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List of abbreviations

BPR	business process re-engineering
BSC	balanced scorecard
CSRP	Civil Service Reform Program
HEIs	higher education institutions
MoCB	Ministry of Capacity Building
MoE	Ministry of Education
NCBP	National Capacity Building Program
PA	performance appraisal
PM	performance management
PMS	performance management system
TQM	total quality management

List of abbreviated titles of laws and policies

CSRS Implementation Directive of 2012	Civil Service Results-oriented System Implementation Directive of 2012
PMS Directive of 2012	Performance Management Systems Directive of 2012
Proclamation 351/2003	Higher Education Proclamation 351 of 2003
Proclamation 650/2009	Higher Education Proclamation 650 of 2009

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CHAPTER 1

OVERVIEW OF THE STUDY

1.1 Introduction

Today, being competitive is not just a matter of choice for higher education institutions (HEIs); it is a matter of survival. HEIs have to produce capable graduates who can compete in the competitive labour market of Ethiopia, and, in fact, of the world at large, and who can bring about change and improvement in society (Daniel 2004:63). This notion is confirmed by the late prime minister of Ethiopia, His Excellency Meles Zenawi, in his opening remarks at a 2008 youth conference, when he described knowledge as "the main weapon to fight poverty" (Zenawi 2008). In 2008, the government of Ethiopia started a massive radical initiative to improve the performance of public HEIs in Ethiopia. In line with this initiative, the Ministry of Education (MoE), which is in charge of the HEIs, introduced and initiated implementation of a business process re-engineering (BPR) programme.[1] Solomon (2012:2) acknowledged that the MoE is engaged in a highly motivated endeavour to reform the country's higher education system, so that it can contribute to the achievement of the country's goals of economic development and poverty reduction.

The institutional success of HEIs depends largely on effective continuous performance management based on an institutional performance management system (PMS). The Ethiopian Ministry of Capacity Building (MoCB) has introduced the balanced scorecard (BSC) model for managing the performance of civil service institutions in Ethiopia, in line with the BPR reform mandate (Abay 2011:12). The BSC requires that institutional strategic objectives be cascaded down to the level of individual employees, where individual performance is benchmarked against the strategic objectives (Van Deuren, Kahsu, Ali & Woldie 2013). This is then also the main aim of a PMS, namely to translate the institution's mission and vision into strategy and objectives that can be measured effectively with the measurement model of the BSC. In this regard, the PMS is an important tool geared towards ensuring a productive and effective performance culture in an institution, focusing on organisational and individual capacity building. In light of this, the main aim of this research was to assess the practices and

[1] Business process re-engineering (BPR) itself is a process of analysing the flow, quantity and quality of tasks against time and personnel requirements, with the purpose of increasing efficiency (in terms of quality, quantity, and time taken) of services or products.

identify the challenges of PMSes in public universities in Ethiopia, in order to improve the institutional effectiveness of these universities.

1.2 Background to the study

Managing the performance of public universities is believed to be an invaluable process to improve their effectiveness. Solomons (2006:7) indicates that scientific performance management (PM) started in the 1800s within the field of PM. Frederic Winslow Taylor is regarded as one of the pioneer scholars of scientific PM aimed at increasing productivity. The first formal monitoring system for the public service evolved out of Taylor's rating, which he developed for the American military services in the 1920s. Then, after merit rating came to the forefront in the USA and the UK, in the 1950s, performance appraisal followed (Armstrong 2009:10–11). The approach to assess institutional performance evolved with time. For instance, Georgopoulos and Tannenbaum (1957:538) state that in the 1950s, performance entailed the extent to which an organisation as a social system fulfilled its objectives. In the 1960s and 1970s, performance was regarded as the ability of an organisation to exploit its environment to access scarce resources (Yuchtman & Seashore 1967:893). Management by objectives and results-oriented performance appraisal emerged before the 1980s. From the 1980s, PM became linked to organisational goals, and it became a recognised process in the latter half of the 1980s (Armstrong 1997:233).

According to Gebretensay (2008:2), the evolution of the PMS as a human resource management model in the 1980s signalled a shift away from command and control towards a facilitation model of leadership. The change in how human resources are to be managed was accompanied by a shift from recognition of the importance of the employee and the institution in facilitating work performance to a strategic or long-term and overarching mission of the organisation as a whole. In the latter approach, an employee's goals and objectives are derived from their department, which, in turn, support the mission and goals of the institution. The PMS was born out of realisation of the importance of human capital, because "performance of an organisation depends on the performance of its people, regardless of the organisation's size, purpose or other characteristics" (Aguinis2005:xiii).

The PMS is a system covering the management of the complete organisation. As such, it includes the management of each employee, the team, and all processes. According to Armstrong (1997:234), the PMS was widely used in the arena of management in the late 1980s as a continuation of merit rating and management by objectives.

Over the years, various theories and approaches for managing the PMS have been developed. For example, Flood and Olian (1995:257) take a human resource management perspective, while Bredrup (1995:75) and Peppard and Preece (1995:159) emphasise the business process, and Bounds, Yorks, Adams, and Ranney (1994:105) are concerned with total quality management (TQM). The TQM as a measurement approach used to manage performance has continued to be important until today (cf. section 3.4.2 for a more detailed discussion).

We are living in a world where competition has become the norm. Individuals and institutions have to perform well and excel if they are to fit in in this competitive environment. As part of the social fabric of a nation, higher education institutions, too, are expected to perform well and evaluate their practices regularly, methodically, and systematically. One way to do so is to put in place an effective PMS. Thus, cognisant of the significant contribution of PMSes in ensuring quality service and effective performance, and the importance of these for economic development and poverty reduction in the country, the researcher decided to assess the application of PMSes in selected higher education institutions in Ethiopia.

1.3 Motivation for the study

Some authors, such as Vithal and Jansen (2010:11), regard the motivation for the study together with the significance of the study as "the rationale" for the research. The researcher, however, presents these as separate sections. In this section the researcher only states the motivation for the study, i.e. how he became interested in the topic of performance management, and what motivated him to choose this as his research topic.

Weissbourd (2015) asserts that to enhance the quality of education offered at universities, and to prepare graduates for jobs, universities must be held accountable. Public universities' use of public funds supports such a call for accountability. However, although Ethiopian public universities command large amounts of public finances, their performance is being questioned.

The researcher, who is a civil servant in one of the public institutions in Ethiopia, has experienced PM first-hand, and he started to ponder the effect that management of individual performance has on institutional performance. This interest was further stimulated by the constant public outcry that many public universities are offering substandard education and are delivering graduates who cannot fulfil the needs of the workplace, because graduates lack work initiation. There are also allegations that lecturers do not prepare for classes, perform their duties, keep to class schedules or properly cover course content. It is further claimed that misconduct amongst lecturers and students is rife (Ethiopian Television (ETV) 2013). The

question that arises is how these practices can continue when PMSes are in place at the universities. Thus, what motivated the researcher to pursue this topic is a professional interest to examine the performance management practices, identify the challenges, and determine the extent of the effect of these challenges on the effectiveness of the PMSes of the selected public universities in Ethiopia.

The researcher's choice of this topic is further motivated by his sincere interest in promoting Ethiopia's national development endeavours. As Aslam (2011:11) posits, universities play a vital role in promoting active participation in knowledge societies, which ultimately helps to accelerate economic growth. Despite this fact, there is a lack of evidence-based standards in Ethiopia to ensure continuity and accountability of service delivery reform.

1.4 Statement of the problem

In the past two decades, HEIs in Ethiopia have undergone significant changes, and this has affected the quality of education, and, as a result, the way in which performance is managed and measured (Kahsay 2012:20). Between the mid-1990s and the turn of the century, several universities were established. There are now 32 universities spread across the country (Ghelawdewos 2003; MoE 2010/11:59). The rapid increase in the number of HEIs, and particularly public universities, has brought with it increased competition between universities. This growth also took place during what Talbot (1999:15) calls "the period of the rise of 'performance' as an issue in public sector theory and practice", and during a period when public HEIs were expected to be agents of reform in Ethiopia.

As higher education reform became a critical national need (Debela 2009:21; Saint 2004:84), in 2001 the government introduced the National Capacity Building Program (NCBP), and it established the Ministry of Capacity Building, which merged with the Federal Civil Service Agency in 2010 to form the Ministry of Civil Service (Menberu 2013:24; MoE 2012:35). The NCBP was designed to strengthen working systems, improve organisational effectiveness, and rapidly develop human resources in the public and private sectors (higher education in both sectors included) (Pätz & Taube 2008). Business process re-engineering (BPR) was introduced in 2003 as the main reform tool within the NCBP (Kassahun 2010:26; Menberu 2013:24).

The Higher Education Proclamation 351 of 2003 (hereinafter "Proclamation 351/2003") was adopted to align the higher education system with the national strategy for economic growth and poverty reduction (FDRE 2003; Saint 2004:85). HEIs had to increase student numbers, and they were expected to change their governance structures, to increase institutional autonomy

and emphasise a greater market focus. These mandates require a focus on quality (Ashcroft 2003:6–7). Greater institutional autonomy implies a system of accountability, to ensure that the responsible body exercises autonomous decision-making and maximises "value for money" in relation to public funds (Ashcroft 2003:6–7). While Proclamation 351/2003 (FDRE 2003: article 6(6)) focused on "laying down an institutional system that ensures the accountability of the institutions", Higher Education Proclamation 650 of 2009 (hereinafter "Proclamation 650/2009") (FDRE 2009: preamble, article 4(5)) focuses on ensuring a balance between autonomy of institutions and their accountability to the government and public interests.

Benchmarked against the reform mandate, HEIs are required to "provide for a management system which guarantees effective delivery of education and research" (FDRE 2009: article 5(4d)). HEI reform is based on the process-oriented model, which is a results-based PMS that replaced the highly bureaucratic public administration model (cf. section 2.2 for a more detailed discussion). In a results-based PMS, societal demand, global competition, technology, and market needs are emphasised (Abay 2011:2; Debela 2009:20; Pätz & Taube 2008). Higher education aimed at "knowledge for the sake of knowledge" has been replaced by social and economic imperatives (FDRE 2009: article (4)). In fact, formal quality assurance itself has become one of the most important components of HEI reform (MoE 2010/11:10).

Institutionalisation of BPR and emulation of corporate PMSes at public universities have met with difficulties (Aschalew 2011:82). The fact is that not only are government (public) organisations different from corporate organisations (Debela 2009:20), public universities themselves also have unique characteristics, contexts and requirements. Academic values and traditions are deeply ingrained in the social dimension of these institutions (Aschalew 2011:82). Applying BPR and ensuring effectiveness, efficiency, and responsiveness in service delivery of public institutions thus requires blurring "the differences in characteristics between profit making corporations and civil service organizations" (Aschalew 2011:82). Menberu (2013:25) conducted a study on implementation of BPR, and his findings confirm that institutions experience problems incorporating national and large-scale change initiatives into institutional mission statements and strategic plans and aligning organisational objectives with those of departments and individual employees.

Successful implementation of BPR in public universities requires revolutionary changes (Debela 2009:20). One of the changes required is to transform the conventional authoritarian culture of bureaucratic management to a culture of decentralised, democratic, and institutional governance. In light of this, Abay and Perkins (2010) contend that securing the cooperation of

middle managers and getting mainstream employees to take 'ownership' of their work and decisions is a challenge in the African context, where decision-making power within public services has traditionally been centralised. Furthermore, despite the fact that considerable institutional autonomy is guaranteed to Ethiopian HEIs by law, arbitrary interference and intervention by government is still evident (Aschalew 2011:89).

Decentralised and democratic management requires that managers adopt a less bureaucratic and more democratic leadership style. In addition, effective leadership is essential for institutional success (Hayward 2005:3). The leadership style of the manager influences the way employees perform, and, by implication, the degree to which they accept accountability (Abay & Perkins 2010). There are allegations that the current leadership at some public Ethiopian universities is inefficient and lacks commitment to the reform initiative, a problem that is exacerbated by the high turnover of leaders (Menberu 2013:25; Yohannes 2013:10). The Education Sectoral Development Plan, Program IV 2010/2011–2014/2015 (MoE 2010/11:61) cites substandard leadership and management in HEIs as one of the main challenges of higher education in Ethiopia.

