools in future? Explain your answer.**

THANK YOU FOR YOUR TIME

ANNEXURE5: INDIVIDUAL INTERVIEWS WITH SCHOOL HEADS

APPENDIX 2: INTERVIEW PROTOCOL FOR SCHOOL HEADS.

PURPOSE: To obtain views of school heads concerning the implementation of the performance management system in schools

1. **What is your understanding of performance management as it is currently implemented in schools?**
2. **For what purposes was performance management introduced in schools?**
3. **Is performance management currently achieving its objectives and purposes?**
4. **Explain how you conduct performance management in your school.**
5. **Tell us about the challenges you have encountered in implementing performance management in your school.**
6. **What strategies do you use to overcome these challenges?**
7. **Have the teachers benefitted from the implementation of performance management? Explain.**
8. **Explain the attitude of teachers towards performance management?**
9. **Suggest improvements that you would like to see in the implementation of performance management**
10. **Any other comment on the implementation of performance management in your school?**

ANNEXURE7: INDIVIDUAL INTERVIEWS WITH DEOs AND DPEDs

APPENDIX 3: INTERVIEW QUESTIONS FOR MINISTRY OF EDUCATION SPORT AND CULTURE OFFICIALS.AT DISTRICT AND PROVINCIAL LEVEL.

PURPOSE: To collect views of senior managers in the Ministry of Education, Sport and Culture on the implementation of performance management.

1. **What is your understanding of performance management as it is currently implemented in schools?**

2. **How did the Ministry of Education, Sport and Culture adapt the model of performance management introduced by the Public Service Commission to suit education?**

3. **What are the strong points and weaknesses of the current model of performance management?**

4. **Explain the process of introducing performance management in schools. How effective was this process?**

5. **Is performance management in schools currently achieving its stated objectives and purposes?**

6. **Tell us about the challenges you have encountered in implementing performance management at district and provincial levels**

7. **What strategies do you use to overcome these challenges and implement performance management effectively?**

8. **In which ways does performance management help you in the formulation of policy with regard to teachers' work?**

9. **How has the implementation of performance management improved education in the province?**

10. **Suggest improvements that you would like to see in the implementation of performance management**

ANNEXURE 8: LANGUANGE EDITING

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CERTIFICATE OF LANGUAGE EDITING

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