As has been mentioned, the MoCB has introduced the BSC model for managing performance in Ethiopia, in line with the BPR reform mandate (Abay 2011:12). The BSC is a "results-driven model" (Abay & Perkins 2010) that requires that institutional strategic objectives be cascaded down to the level of individual employees, and that individual performance be benchmarked against the strategic objectives (United States Office of Personnel Management 2001:15; Van Deuren et al 2013). The BSC model is, as Kassahun (2010:26) puts it, "an integrated management approach". The BSC drives the overall financial and human resource and operational systems towards institutional effectiveness.

Strategic change requires attaining a critical mass of legitimacy and support to counterbalance alternative calls on the loyalty of public servants, whether those calls are towards occupational groups or towards an alternative public service vision (Abay & Perkins 2010). Menberu (2013:25) argues that management fails to sell reform initiatives because they perceive these initiatives as "a political project", and Aschalew (2011:82) holds that the academic community perceives reform initiatives as "government's continual endeavour to bring the country's HEIs under the functional needs of incumbent politicians". Academics may also not be inclined to support reform initiatives, in particular capacity building and performance measurement, because of their professional status and identity (Abay & Perkins 2010). It is essential that employee perspectives and perceptions of PM are taken into account when a PMS is developed

for a public university. It is a fact that "[i]t is the performance of many individuals that culminates in the performance of the organisation" (Hayward 2005:3). It is thus essential that employees 'buy into' the PMS of their institution.

The annual report presented by the MoE to the Federal Democratic Republic of Ethiopia Parliament (House of People's Representatives), which was broadcast on ETV on 13 May 2013, revealed that only about half of the public universities in Ethiopia have started implementing the BSC (ETV 2013). Since some of the public universities are implementing the BSC and others are not, the results are, as can be imagined, varied. However, the researcher noted that all the sample universities were implementing the BSC at the time of data collection. The fact that some universities were not implementing BSC could explain why, in 2009, Debela (2009:27) identified the tendency not to assess the results, and rather to focus on measuring the inputs and the activities, as one of the problems with PM at universities. He concluded that not enough was being done to ensure measurement systems for the planning, monitoring and continuous improvement of strategic initiatives (such as HEIs' reform mandate) and operational activities. Therefore, in the course of addressing the main aim of the study, namely to assess the PMSes at public universities, it is worthwhile to raise and discuss the question of how public universities manage their PMSes, and what difficulties they face in the implementation of their PMSes.

In addition, while he was reading up on the subject of PMSes, the researcher realised that different scholars attach different meanings to the term "BSC". For example, BSC is described by Kassahun (2010:22, 24, 25, 26, 30, 33, 35) as a "model", a "strategic framework for measuring institutional performance", an "approach", an "integrated management approach", and a "customer-based planning and process improvement system". Abay (2011:11, 12), by contrast, describes BSC as "an integrated strategic management system", "a change management tool", "a communication tool", and "an instrument to revise and describe the strategy and thereby operationalise it". The World Bank (2013) refers to BSC as a "performance management system".

Based on the discussion above, the researcher formulated the following main research question: **"How and to what extent do the current PMS practices and challenges affect the effectiveness of the PMSes of the selected public universities in Ethiopia?"**

In order to answer this question, the researcher formulated **secondary research questions**, which deal with problems pertaining to the PMSes at public universities in Ethiopia. Following

the advice of Ivankova (2015:108), namely that mixed-methods researchers need to formulate research questions in such a way that it is clear which questions will be answered by collecting and analysing numerical data and which questions will require narrative information, the researcher first formulated the secondary research questions for the qualitative strand. He then formulated the secondary research question for the quantitative strand.

Secondary research questions for the qualitative strand

1. What are the prominent theories, approaches and models for performance management and PMSes at public institutions in general, and at public universities in particular?
2. What is the origin and the nature of current laws and policies regulating PMSes at public universities in Ethiopia?
3. What are the constituent elements of a BSC-based PMS that will ensure institutional effectiveness of public universities in Ethiopia?

Secondary research question for the quantitative strand

4. What is the relationship between the current PMS practices and challenges and promotion of institutional success at the selected universities?

1.5 Aim and objectives of the study

In order to answer the research questions successfully, the researcher translated the research problem into a research aim that states "the intent and direction of the research" (Gray 2014:53). The aim, in turn, was broken down into attainable research objectives, which articulate the intended and measurable outcomes (Gray 2014:53; Kumar 2014:381). Accordingly, the aim and objectives of this study are outlined below.

1.5.1 Aim of the study

The aim of this research was to assess the performance management practices of selected public universities in Ethiopia, so as to identify the challenges and determine the extent of the effect of these challenges on the effectiveness of the PMSes of the selected public universities.

1.5.2 Objectives of the study

The specific objectives for the qualitative strand of the study are

1. To review the prominent theories on performance management and PMSes at public universities in Ethiopia;

2. To establish the origin and the nature of current laws and policies regulating PMSes at public universities in Ethiopia; and
3. To develop customised generic constituent elements of a BSC-based PMS that will ensure institutional effectiveness of public universities in Ethiopia.

It is clear from the secondary research question for the quantitative strand (see section 1.3) that it is aimed at revealing the relationships between current practices and challenges in relation to the PMS (the independent variable) and institutional success (the dependent variable). The quantitative research findings should thus be able to either enable the researcher to answer this secondary research question or to accept or reject the null hypothesis associated with it. A **hypothesis** is "[a] researcher's prediction regarding the outcome of an experiment or other study, focusing on the relationship between two or more variables. The researcher collects data to test the adequacy of the hypothesis" (Sullivan 2009, s.v. 'hypothesis'). The hypothesis associated with the quantitative research question is

> H_0: There is no relation between current PMS practices and challenges and institutional success.

1.6 Significance of the study

There is a general axiom that for a research study to be meaningful, it is better for it to hold some benefit for participating institutions. The selected universities were required to assess their performance management practices. The research was thus beneficial to the management of the selected universities, because the self-assessment brought to their attention the challenges and problems that made their PMSes less effective. They could benefit from recommendations on how to improve the effectiveness of their PMSes (cf. section 8.4), as well as being informed about the variables that are regarded as non-negotiable for a PMS aimed at ensuring institutional success and compliance with public universities' reform mandate.

The study provides scholarly input to decision-makers involved in assessing the use of PMSes in public universities in Ethiopia. It also highlights to concerned regulatory bodies the problems faced in the design and implementation of institutional PMSes. The research findings could help policymakers of universities to improve and enhance the PMSes of public universities, and for this purpose, the research findings and the recommendations of the study were made available to the MoE (see Appendix J).

Furthermore, the research measures the level of commitment of universities' leadership in integrating the three components of an institution, namely the workforce, the system, and the

structure, in order to produce ethical and competent graduates. Debela (2009:21) explains that the government of Ethiopia has framed five pillars of the civil service reform mandate in order to measure the level of commitment of universities' leadership. These are an effective management system, civil service ethics, expenditure management, service delivery, and human resource management. As there is no best fit for all systems, the existing BSC used by the universities is similar to the BSC employed by other business organisations with different working environments and processes. Development of customised constituent elements of a BSC-based PMS from the existing BSC that measure the performance of all employees (academic staff and non-academic staff) of the public universities in Ethiopia is the main contribution of the study.

In addition, the study identifies major challenges of current PMS implementation and practices at the selected public universities, and the researcher suggests possible solutions for addressing these challenges. The study could also serve as a springboard for other researchers who are interested in PMSes, and the report adds to the existing knowledge base on PMSes at public universities.

This study confirmed the importance of PMSes for ensuring the effectiveness and the achievement of public universities goals in Ethiopia, and for ensuring universities' compliance with their reform mandate.

1.7 Delimitation of the study

This section contains subsections on the scope of the study, conceptualisation and operationalisation of key concepts, the theoretical framework, assumptions of the study, and the limitations of the study.

1.7.1 Scope of the study

It is essential that researchers delineate the scope of a study. If they do not, they may become unfocused when reviewing the literature and not be able to determine what is relevant and essential to include in the study (Hofstee 2006:28–29). The scope of this study was the PMSes of public universities in Ethiopia, and the specific topic of the study is "Towards institutional success: An assessment of the practices and challenges of performance management systems at public universities in Ethiopia".

Regarding the geographical location of the study, the research was conducted in the territory of Ethiopia, specifically at six carefully selected public universities, from the northern, central, southern, north-western and south-western regions of the country.

Mixed-methods research methodology was employed in the study, where interviews were conducted with the country's national Ministry of Education, specifically with a team leader and administration officers in the Department of Higher Education Institution Affairs, and a questionnaire was administered to academic staff and non-academic staff at the selected universities.

1.7.2 Conceptualisation and operationalisation of key concepts

In framing any study, conceptualisation and operationalisation of key concepts is important. The key concepts in this study are effectiveness, institutional success, performance management system, public universities, and reform mandate.

Effectiveness

Effectiveness is the capacity to deliver or produce a desired outcome of good quality, within a reasonable period, and at the lowest cost. Debela (2009:27) explains that effectiveness measures the ability of a system to handle the complexities in its environment. In order to survive, any system needs to cope with changes, or to induce changes to its environment. In this context, HEIs should be capable of delivering good-quality education and should be able to bring about the intended output, or effect, that is, competent and developmentally oriented professionals and graduates that can contribute positively to the country's development. To this end, HEIs need to put in place effective PMSes, which will ensure institutional success (cf. section 2.3). Although the researcher has briefly defined "effectiveness" here, he has formulated an operational definition in the methodology chapter (cf. chapter 4), based on the literature review in chapters 2 (cf. section 2.5) and 3 (cf. section 3.4). The researcher contends that if the "opinion or perception of participants" on the practicality of an implemented system is assessed and the results indicate that participants have a "positive opinion" of the system (a positive assessment of the 12 PMS aspects in the questionnaire), this could then be seen as an "indicator of suitability or effectiveness" of the system. This is because positive perceptions could be viewed as participants 'buying in' to the system. Accordingly, a positive assessment of a system could be regarded as an indicator of an effective PMS.

Institutional success

The reform programme is intended to create institutional success (cf. section 2.3). Every institution is concerned with being effective to attain its aims and objectives. Such effectiveness determines the success, ultimate survival and development of the institution (Mullins 2005:185). In the context of this study, "institutional success" means the attainment of the

stated objectives of an institution through efficient and effective utilisation of resources and measurement of the output and outcomes of performance. Institutions measure their performance through a holistic and ongoing PMS towards the achievement of their strategic objectives.

Performance management system

"Performance management (PM)" is a continuous and ongoing process of managing employees' efforts, where agreed-upon performance indicators are used to measure the outcomes (cf. section 3.1). "A performance management system (PMS)"is a holistic system for implementing this process, and it includes, inter alia, continuous assessment and improvement initiatives (cf. section 3.2). A PMS is used to measure achievement of strategic objectives, by linking organisational goals with individual goals. A PMS organises all resources and measures the performances in an effective way towards the achievement of strategic objectives (Aguinis 2005:12) (cf. section 3.2). The researcher defines PM as continuous and integrated management of the entire performance of an institution.

Public universities

According to the MoE (2010/11:59), "public universities" are institutions that offer undergraduate programmes and postgraduate programmes (master's and doctoral degrees) of three years, four years, or more to students. In the case of this study, the concept of "public universities" means Ethiopian universities whose budgets are allocated by either the federal or the state government (FDRE 2009: article 1(2),1(13)).

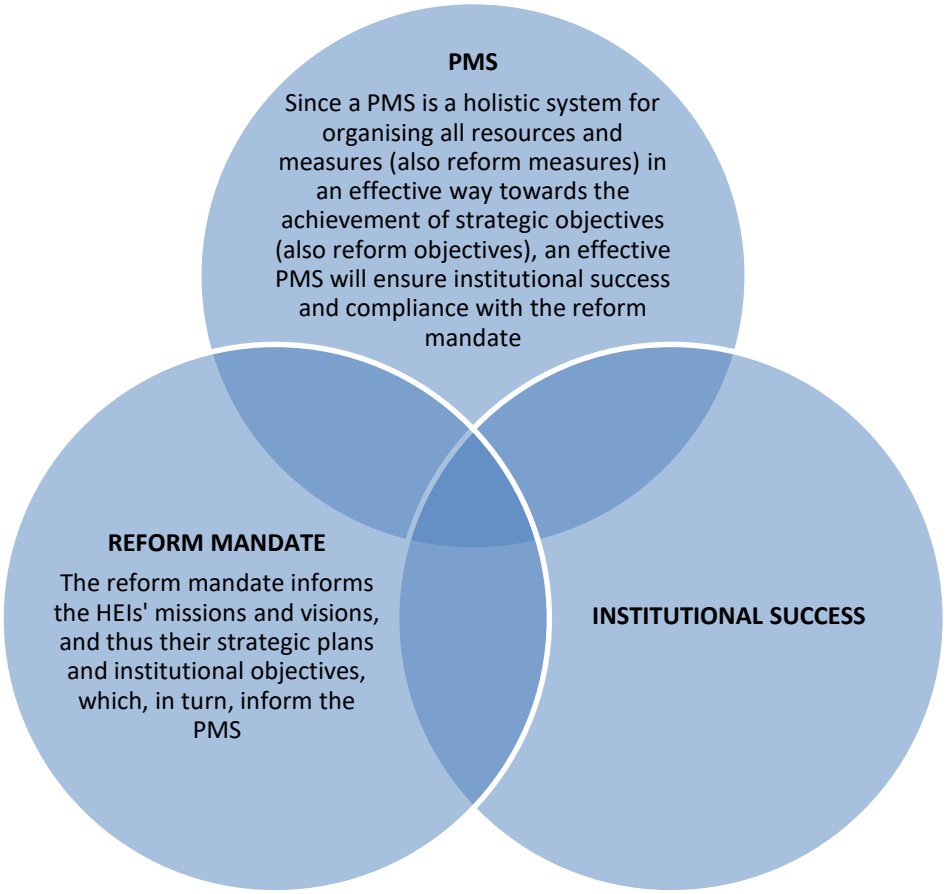
Reform mandate

A reform programme is critical for any country's socio-economic development. The Civil Service Ministry (2013:10) states that the Ethiopian reform programme is focused on transforming the age-old traditions, anti-democratic styles, and control-oriented systems to an empowerment-oriented and results-oriented system. To this end, the success of the reform programme is dependent on high leadership commitment and the performers 'buying in' to the programme.

Nigussa (2013) explains that the Civil Service Reform Program in Ethiopia encompasses the following projects: development of a service-delivery policy, grievance-handling directives, a reward system in the civil service, and preparation of technical directives to improve civil service delivery and setting of standards. Weissbourd (2015) adds that public universities must have an efficient and effective governance system that will realise accountability in using

public funds for attaining the institution's objectives. By contrast, ineffective governance might lead to abuse and waste of public money. Accountability must therefore ensure good governance through an ongoing process and embarkation on a series of reform. The Civil Service Ministry (2013:16) asserts that the country's vision to become a middle-income country by 2025 can be ensured by establishing a developmentally oriented civil service. A detailed discussion of the conceptual aspects of PM and PMSes is presented in sections 3.1 and 3.2, respectively.

Diagram 1.1: The relation between a PMS, the reform mandate, and institutional success



Source: Developed by the researcher

1.7.3 Theoretical framework

A review of theories related to the study can shed some light on the basic perspectives that are important to inform and guide the study of the effectiveness of PMSes. With this understanding, theories related to the key aspects of the research topic, such as involvement and commitment of top managers, provision of adequate facilities to do the work, discussions with and involving stakeholders, consensus-building with employees, and providing ongoing

feedback, have been reviewed. Various theories and approaches have been developed by different scholars to assist us with understanding PMSes. These theories include goal-setting theory, expectancy theory, control theory, and systems theory. In this study, goal-setting theory has been given priority, because this theory lends itself to research on the effectiveness of a PMS, as it is concerned with setting objectives, and performance can be measured using the predetermined objectives. Goal-setting theory also focuses on bilateral performer-supervisor agreement, by prioritising the work to be done (cf. section 2.2).

1.7.4 Assumptions

The assumptions of this study related to issues regarding PMS implementation. First, the researcher assumed that a PMS is fully implemented in all the sample universities. The second assumption was that the PMSes are not effective because employees have not 'bought into' the PMS. The third assumption was that leadership accountability was not ensured, and that stakeholders were not sufficiently involved in the development and the implementation of the PMSes.

1.7.5 Limitations of the study

Limitations are possible challenges that could affect a researcher in their research (Maree & Van der Westhuizen 2009:40). Limitations could relate to access to the research site, time constraints, such as school terms, examination periods and holidays, lack of resources, and the availability and credibility of secondary sources (Vithal & Jansen 2010:35). The main constraint faced in this study was the lack of current research sources on implementation of PMSes in higher education institutions in Ethiopia. Another problem that the researcher encountered in this study was the lack of motivation of respondents to complete the questionnaires, and the lack of interest of participants to be interviewed. As in any research, financial constraints were a constraint that limited the geographical scope of this research.

Considerable effort was made with respect to the aforementioned limitations, so as to minimise their effect on the findings and the entire process of the study. For the first limitation, the researcher accessed the laws and policies regulating PMSes at public higher education institutions. To identify the directives on implementation of PMSes, the researcher accessed the Unisa electronic library to address the challenge of the shortage of current research sources, and he conducted in-depth interviews with a team leader and administration officers in the Department of Higher Education Institution Affairs in the MoE. In addition, he administered a

questionnaire to college deans, department heads, lecturers, administration heads, and staff of the sample universities (cf. section 6.2).

In order to minimise the second limitation, the researcher availed himself at the universities and briefly explained the purpose of the interviews and the questionnaire. To solve the financial problem, the researcher obtained financial aid from Unisa.

1.8 Research methodology

The basic aspects addressed in the section on research methodology are the general methodological orientation, the research parameters, including the target population and sampling methods chosen, the data-collection methods and related data-collection instruments, the data-collection procedure, the data-analysis procedures, and the ethical considerations (Gray 2014:58; Vithal &Jansen 2010:20).

The methodology section of this research contains a brief description of the paradigm, the approach, the design, the setting, the population, the sampling techniques, and the data-collection and -analysis methods of the research. In addition, it contains explanations of how the researcher ensured validity and reliability in the quantitative part of his research, and trustworthiness in the qualitative part of his research. It also explains the measures he took to ensure that his research complied with the required standards for ethical research. According to Goddard and Melville (2007:8), research methodology is not only focused on research techniques but also indicates how data could be collected and analysed, and what particular method has been developed to address the research questions.

This research was designed as a mixed-methods research study, and both approaches, that is, quantitative and qualitative approaches, were combined. In mixed-methods research, the first and essential step is to provide a brief outline of how the research was planned (Onwuegbuzie & Combs 2011:2–3). The researcher applied the following steps, which are essential for planning mixed-methods research:

- Explaining the rationale for why mixed-methods research was preferred (Johnson, Onwuegbuzie & Turner 2007:116, 122; Onwuegbuzie & Combs 2011:2–3; Schiazza 2013:5–6, 22–26) (cf. section 1.8.2).
- Ensuring that the research question is an integrated question, in the sense that a mixed-methods research question requires both qualitative and quantitative research. Put differently, the research question must logically relate to the rationale as to why mixed-

methods research was preferred to mono-method research (Creswell 2008:138; Ponce & Pagán-Maldonado 2015:115; Schiazza 2013:28–29) (cf. section 1.4).

- Determining the number of strands, and linking secondary research questions to the various qualitative and quantitative strands (Ivankova 2015:20, 108; Onwuegbuzie & Combs 2011:2–3, 4; Schiazza 2013:7). Ensuring that secondary research questions for the quantitative strand are closed-ended questions focused on revealing the relationships between the variables (current practices and challenges in relation to PMSes, and institutional success). Making sure that the secondary research questions for the qualitative strand are open-ended questions aimed at exploring the feelings and thoughts of administration officials in the Department of Higher Education Institution Affairs in the MoE regarding the practices and challenges of PMSes in the selected public HEIs in Ethiopia (cf. section 1.4).
- Indicating the relative importance of qualitative and quantitative methods, e.g. the degree of integration, and the priority or weighting of strands (Ivankova 2015:20; Onwuegbuzie & Combs 2011:5) (cf. section 1.8.2).
- Deciding how and when methods will be mixed, or integrated (Ivankova 2015:19, 21–22, 156; Onwuegbuzie & Combs 2011:4; Schiazza 2013:6) (cf. section 1.8.6).
- Choosing a suitable mixed-methods research design (Ivankova 2015:120–123; Ponce & Pagán-Maldonado 2015:118) (cf. section 1.8.3).
- Explaining the chosen theoretical foundation (research paradigm) (Ivankova 2015:16-17; Schiazza 2013:15–16) (cf. sections 1.8.1 and 4.2).
- Conceptualising the data analysis (Ivankova 2015:262–266; Onwuegbuzie & Combs 2011:5; Schiazza 2013:37) (cf. section 1.8.6).

The researcher will discuss the theoretical foundation of the research, or the research paradigm, in the following section.

1.8.1 Research paradigm

A paradigm is a cluster of beliefs that dictates what should be studied, how research should be done, and how results should be interpreted (Bryman 2012:35). Put differently, a paradigm is a "perspective or world view based upon sets of values and philosophical assumptions, from which distinctive conceptualizations and explanations of phenomena are proposed" (Gray 2014:687) (cf. section 4.1). Various authors, such as Punch and Oancea (2014:4) and Johnson and Onwuegbuzie (2004:17), emphasise the suitability of the pragmatic paradigm for mixed-methods research. Since the researcher undertook mixed-methods research, the pragmatic

paradigm was deemed most appropriate, as it allowed him to employ different methods from both qualitative and quantitative strands, so as to attain both depth and breadth of data (cf. section 4.2).

1.8.2 Methodological approach

Researchers may follow either one of the two methodological approaches, that is, the quantitative approach or the qualitative approach, or they may even use both approaches at the same time, that is, a mixed-methods approach. Using both quantitative and qualitative approaches increases the scope, the depth, and the power of the research, and it enhances the credibility of the research (Bryman 2012:35). The study is based on the practices of PM in Ethiopian public universities, and the challenges faced in implementation of the PMSes. To assess the practices and identify the challenges, a mixed-methods approach was used to collect and discuss the data, which were gathered from different sources, in order to examine converging results, which will provide a comprehensive picture of the case. The mixed methods could also help to complement each other, through use of two different methods, thereby enhancing the depth of the study (cf. section 4.3).

1.8.3 Research design

A research design is the blueprint of how one plans to conduct the research, by examining and collecting information from the target participants and respondents in order to answer the secondary research questions of the study (Mouton 2001:135). Unlike research methodology, research design focuses on the logic of the research. Since the researcher could not gather all the necessary and relevant data through one instrument to compare and analyse the practices of PM and identify the challenges of PMSes, he selected an exploratory sequential mixed-methods design. The exploratory sequential mixed-methods design was used to retrieve comprehensive and detailed information in phases (Mayoh, Bond & Todres 2012:24).

Creswell (2009:211) asserts that the purpose of the sequential exploratory design is to use quantitative data and their results to support the analysis of qualitative data. Mayoh et al (2012:23) state that mixed-methods researchers are increasingly developing and adopting techniques that honour paradigmatic differences when combining qualitative and quantitative research. In this study, the researcher indeed adapted the traditional sequence of a quantitative phase followed by a qualitative phase. In line with the chosen sequential mixed-methods design, where one data set builds on another (Creswell, Klassen, Plano Clark & Smith 2011), the researcher employed qualitative-quantitative data-collection methods (cf. section 4.4). The

qualitative approach, including a literature study and document analysis, was used to uncover the laws and policies that regulate PM at HEIs, and to explore participants' inner feelings, thoughts and beliefs on the PMS practices of the selected public universities. In addition, in-depth interviews were conducted with a team leader and administration officers in the Department of Higher Education Institution Affairs of the MoE, in order to obtain their views on PM in the public universities. College deans, department heads, administration heads, lecturers, and administrative staff members completed a questionnaire, which was used to generate data about the knowledge and experiences of a large number of respondents.

1.8.4 Research sites, population, and sampling

This section of the study describes the intended research sites and the target population that was involved in the data-collection process, and the sampling techniques used (cf. section 4.6). A research site is a place where the research is conducted (Maree & Van der Westhuizen 2009:22). The research population is the target group for the research (Punch & Oancea 2014:381), in this instance public universities in Ethiopia, and the sample is the actual subgroup of the population that is included in the research (Kumar 2014:382). Sampling is an important component of a research design. In fact, Ritchie, Lewis, Elam, Tennant and Rahim (2014:112) posit that sampling affects the usefulness of data collected, the type of analysis possible, and the extent to which the researcher will be able to draw wider inferences.

Best and Kahn (2005:12) define "sampling" as "the process of taking smaller portions from a population for observation and analysis". Mntambo (2011:81) describes sampling as an appropriate drawing of participants from the given population. The criterion sampling technique was used to sample the universities. The following criteria were used:

- Geographical inclusiveness (the researcher included most of the regions of the country in the study);
- Existing PMSes (universities that have been applying performance management as a system were selected, considering the possibility that this could enable not only identification of the challenges they are facing in implementation of their PMSes but also identification of good practices); and
- The dates of establishment of the public universities were considered in the study. Established universities, average-age universities, and new universities were included. The universities were categorised according to their generation (age), the number of employees, their organisational structure, and their management. The management and the employees in the new universities are very young, with little experience, while the

established and the average-age universities have staff with more experience, and they have established structures. Regarding the interview, the participants also had an experienced team leader, who represented the management and the administration officers. Because consideration was given to the geographical location and the age of the universities and their implementation of PMSes when sampling universities and respondents, the study is inclusive of the different categories and groups.

After selecting the research areas from the public universities in Ethiopia, the researcher then needed to think about how he would select a sample population. In quantitative research, the sample must be representative of the population to such an extent that the research results can be generalised to the whole population. Six universities were then selected from each category. To this end, a stratified sampling technique was used to select sample universities from all the strata.

The focus of the study is PMSes at public universities. It is thus obvious that those who are responsible for managing and implementing PMSes at the universities (namely college deans, department heads, and administration heads, such as those of the directorates of Human Resources, Finance and Procurement), as well as employees whose performance is managed, will have to be included in the study. In this study, the respondents were chosen to represent these two groups, namely the management and the employees. The term "employees" is used to include all people who are employed by the public universities and who are not part of the management (the administration echelon), thus lecturers and administrative (non-academic) staff. In order to be inclusive of each population, a simple random sampling technique was employed, namely a lottery system, to select the sample respondents (cf. section 4.6.1).

For the qualitative part of the study, purposive sampling supported by the criterion sampling technique was used to select a small number of what McMillan and Schumacher (2010:138) refer to as "information rich" participants. The criterion used for these participants was that they must be knowledgeable about PMSes. The criteria are explained in more detail in section 4.6.1.

1.8.5 Data-collection methods, instruments and procedure

As indicated above, a sequential mixed-methods design was adopted, and the research was conducted in three phases, namely a qualitative phase (where a literature study and document analysis were conducted), a second qualitative phase (where interviews were conducted), and a quantitative phase (where a survey was conducted) (cf. section 4.8.1). For ease of reference, a summary of the data-collection methods used, and their associated research objectives, is provided in Table 1.1.

Table 1.1: Research methodology

Research objective	**Data-collection instrument**	**Participants**	**Sampling**	**Analysis and interpretations**
To review the prominent theories on performance management and PMSes at public universities in Ethiopia (objective 1)	Qualitative: A schedule for semi-structured interviews with a team leader and administration officers in the Department of Higher Education Institution Affairs in the MoE	Semi-structured interviews with a team leader and administration officers in the Department of Higher Education Institution Affairs in the MoE	Three participants	Thematic analysis with point-by-point discussion
To establish the origin and the nature of current laws and policies regulating PMSes at public universities in Ethiopia (objective 2)	A literature study of laws, proclamations, directives, and policies	N/A	N/A	Qualitative: narrative and point-by-point descriptive analysis
To determine the relationship between the current PMS practices and challenges and promotion of institutional success at the selected universities (objective 4)	Qualitative: Document analysis of the universities' mission and vision statements. Quantitative: A structured questionnaire for the management component, and a structured questionnaire for lecturers and administrative staff (the employee component)	(1) A structured questionnaire completed by the management component, which includes college deans, department heads, and administration heads. (2) A structured questionnaire completed by lecturers and administrative staff (the employee component)	540 respondents	Descriptive statistical analysis
To develop customised generic constituent elements of a BSC-based PMS that will ensure institutional effectiveness of public universities in Ethiopia (objective 3)	Discussion of the findings of the above data	N/A	N/A	Discussion and application of the above data

1.8.6 Data analysis and interpretation

Descriptive statistics were used to analyse the quantitative data, and thematic analysis was used to analyse the qualitative data. In order to explain the results obtained by the quantitative method and to increase the scope and the depth of the study in exploring the shortcomings of

PMS implementation in public universities in Ethiopia, the qualitative data was collected and analysed first, followed by the quantitative, or numerical, data. Creswell (2009:206–209) explains that the sequential exploratory design involves quantitative data collection and analysis as its first phase, followed by a second qualitative data collection and analysis (cf. section 4.8). As already stated, in this study, the exploratory sequential design was used, such that the researcher started with a qualitative phase first, in order to ground the research and to inform preparation of the survey questionnaire. The data collected through both approaches were discussed and summarised with equal attention.

To assess the effectiveness of PMSes in the selected universities, the study explored whether there is a significant difference between the management and the employee groups of the respondents on the variables stated in the questionnaire. Accordingly, frequency distributions, averages, and percentages were used to determine correlations of variables and to conduct ratio analysis. A composite one-way test, a one-way ANOVA, and a t-test analysis were applied to examine and compare the impact of independent variables on the dependent variables. The qualitative data was analysed using thematic analysis techniques (see section 4.8).

Both datasets were combined and analysed at the interpretation stage. The quantitative data is presented by qualitising them together with the qualitative data analysis. The statistical results are also discussed and interpreted in words qualitatively (cf. chapter 7). Regarding the document analysis, the universities' vision and mission statements were also consulted and analysed (see section 5.2). The following section presents the structure of the research report.

1.9 Structure of the final research report

This report has eight chapters. The first (introductory) chapter provides an overview of the study, a statement of the problem, the aim and objectives of the research, the significance of the study, a delimitation of the study, and limitations. The second chapter presents a review of literature related to the theoretical and conceptual frameworks of the study and contextualisation of PMSes in Ethiopian Public Universities. The third chapter captures a review of literature on performance management systems in general, focusing on the concepts of PMSes, PM cycles, and performance measurement instruments. The fourth chapter deals with the research design and methodology. In the fifth chapter, the data extracted from the document analysis and the interviews (i.e. the qualitative data) is presented and analysed. The sixth chapter contains a presentation and analysis of the quantitative data, while the seventh chapter provides an interpretation and consolidation of both data sets. The eighth and final

chapter presents findings, conclusions, and pertinent recommendations. At the end of the report, a reference list and appendices are included.

1.10 Ethical clearance

As Gray (2014:73, 83) states, ethical issues in planning and executing research should focus on access, including gaining access to the research site and participants, obtaining informed consent, and ensuring participant protection. These aspects are discussed in more detail in chapter 4. Unisa's Policy on research ethics explains that ethics applies to such considerations as what is good or bad, and what is right or wrong (Unisa 2007b:18). It also applies to evaluation of what should or should not be discussed. The researcher obtained an ethical clearance certificate from the Research Ethics Committee of the College of Education at Unisa (see Appendix H). Table 1.2 below summarises the ethical considerations of the study.

Table 1.2: Summary table of ethical considerations

Process to obtain permission		**Letters requesting permission**	**Permission letters**	**Data-collection instruments relevant to requesting permission**
Obtain permission from • The MoE • The leadership of the universities		• Letter requesting permission from the MoE of the FDRE (see Appendix E) • Letter requesting permission from the leadership of the universities (see Appendix G)	• MoE permission letter (see Appendix E) • University SM1, SM2, MY1, MY2, OL1 and OL2 permission letters (see Appendix G)	Permission requested to administer a questionnaire to college deans, department heads, administration heads, and staff, and reviewing of documents (vision and mission statements of the universities)
Sample/ Participants	**Process to obtain consent**	**Letter requesting participation/ consent**	**Informed consent from participants**	**Data-collection instruments**
Two Ministry of Education administration officers and one team leader	Request participation and consent from the team leader and administration officers in the Department of Higher Education Institution Affairs in the MoE	Letter requesting consent from the team leader and administration officers in the Department of Higher Education Institution Affairs in the MoE (see Appendix F)	Consent letter from participants	Semi-structured interview guide: to the team leader and two administration officers in the Department of Higher Education Institution Affairs in the MoE
College deans	Request the college deans to complete the questionnaire	N/A	Completed consent request	Likert-scale questionnaire
Department heads	Request the department heads to complete the questionnaire	N/A	Completed consent request	Likert-scale questionnaire
Academic personnel	Request the lecturers to complete the questionnaire	N/A	Completed consent request	Likert-scale questionnaire
Administration heads	Request the administration heads to complete the questionnaire	N/A	Completed consent request	Likert-scale questionnaire
Administrative staff	Request participation and consent from the administrative staff	Letter requesting participation and consent from the administrative staff	Completed consent request	Likert-scale questionnaire

1.11 Legitimation of qualitative and quantitative methods

The researcher reviewed available literature on PMSes and held discussions with colleagues and doctoral students at Unisa concerning the issues under study. This helped him to check and recheck the clarity and understandability of the instruments. The researcher tested the reliability

of the quantitative data-collection instruments by using the Cronbach's alpha coefficient to determine the internal consistency of the items used to measure the study variables (see section 4.9.1.2).

1.12 Conclusion to the chapter

This chapter framed the entire research report. The following are discussed: the background to the research, the motivation for the study, a statement of the problem, the research questions and objectives, the research design, the population and the sampling techniques used, the data-collection methods, instruments and procedures, the data-analysis methods, a delimitation of the study, conceptual and theoretical frameworks, limitations, and the structure of the study. The relevant documents and literature on PMSes are reviewed and discussed in chapter 2.

CHAPTER 2

LITERATURE REVIEW: A CONTEXTUALISATION OF PMSes IN ETHIOPIAN PUBLIC UNIVERSITIES

2.1 Introduction

In this chapter, pertinent literature on PM in relation to public universities in Ethiopia is discussed. The literature review is an important part of a study, as it enables the researcher to acquire and draw lessons from existing knowledge or information about a specific matter. According to Neuman (2003:96–97) and Struwig and Stead (2001:38), the purpose of reviewing the literature is to prevent unnecessary duplication, as well as to avert omission of important issues. In this chapter, the literature was reviewed to broaden the researcher's understanding of the theories, knowledge, principles, stakeholder orientations, and factors affecting the success of PMSes. Conducting a literature review was also useful for defining the conceptual and theoretical frameworks for the study, and to locate and identify existing BSC-based PMS implementation practices, which is the focus of objective 1, namely "to review the prominent theories on performance management and PMSes at public universities in Ethiopia". The researcher is aware of and acknowledges the fact that PMS originated from industry and is applied by governments in the public sector. In Ethiopia public universities are regarded as bound by general policy regulating the public sector.

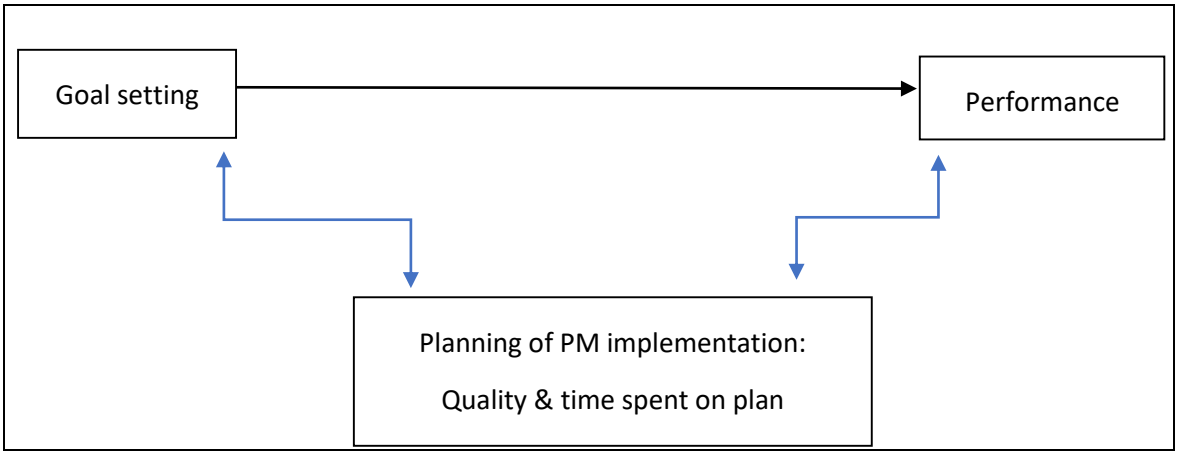
2.2 Theoretical framework

A review of each theory related to the study sheds light on the basic constituent elements that are important in informing and guiding the study on the effectiveness of PMSes.

Various theories underlying the approaches to manage PMSes have been developed. These include goal-setting theory, expectancy theory, control theory, and systems theory. Robbins (2000:166) emphasises the relevance of goal-setting theory for an effective PMS. Since a PMS is a set of ongoing processes, which are clearly tied to the goals of the institution and are aimed at gearing each individual's efforts towards achievement of those institutional goals, the relevance of goal-setting theory to an effective PMS is obvious. This theory underpins the PMS principle that objectives should be linked to measurable and manageable performance standards. Smith, Locke and Barry (1990:120) assert that "[g]oal setting is likely to affect an organisation's planning process by helping organisational members to participate in the planning process, which helps a manager to specify performance indicators". Mntambo

(2011:31) confirms this idea, explaining that the goal-setting programme should first be internalised by the top management of an institution before it is cascaded down to departmental and unit goals. Figure 2.1 shows the relation between institutional goals, planning, and performance.

Figure 2.1: The relation between institutional goals, planning, and performance



Source: Smith et al (1990:130)

The relation of goal setting to planning and performance reveals integration of the components in order to meet organisational objectives. Thus, setting-specific, challenging and clear goals are positively related to quality planning and performance. Armstrong (2009:28) emphasises the importance of goals to PMSes. Goals (1) direct attention to priorities, (2) stimulate effort, (3) challenge people, and (4) compel people to draw on their full range of skills.

According to Salaman, Storey and Billsberry (2005:35), goal-setting theory suggests that the individual goals established by an employee play an important role in motivating them to strive for better achievement. Since goals are set with the input of the employees and are agreed upon, they experience this as empowering. It is believed that agreeing on and prioritising tasks enhances the level of productivity, the quality of education, and service delivery, and it enables employees to gear their individual work plan and efforts towards achievement of personal, departmental and institutional targets. Challenging goals can motivate employees to perform at the required level, because such goals mobilise energy, lead to higher effort, and increase persistent effort (Lunenburg 2011a:1). Heslin, Carson and VandeWalle (2009:96) explain that goal setting inspires individual commitment to tasks. If a leader or manager can motivate and coach their employees properly, the employees can perform their tasks in an efficient and effective way. To this end, goals could help to realise the organisational plan and to increase the level of commitment of performers.

DuBrin (2012:11), on his part, points out that goal-setting theory is based on the premise that goals influence employees' behaviour. Embracing this theory can help managers to improve and sustain performance. Thus, the researcher believes that goal-setting theory attaches due importance to PM agreement and contract-based performance measurement as basic tools for target setting at the individual level, and that these tools will be cascaded from the corporate targets, with the aim of creating a shared vision among performers. This implies that the role of employees will be changed from that of being controlled to that of being empowered. If an organisation does not have a clear and specific plan, this will reflect in its performance and goal achievement.

Another theory that can be used to inform a PMS is expectancy theory. Vroom (1964:1–2) identifies four basic assumptions underlying expectancy theory:

a) People join an organisation with some expectations about their needs, motivation and experience; this affects the way they react to the organisation;

b) People's behaviour is a response to conscious choice, which gives them freedom to calculate their expectancy;

c) People expect good salaries, job security, advancement, and challenges; and

d) People choose among alternatives to optimise their own outcomes.

In terms of this theory, employees will be motivated to act when there is an expectation of anticipated satisfaction, for example that their behaviour can potentially result in the achievement of personal goals (Parijat & Bagga 2014:8; Salaman et al 2005:35). Increased work effort leads to increased performance, which, in turn, leads to increased outcomes and enhanced employee motivational levels (Vroom 1964:145). Lunenburg (2011b:1) states that expectancy theory is based on cognitive processes to motivate employees in their job. People's behaviour could show the relationship between effort exerted at work and the performance achieved by their effort, which, in turn, would entitle them to a reward. The more attractive the outcome (such as a reward) is, the stronger the expectation and the higher the motivation (Parijat & Bagga 2014:8). Achievement is motivating because it enhances employees' morale. An employee who performs well will scale up their effort so that they keep on performing well. Since individual objectives are linked to institutional goals, the expectation is that this will influence employees' drive towards achieving their ambitions and it will incline them to exert effort that, in turn, will maximise organisational effectiveness (Zhang, Song, Hackett & Bycio 2006:279).

Another theory is control theory. Hewege (2012:1) explains that the term "control theory" is "a generic term for [a] wide range of formal and informal approaches and mechanisms that aim at regulating the behaviour of members of an organisation". In this regard, control theory emphasises influencing and controlling employees' behaviour at all managerial levels, to ensure successful realisation of the organisation's strategic objectives. One way of exercising control is through performance management. This includes behaviour control, output control, and input control. Behaviour control relates to monitoring and measuring employee behaviour. The mechanism used to measure employees' performance is a form of control that the organisation exercises over the employees. Output control relates to the control that is exercised through sanctioning or rewarding after the measuring has been done, and input control deals with controlling the training of employees to ensure that they will acquire the competencies that the institution needs (Dwivedi & Giri 2016).

Control theory deals with monitoring and evaluation and giving feedback on the outcomes of individual or collective performance (Hewege 2012:2). Giving feedback is, in terms of control theory, a means of shaping behaviour (Armstrong 2009:29). As people receive feedback on their behaviour, they are expected to appreciate the discrepancy between what they are doing and what they are expected to do, and to take corrective action to overcome their mistakes. Since feedback is recognised as a crucial part of the performance management process, the researcher argues in support of this theory. Requiring feedback as part of the PM process changes the role of the manager from one of supervision to one of mentoring and coaching, which, in turn, could boost employees' effort and reduce absenteeism. Decramer, Smolders and Vanderstraeten (2013:353) maintain that having a PMS should ultimately result in lower employee absence, higher satisfaction, greater willingness to stay with the organisation, and higher effort. In addition, having a PMS will help avoid the danger of frequent turnover and a lack of insight into employees' discharging of their responsibilities in the organisation (Busetti & Dente 2014:228).

Ultimately, control theory focuses on accountability and responsibility of performers in the PMS. Melo, Sarrico and Radnor (2010:234) posit that the effect of low commitment among leaders in an organisation is that they will hold someone else responsible for not achieving the pre-established goals or for not being able to control costs. Pursuant to this idea, introducing control mechanisms aimed at assessing performance will ensure demand for an increase in competitiveness in performers to discharge their duties and responsibilities in an efficient and effective manner. In general, control theory focuses on regulating behaviours of members of

an organisation in order to achieve organisational goals with minimum utilisation of resources, which, in turn, ensures effectiveness and efficiency of performance, by harmonising organisational and individual objectives (Hewege 2012:2).

Social cognitive theory and systems theory also have great importance for the effectiveness of a PMS. Bandura (1986:95) developed social cognitive theory. It suggests that what people believe they can or cannot do powerfully impacts on their performance. Developing and strengthening positive self-belief in employees is therefore an important part of performance management. Wood and Bandura (1989:363) explain that in social cognitive theory, people are motivated by the success of others who are similar to themselves, but they are discouraged from pursuing behaviours that they have seen often result in adverse consequences. Personal standards of conduct provide a source of motivation.

Bronfenbrenner (1993:37) associates human development with an organisation's entire functional system. Analogous to the different subsystems that can help and support growth in humans, an organisation also has various subsystems that make its operation and structure a whole. A PMS as a management system borrows from the concept of systems theory, in the sense that it brings together many organisational subsystems (such as finance, human resources, procurement, and auditing) of an organisation in an integrated manner in order to enhance institutional success. Ingram (2009) asserts that systems theory is an alternative approach to understanding, managing and planning the organisation's performance. It is based on the premise that organisations, like living organisms, are made up of numerous component subsystems, which must work together in harmony for the whole system to succeed.

Thompson (2009) and Foster (2012), on their part, suggest that systems theory is used as a tool for understanding different aspects, and that it is an approach for understanding how businesses function, where the organisation is likened to an organism with independent parts, each with its own specific function and interrelated responsibilities. The system may be the whole organisation, a division, a department, or a team, but whether it is the whole or a part, it is important for the organisation.

Systems theory in this study acknowledges the multifaceted nature of PM, and that institutional success is not attained by merely managing individual performance, but through reciprocal interactional processes, where individual performance is linked to institutional goals. An effective PMS helps the institution to be treated as an open system that transforms input into output within the environments (external and internal) on which it is dependent. Hence, in

terms of systems theory, HEIs have to recognise the importance of environments that they rely on. Systems theory is the basis of the input-process-output-outcome model of managing performance. This model assesses the entire contribution that an individual makes within the system in carrying out their allocated tasks, not just the output (Armstrong 2009:33). In terms of this theory, the values of the institution are changed from protective to productive by assuming that performance measurement and compensation should be focused on results, rather than activities. The researcher has used this theory to explain the involvement of all the stakeholders, in order to enhance the quality of inputs and outputs of the institutions. The HEIs are using various inputs, which are processed and transformed into outputs.

According to Kahsay (2012:68), in an open-system approach, an organisation is a system that draws certain inputs from the environment, transforms them, and discharges the outputs to the external environment, in the form of goods and services. The interrelation between the organisation and its environment can help it in discharging its duties towards attainment of its objectives. In this regard, Baldridge (1999:87) highlights certain common characteristics of an open system: to handle routine activities, officials have to carry out specific duties, such as goal setting, they have to ensure that hierarchical systems and structures are in place, and they have to identify decision-making processes that make institutional policy and bureaucratic administration effective.

In general, this study on the effectiveness of PMSes at public universities in Ethiopia in promoting institutional success followed an open and transparent process and review that was informed by goal-setting theory and expectancy theory. In the context of goal-setting theory and expectancy theory, the PMS pays due attention to prioritising tasks and individuals' responsibilities in order to achieve institutional objectives. It is thus clear that the PMS is a management system that measures performers' behaviour towards accomplishment of planned results, in order to satisfy stakeholders' needs. Civil servants are major assets in transforming an organisation's outcomes. The researcher discusses civil service reform in Ethiopia in the following section.

2.3 Civil service reform in Ethiopia

There are various reasons why it may be necessary to reform the existing work culture and performance evaluation system of a country. In the case of Ethiopia, the reason for undertaking reform was to implement and realise the country's strategic plans in a more effective and efficient manner. The purpose of the reform agenda in the Ethiopian civil service was not just

to redefine and re-engineer the role of institutions, but also to lay the foundation of the new forms of organisational set-up and performance management of public institutions (Getachew & Common 2006).

Ethiopia had a highly decentralised form of government, where regional kings had absolute power over their constituencies, until Emperor Menelik II came to power and ruled the country from 1889 to 1913. It was the era of a flourishing railway network, education, an army, and telecommunications modernisation following European development. The king tried to establish a modern and centralised public administration framework. In 1907, Ethiopia started to modernise its government institutions, through the establishment of nine ministries. They were a Ministry of Justice, a Ministry of Interior, a Ministry of Commerce and Foreign Affairs, a Ministry of Finance, a Ministry of Agriculture and Industry, a Ministry of Public Works, a Ministry of War, a Ministry of the Pen, and a Ministry of Palace (Civil Service Transformation Research Center, Ministry of Civil Service 2012).

Emperor Haile Selassie I, who succeeded Emperor Menelik II, continued with the modernisation endeavour. During his regency (1917–1930), he developed the country's legal system, improved the civil service, and established more ministries, namely the ministries of education, industry, fine arts, justice, public works, and communications. Unfortunately, the nature of the regime (in particular the position of power of the king and the nobility), nepotism, favouritism, and political interference hampered any attempts by these new ministries to reform the civil service (Civil Service Transformation Research Center, Ministry of Civil Service 2012). Reform of the civil service was halted by the Italian occupation (1935–1941). After the emperor returned and assumed power again, modernisation of government institutions continued. In 1974 the Dergue regime came to power by a coup d'état, and it restructured the civil service. The restructuring took place along socialist lines, where the administration was centralised and the motivational benefits of personal wealth were ignored. No viable reforms took place between 1974 and 1991. The Ethiopian People's Revolutionary Democratic Front (EPRDF) overthrew the military Dergue regime and came to power in 1991.

The Transitional Government of Ethiopia lasted from 1991 to 1995. Since 1995 the democratic government has undertaken many fundamental and valuable reforms to transform and overhaul the Ethiopian civil service (Chanie 2012:82–87). With the new constitution and adoption of a federal system in 1995, the civil service was fundamentally restructured, in that unlimited power was granted to regional institutions. In particular, the extremely hierarchical and non-value-adding nature and the input-oriented systems of the public institutions were identified as

the main cause of the lack of transparency, accountability and effective leadership, as well as the high level of nepotism and corruption (Aschalew 2011:1–2). The Civil Service Reform Program, which was launched in 2001, further enhanced the reform process. A new ministry, the Ministry of Capacity Building (MoCB), was established to organise the reform process in each public institution. The focus of the reform agenda of the country shifted to the establishment of a new management system, to tackle all the problems identified and to achieve the country's transformation plan. HEIs were identified as one of the main actors in the execution of this reform programme.

Before 1991, the Ethiopian civil service was characterised by a centralised administration, corruption, inefficient service delivery, and a general need for reform (Getachew & Common 2006). The reform programme focuses on ensuring reliability, transparency, efficiency, effectiveness, responsiveness, equity, and fairness to accomplish the intended outcomes. Business process re-engineering (BPR) is part of this Civil Service Reform Program, which is aimed at bringing about a swift change in the PMSes of HEIs (MoCB 2010:143). More effective and efficient utilisation and management of scarce resources, through the establishment of results-based PMSes, was envisioned. This vision indicates the commitment of government to transform its system to one of more participatory and results-based performance, and to ensure effective transformation of the economy.

According to Srimai, Radford and Wright (2013:143), the top leadership of the Ethiopian public universities preferred to have modern and contemporary PMSes, rather than traditional management practices. Traditional management practices were focused on profit-oriented performance measurements, and they ignored customers, stakeholders, and learning and innovation measurement variables.

Yizengaw (2004:3) explains that the country's post-1991 market economy policy created an environment conducive to private investment in public education. Private investment in education, in turn, has created competition in terms of performance capacity building, which has risen to a global level, and it has increased the necessity of having effective PMSes and workable education policies.

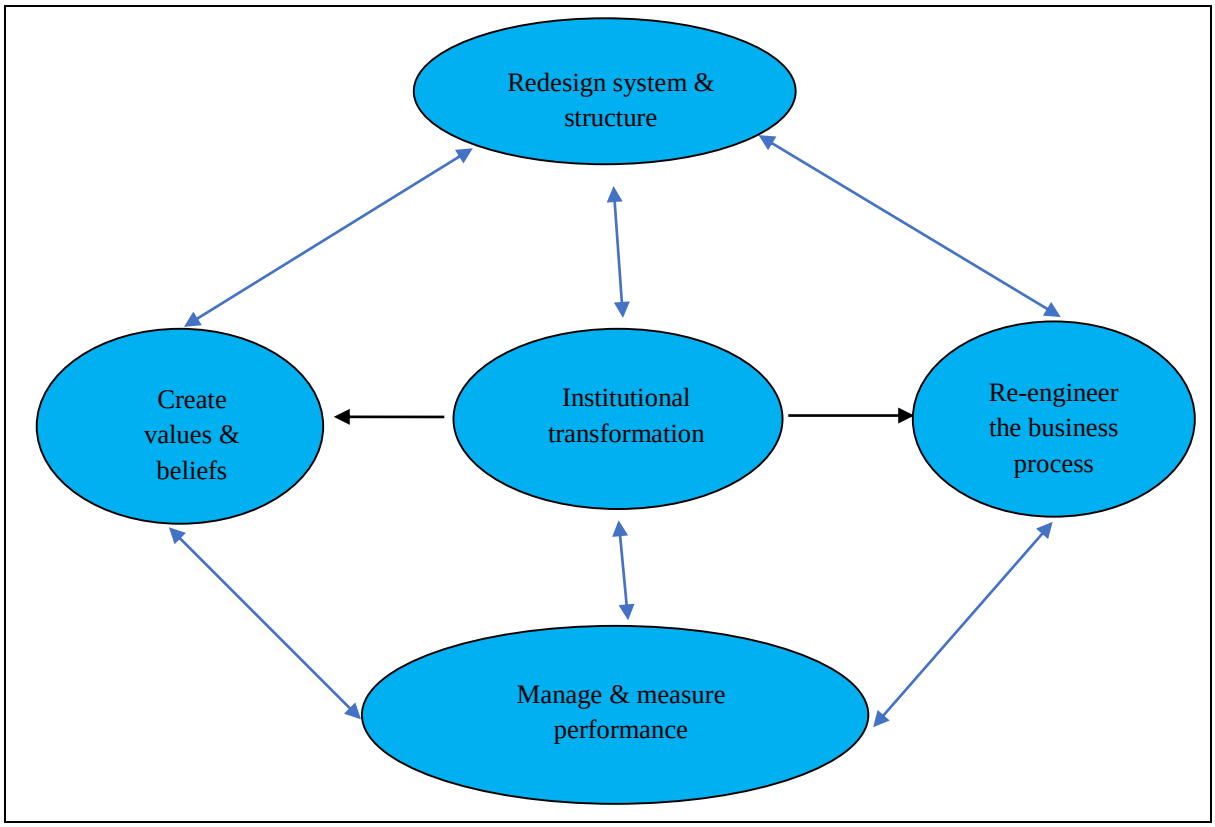
Yizengaw (2003:2), also adds that the Harare Declaration of 1982 stresses the need to ensure changes in African HEIs and their curricula and research activities, so that they can make progressive contributions towards development of the economy of their respective country, and to improve their education systems. Saint (2004:86) suggests that higher education reform

efforts in Ethiopia should focus on designing demographic, economic and social contexts and on reviewing the links between higher education and development in Ethiopia. Ethiopian HEIs thus have to equip graduates with sufficient technical, professional and research skills, so that they can support and expedite the country's economic-growth and poverty-reduction plan.

Proclamation 351/2003 granted autonomy to HEIs to manage all their internal operations, finances, and personnel. It made the leadership responsible for the overall management of the institution at every level of the hierarchy, and it established relations with other local or international HEIs. Proclamation 650/2009, which replaced the former Proclamation 351/2003, guarantees, under articles 16 and 17, institutional academic freedom and autonomy. In relation to governance and management, Proclamation 650/2009, under article 43, states that public higher institutions shall have governing bodies consisting of a board of directors, a president, a senate, a managing council, a university council, an academic unit council, an academic managing council, and a department council.

The Ministry of Capacity Building in 2002 issued the Implementation Directive of the Civil Service Reform Program in Ethiopia (MoCB 2002). The BPR public reform mandate focuses on institutional transformation, such as revising student performance measurement systems and the curriculum, and introducing a comprehensive PMS. The PMS was based on the following four aspects: (1) redesigning the system and the structure of the institution, (2) re-engineering the business process, (3) managing and measuring performance, and (4) creating values and beliefs (such as responsiveness, transparency, accountability, being a role model, and similar values). Accordingly, public universities designed and re-engineered their organisational systems and structures, as well as their internal processes. Some public universities introduced and implemented PMSes through the measurement tool of the BSC, in order to measure their outcomes and create the values and beliefs stated above among their employees. Diagram 2.1 below shows the integration of aspects of BPR.

Diagram 2.1: Model diagram of the BPR reform mandate



Source: MoCB CSRP (2010:7)

2.4 The importance of PMSes for higher education institutions

PMS implementation helps to clarify, to both individual and group performers, what is expected of them, which, in turn, leads to improved institutional effectiveness. Baas, Hoaglund, Johnson, Pakalns and Williams (2006:15) assert that employees are required to understand their university's mission and the results expected of them, so that they can maximise their engagement in and contribution towards institutional success. One can understand that using a PMS can further benefit both the individual and the institution in linking their objectives with training and development programmes.

PMSes can have a positive effect on Ethiopian HEIs, because the feedback can be used to inform the updating and development of courses, the review of curricula, the introduction of new books and journals to enhance the effectiveness of teaching and learning, and the development of themes on which academics can focus when writing articles (Getachew & Common 2006). Gherghina, Vaduva and Postole (2009:642) indicate the following advantages of PMSes for HEIs: they boost institutional capacity, educational efficiency, and quality management. In line with the above discussion, PMSes can help to produce and transmit

knowledge, establish appropriate institutional and managerial structures, and design objectives and expected results in a clear and easy-to-understand manner.

However, a PMS can only hold the benefits referred to above if it has an appropriate assessment system with a well-designed plan for the betterment of the teaching-learning process, and curriculum development towards realisation of institutional success. In addition, a PMS should always be linked with the institution's strategic goals, to achieve the stated outcomes, by minimising and removing deviations in the work process or product (Baas et al 2006:15). Hence, one can understand that an institution with well-managed performance is on the right track towards accomplishing its strategic objectives in an efficient and effective manner. In doing so, it will be in a good position to communicate its vision and its targets to employees.

2.5 The principles underlying PMSes

A PMS is not merely a measurement instrument. It is also a management system that aligns employees' efforts with the institution's vision and strategy to create a desired work culture. Armstrong (2009:56), Baas et al (2006:11), and Gherghina et al (2009:641) identified the following common principles as essential for effective PMSes for HEIs:

- Preference for a point-in-time systems approach: PM is an ongoing process, which begins with a description of the relevant position and the hiring process, which, in turn, leads to hiring of the person most capable of doing the job. Competency-based PMSes for HEIs provide a clearly defined path towards professional advancement and successful job performance. Expectations are defined and agreed to in terms of role responsibilities and accountabilities ("expected to do"), skills ("expected to have"), and behaviours ("expected to be"). Individuals are provided with the opportunity to identify their own goals and to develop their skills and competencies.
- PMSes for HEIs are based on sufficient information on institutional strategies, which is translated into clearly defined objectives, so that employees understand what specific and measurable behaviours are expected within a given role. A PMS is linked to the institutional mission statement. There is a visible link between individual goals and organisational goals, which determines what needs to be done. Individuals are encouraged to uphold corporate core values.
- PMSes for HEIs require that all key stakeholders are informed of and understand the importance of quality education and the impact of HEIs on producing skilled and capable professionals.

- Credibility: employees must see the relationship between the coaching provided and the described outcomes. Recognition motivates employees and provides them with the opportunity to use and develop their skills and abilities (cf. section 2.6.4).
- Accountability and management support: organisational leaders need to regard PM as being core to the operation of the institution.
- Training and coaching: Managers must be sufficiently trained to prepare for and perform employee evaluation.

It is evident that the key principles identified above are part of a continuous process, and that they align with strategic goals. Inability of employees to understand and consider their importance and the value of their contributions to the whole unit may affect their performance outcomes. It is necessary to focus on the overall control system of the PMS to ensure overall institutional success, which transcends the measurement of performance.

2.6 Factors affecting successful PMS implementation

Factors such as leadership style, leadership and management commitment, employees' perceptions regarding PMSes, performance measurement errors, lack of motivation, and miscommunication hamper the effectiveness and the success of implementation of PMSes in HEIs.

2.6.1 Leadership and management commitment

Singh Dhillon (2014:33) describes a leader as someone who sets the direction and influences people to follow that direction. Leadership is responsible for championing the cause for getting and keeping the ball rolling. Without strong leadership, the strategic objectives will not be fulfilled. In order to be committed, a leader should have personal inspiration and knowledge of the work. Obiwuru, Okwu, Akpa and Nwankwere (2011:103) identify certain features of a leader, namely a charismatic personality, being inspirational, motivational, and intellectual, and being able to stimulate performers and individual capabilities. These features play an important role in increasing awareness and understanding of the institution's common objectives. If a leader does not possess these features, it could affect the emotional inspirations and the commitment of performers.

For effective implementation of PMSes, leaders themselves must be committed and dedicated to the strategic institutional objectives. Leadership commitment to the development and use of performance measures is a critical element for the success of a PMS. Ochurub, Bussin and

Goosen (2012:6) confirm the above idea that leaders' commitment in implementing PMSes in their institutions can improve their employees' confidence.

2.6.2 Leadership style

It is trite that a good leader inspires people to follow him. Otherwise, as the saying goes, 'a leader without followers is just taking a walk'. Sang and Sang (2016:41) contend that successful implementation of a PMS depends to a large extent on the leadership style that the leaders adopt. Fry (2003:711) defines leadership as "leading strategically through inspiring employees thereby motivating and improving their potential for growth and development". Leadership style refers to the professional manner in which leaders behave or act towards the performance of individuals, teams, and departments. It implies less good results if a leader does not motivate all performers to work efficiently and effectively in order to achieve the institutional goal(s) (Milkesa 2012:39). DuBois, Hanlin, Koch, Nyatuga and Kerr (2015:32) maintain that a good leader is not only measured by the good results they achieve, but also by the empowering and inspiring culture they create that motivates employees to strive towards a common goal. In addition, a good leader also links the organisational mission and goal(s) with individual goals, creates a platform for teamwork, and focuses on employees' efforts. Chuang (2009) and DuBois et al (2015:34) explain that a good leader demonstrates integrity and organisational values to their followers and focuses on achievement of institutional objectives, by inspiring and motivating their followers to enhance their potential and efficiency. Jin (2010:159) adds the following essential characteristics of a leader: the ability to promote new ideas, friendliness, simplicity, compassion, responsiveness, and sympathy. Sang and Sang (2016:38) assert that leadership is about exerting a positive influence on the people you work with. Obiwuru et al (2011:102), on their part, assert that an excellent and visionary leader is focused on cohesion, commitment, trust, motivation, and effective performance in their followers in order to accomplish institutional goals.

Contemporary leadership styles include the transformational and the transactional leadership styles (Linjuan 2010:9). Transformational leaders are democratic and charismatic, they believe in discussion, they build on employees' moral strengths, and they have an inspiring vision in order to influence their followers towards achieving institutional objectives. By contrast, transactional leaders are an authoritative kind of leader, where they use institutional bureaucracy, rules, regulations, and laws to enforce and to reward employees based on pre-stated agreements. One can conclude that there is no style that fits all situations; a leadership style is manifested through its influence on employees and the exercise of authority and power.

A transformational leader plays an important role in identifying and setting a clear vision and ambitious performance plan through direct involvement and decision-making of employees (Linjuan, 2010:10). A transformational leader transforms the working environment to one that is conducive to improving performance, for example to a participatory and transparent environment that enables achievement of high levels of performance (DuBois et al 2015:34; Linjuan 2010:3). Leadership and institutional behaviours have a direct relationship. For instance, a transformational (extraordinary) leadership style is based on raising followers' level of consciousness towards achievement of the organisation's mission and vision, by transcending their personal interests for the sake of meeting common organisational goals. A leader who follows a transformational leadership style will focus on setting objectives and directions and ensuring alignment of organisational objectives with performers' objectives.

A democratic leadership approach is more appropriate than an autocratic approach to PMS implementation, because it aims at participation, creating ownership, and empowering employees in terms of what is to be done and how it is to be done. Abay (2002:16) confirms that PM needs a democratic leader, who inspires their followers to transcend their own self-interest for the good of the organisation, and who is capable of having a profound and extraordinary effect on their followers. Democratic leaders are role models to their followers. They are dynamic, far-sighted, insightful, and of sociable character, and they inspire and encourage their employees.

A democratic leader will be focused on institutional capacity building, and will be neutral in terms of political affiliation. Sang and Sang (2016:41) concur that for a PMS to be successful, there has to be an ongoing and cyclical process of planning, continuous coaching and performance counselling, and appraisal. Each of these steps is characterised by a high level of interaction between the parties involved, and an appropriate leadership style will be most important in ensuring that the steps are brought to fruition. In this regard, when implementing PMSes in the public universities in Ethiopia, the transformational leadership style is better than the other leadership styles, because a transformational leader pays due attention to their followers' motivation, they make their followers aware of the importance of the task outcomes beforehand, and they inspire them to use their potential to meet the institutional objective(s).

Since situations differ, all styles are applied according to the objective reality of the situation. What a leader does in one situation may not always work in another situation.

2.6.3 The perceptions of employees regarding PMSes

PM is about managing people to perform at their maximum. As Hervie (2016:87) states, if organisations would like to remain competitive and productive, their employees must be productive and must perform at peak level to increase their outcomes. According to Boone and Kurtz (2013:255), employees can make or break their institutions, contributing to either their success or their failure. It is thus essential that universities pay due attention and consider the reaction of employees to their university's PMS. Effective PMS implementation is impossible without "engaged employees". Anitha (2014:310) defines an engaged employee as one who is intellectually and emotionally bound with the organisation's rule of conduct to maximise their effort, who feels passionately about the organisation's goals, and who is committed to live by the organisation's values. Katsaros, Tsirikas and Bani (2014:38) assert that leaders, as agents of the institution, have the responsibility to lead, to encourage, and to manage employees' performance.

Habtamu (2005:14) notes that employees in an organisation must be able to trust two sets of people: their leadership, and each other. He adds that a lack of trust results in inequality, which can find expression in nepotism and corruption. Inequality is considered a time bomb; it may explode at the time of performance review (Habtamu 2005:14). Partiality and unequal treatment could affect the trust that employees at public universities in Ethiopia put in their leaders' ability to conduct fair PM reviews.

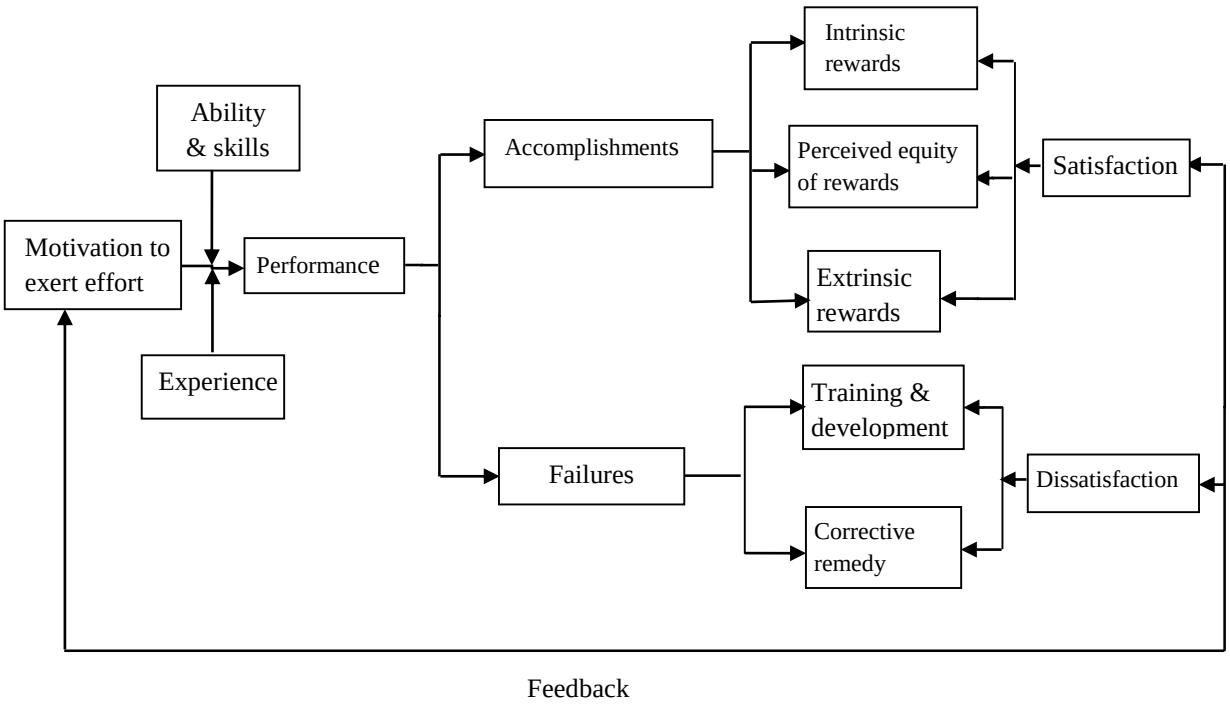
2.6.4 Motivational factors

Murphy (2015:5) asserts that the ultimate purpose of a motivational reward system is to inspire employees to perform well and to provide a systematic way to deliver positive results. A motivational reward system emphasises the relationship between the expected performance level and how employees will be rewarded when they achieve that performance level. Knowing what reward can be obtained and being able to measure their own performance against the expected performance level may motivate employees to improve their performance.

Intrinsic and extrinsic motivational factors can enhance employees' morale and encourage them to improve their performance. Robbins (2000:171) states that a PMS helps to motivate employees to exert a high level of effort when they believe that effort will lead to good performance results. Good performance results, in turn, lead to attainment of organisational rewards, such as bonuses, salary increments, or promotions. Furthermore, rewards could satisfy

employees' personal goal(s) and could motivate them to contribute towards attainment of institutional objectives. Figure 2.2 below illustrates the motivation process.

Figure 2.2: The motivation process



Source: Gibson, Ivancevich and Donnelly (1991:196), as adapted by Murphy (2015:15)

In order to increase employees' engagement and effort, which will help to improve productivity and produce better results, institutions must adjust their performance review to a results-based system. The points listed below are important to improve employees' performance. Griffith (1979:15) and Miller (2017) indicate that a leader should

- indicate employees' performance against their goals and objectives,
- allocate resources that employees need to succeed in their tasks,
- apply the principles that underlie good delegation, consultation and communication, and create opportunities for improvement,
- be fair and equitable in distributing the workload and special duties to staff,
- give ongoing coaching and feedback, to bring out the best performance from staff,
- trust their employees in their work,
- pay competitive remuneration to their employees, and

- attempt to promote the personal and professional advancement of employees, through sensitive measurement, challenging work, and in-service programmes.

2.6.5 Performance measurement errors

Miyake (2015) defines performance measurement as a quantitative measurement process aimed at comparing actual performance outcomes against stated targets. It is regular measurement of outcomes and results that generates reliable data on the effectiveness and the efficiency of tasks. In measuring performance, there are various errors that can affect the overall measurement process of HEIs and individuals' performance. For instance, Buford and Lindner (2002:167) suggest that there are several common sources of performance measurement errors, such as the halo effect, central tendency, and the contrast effect. Thus, it is important to have well-designed, understandable, attainable, and fair measurement criteria to minimise and solve any errors that may have occurred during performance measurement. O'Reilly (2009:110) confirms the above idea that performance measurement is an assessment of employees' performance against previously designed and agreed-upon indicators and targets to be achieved.

2.6.6 Ineffective communication

Effective communication improves employees' commitment and attitude, which, in turn, contributes to better performance (Linjuan 2010:4). In this regard, various communication methods, such as institutional publications, circulars, memos, letters, notices, progress reports, and meetings, are used to get the target recipient to perform specific tasks aimed at achieving the organisation's predetermined objectives. For these predetermined organisational objectives to be met, communication must be effective. Effective communication is a two-way activity in which both the sender and the receiver must know what is required of them, what the message implies, and how the information is used (Bel-Molokwu 2000:115). While good communication ensures continuous dialogue between the manager and employees and provides a critical link between the tasks that employees perform and the corporate strategic plan, poor communication contributes to a working environment that is not conducive to effective performance and that lacks common understanding of the strategic objectives (Ochurub et al 2012:6).

According to Bel-Molokwu (2000:115), communication is a crucial tool for establishing and maintaining a PMS. Communication should be multidirectional, running top-down, bottom-

up, and horizontally within and across an organisation. Best-in-class organisations communicate internally by way of:

- *interactive, group-oriented mechanisms (town hall meetings, and business and focus groups),*
- *various forms of print media (newsletters, reports, and publications),*
- *advanced computer technology (email, video conferencing, and the Internet), and*
- *other highly visible means, such as routine placement of progress charts in appropriate work areas.*

Two of the most effective methods of communication are the use of special meetings and institutional publications (Bel-Molokwu 2000:115).

The performance report is another communication system used to convey an organisation's results. Sambe (2005:24) explains in this regard that reports are meant for internal use, but that they are also often useful when there is a need to communicate the progress made by the organisation to external audiences, particularly the stakeholders. Good reports must be readable, legible, and written in a good style, and the message must be well packaged. The language must be simple and understandable, and only important points should be included. Reports should be portable and must have little or no interference or distortion.

Another type of publication is journals, which are published quarterly or annually to ensure free flow of information and to facilitate intra- and interdepartmental communication on the operation and the performance of the organisation. Such communication can help to keep organisational objectives and policies in constant focus, and to reinforce the agreed-upon messages and values from management.

Communication is a bridge to connect a manager with their employees to discuss the overall plan of the institution, and, in particular, the performance agreement. Plachy and Plachy (1988:15) contend that a manager and an employee should arrive together at an understanding of what work should be accomplished, how it will be accomplished, how work is progressing towards the desired results, and whether performance has been achieved in line with the agreed plan. DuBois et al (2015:34) and Wolff (2008) contend that through communication a leader can make clearer the organisation's targets and expectations, and can address underperformance problems and communicate the institution's mission and vision, to create common understanding among employees, by focusing on long-term goals.

2.6.7 The Ethiopian higher education institution stakeholder orientations

Broadly speaking, stakeholders are groups or individuals who have an interest in and who can affect or benefit from the institution's performance. Alves, Mainardes and Raposo (2010:163) define "stakeholders" as "individuals or group of individuals who have the power to impact the institution or affect the objectives of an institution".

HEIs should identify their stakeholders at the beginning of the academic year. Since the government of Ethiopia allocated a huge annual budget to HEIs for both capital and recurrent budgets, it is a major stakeholder in public universities (cf. section 3.4.4). Bryson (2004:26) emphasises that stakeholder identification enables the management and leadership of HEIs to know who their key stakeholders are and what will satisfy them. Okunoye, Frolick and Crable (2008:17) note that different stakeholders, who have a stake in the operational behaviour and effective performance of the organisation, are present in various forms.

Ethiopian HEIs are expected to meet and work with their key stakeholders, including, among others, employers, preparatory high schools, suppliers, and the MoE, in order to discuss the universities' operations and to indicate problems that need further improvement. Arcaro (1995:31) asserts that HEIs should fulfil and satisfy stakeholders' proper and pertinent demands to maintain their excellence. To prepare graduates properly for the world of work, learning activities are required to become practice- and community-oriented. Creating partnerships is essential for HEIs to contribute to the country's development and to ensure compliance with the reform mandate.

2.6.8 Institutional mission and vision

A PMS is a very important system in determining the commitment of all performers to realise an institution's mission and vision. It also helps both leaders and employees to be focused on top-priority activities towards achieving institutional success (Ramsingh 2007:13). Kennerley and Neely (2002:1245) confirm the idea that mission and vision statements help staff to focus and give attention to what they are actually intended to accomplish. Vision statements also provide a conceptual framework that can be useful for the institution's internal and external operations and their harmonisation with the government structures to which they are formally responsible. Ochurub et al (2012:6) add that if the vision of an institution is not clear to employees, they will not work towards attainment of the strategy. So having a clear understanding between employees and managers is important to make PMS implementation successful.

The Balanced Scorecard Collaborative (2002) reports that about 95% of the workforce does not understand their institution's strategy, while 75% of managers do not link incentives to the institution's strategy, and 40% of institutions do not link their budget to performance results. Furthermore, the majority of executive teams spend less than one hour a month discussing strategy. The above discussion shows that linking strategy with an institution's PMS and the mission and vision statement of the institution is important in order to achieve predetermined results.

Kassahun (2010:40) points out that the main purpose of public HEIs in Ethiopia is not to make a profit and to boost profits, but to satisfy the interest of their customers and stakeholders, by understanding their needs and being responsible for them. Therefore, to realise their mission, universities develop appropriate strategic plans, invest and use all available resources efficiently and effectively, and assign transformational leadership with an effective PMS to manage in a progressive manner, rather than the traditional way.

Kennerley and Neely (2002:1245) express the idea that mission statements are equally important in identifying and addressing an institution's values and beliefs and in helping to accomplish the institution's objectives. Yizengaw (2003:7) argues that the mission statements of the universities should have the following essential characteristics: (a) they should produce qualified citizens who will contribute to regional and national social and economic development; (b) they should undertake research to generate, transfer and apply knowledge for the development of the country and to improve science and technology; (c) they should provide services to the local and the national society; and (d) they should inculcate relevant knowledge.

2.6.9 Implementation of policies pertaining to HEIs and government exercise of power

It is widely argued that Ethiopia has many good public policies, but those policies are not implemented properly. The HEI and PM policies pertaining to HEIs are not exceptions in that regard. The policies lack clear provisions towards effective implementation of PMSes and government fails to monitor implementation or to provide incentives for the effective implementation of PMSes in the HEIs. A conclusion to the chapter is presented in the following section.

2.7 Conclusion to the chapter

The researcher reviewed relevant literature to contextualise this research within existing literature. In this chapter, the researcher focused on literature related to the practices and the

challenges of PMSes at public universities in Ethiopia, and the implementation of PMSes in line with reform and BPR principles.

Theoretical perspectives of the BPR regarding PMSes of HEIs have also been presented in this chapter. The conceptual aspects of the literature review are presented in the following chapter.

CHAPTER 3
LITERATURE REVIEW: PERFORMANCE MANAGEMENT SYSTEMS

3.1 Introduction

In this chapter, the conceptual aspects of PMSes and the PMS implementation cycle are discussed. Managing performance through a performance management system is important for institutions. This chapter presents a discussion of contemporary performance management systems.

3.2 The concept of "performance management"

The Community Foundations of Canada (2017) defines PM as

> *a process by which managers and employees work together to plan, monitor and review an employee's work objectives and overall contribution to the organization. More than just an annual performance review, performance management is the continuous process of setting objectives, assessing progress and providing on-going coaching and feedback to ensure that employees are meeting their objectives and career goals.*

The United Nations Children's Fund (2016) describes PM as follows:

> *Performance management focuses on the effective management of people to achieve organizational goals and better serve its customers and assists in creating a work environment in which people are enabled to perform to the best of their abilities. It is an on-going process through which managers and their employees gain a shared understanding of work expectations and goals, exchange performance feedback, identify learning and development opportunities, and evaluate performance results.*

Varma, Budhwar and DeNisi (2008:40) define PM as "a range of practices an organisation engages in to enhance the performance of a target individual or group with the ultimate purpose of improving organisational performance". PM thus has several processes (also referred to as "practices", "activities", or "steps") that must be managed. These can be classified as performance planning, monitoring, and reviewing. PM has come to signify more than just a list of activities aimed at measuring and adapting employee performance.

The approach to **PM** has over the years shifted from dictating to discussion, creating understanding, and reaching agreement on the objective(s), based on performance indicators, between the leader and the employee (Abay 2002:7; Den Hartog, Boselie & Paauwe2004:557; Torrington & Hall 1987:291, 300). PM is not only about assessing the individual employee; it is an ongoing and mutual process, where the employee, with the assistance of the employer, strives to improve their individual performance and contribution to the organisation's wider objectives (Hellriegel, Jackson, Slocum, Staude, Amos, Klopper, Louw & Oosthuizen

2004:249). Armstrong (1997:232) correctly concludes that PM is based on management by agreement, rather than management by command. To this end, deliverables expected of employees must be aligned and defined, along with employees' responsibility. Failure to meet the desired expectations should entail accountability. Employees who cannot meet their targets will have the opportunity to develop their competencies through training and their personal effort.

Furthermore, assessment of performance is not the end of the process anymore. Performance evaluation is now regarded as a tool that helps to determine how employees contribute to the big picture of the organisation (Green 2005:3). In this context, performance assessment is therefore an aspect of performance management. The focus of performance management is on the skills and capabilities development of human capital, thus enhancing organisational capability and realising achievement of sustained competitive advantage (Armstrong 2009:59).

The working definition of PM in the Ethiopian Civil Service Training Manual (2005:56) is in line with current international perspectives on PM. It defines PM as "a strategic and integrated approach to deliver success to organisations by improving the performance of the people who work in them and by developing the capabilities of team and individual contributors".

In general, **performance management** (PM) aims to ensure

- *a bottom-line profit,*
- *doing jobs better than competitors,*
- *maximising organisational effectiveness,*
- *achieving organisational objectives, and*
- *assigning or deploying resources effectively (Torrington & Hall 1987:291).*

3.3 The concept of "performance management system"

Effective PM starts with thoughtful planning, which should permeate monitoring or supportive supervision and evaluation processes. To develop, integrate and manage all these processes requires performance management strategies. A PMS assists an institution in successfully implementing its performance management strategy (Varma et al 2008:3). To this end, a PMS involves the setting of corporate, departmental and team objectives, and the cascading down of these strategic objectives in a fair and equitable manner to a meaningful set of targets for every individual involved. Stone (2008:40) explains that a PMS reveals a strategic link with the evaluation of performers' knowledge, skills and ability. Ultimately, a PMS aims at improving performance at individual, team, departmental and institutional level (Hervie 2016:88).

PMSes have the following processes and functions: planning performance, developing measurement tools, communicating expectations, monitoring and quantifying performance, appraising performance, seeking feedback on performance, and communicating personnel decisions and developments based on results (Gergely 2012:4). PMSes aim at improving employees' understanding of service delivery, performance dialogue, and measuring performance against the strategic goals of the institution (Ochurub et al 2012:2).

The working definition of a PMS for this thesis is the process of managing the overall performance of an institution against initially-set strategic actions, goals and objectives, standards, and time limits, to ensure institutional effectiveness and to determine distribution of rewards among performers. The performance management cycle is discussed in the following section.

3.4 Performance management cycle

A performance management cycle helps a manager to design a structure for managing people's performance in the organisation. This cycle is based on the basic elements of the PM process. PMSes have the following elements: planning performance, monitoring performance, measuring performance, providing feedback, training and development, and rewarding performance (Armstrong 2001:153). Diagram 3.1 shows the cycle of performance management.

Diagram 3.1: Model diagram of the cycle of performance management

Source: Adapted from Schultz, Bagraim, Potgieter, Viedgeand Werner (2003:165)

Proper planning followed by implementation and monitoring, feedback on performance, capacity development, and reward systems, enhances the effectiveness of PMSes. It thus stands to be argued that proper application of the performance management cycle (presented in Diagram 3) to HEIs in Ethiopia would ensure institutional goal achievement.

3.4.1 Performance planning

In performance management, planning plays a leading role in identifying and prioritising tasks according to their urgency. Ying (2012:11) explains that in the PMS process, planning constitutes the primary stage of its cyclical steps. Planning is a continuous task that helps to encourage commitment and understanding, by linking individual work with the organisation's goals and objectives. Planning entails the action of designing various activities, which are to be performed within a given period and in a given sequence. Boyne and Gould-Williams (2003:116) assert that planning leads managers to clarify their organisational objectives, and it provides a framework for allocating resources in relation to the organisation's mission.

In order to establish common understanding of the measurement variables and expected deliverables, the supervisor and the employee must engage in consultative performance planning.

In this regard, Nel, Werner, Haasbroek, Poisat, Sono and Schultz (2008:167) state that in planning, specifying and clarifying the required responsibilities of a group or an individual performer, an action plan is essential to control and monitor the process. Satterfield (2003:15) asserts that the outcome of planning is to help meet the stated goals and to discharge the performers' responsibilities. Smith et al (1990:118) identify the relationship between planning and performance by stressing that "if you have a quality plan your organisation performs well". Although the researcher agrees with these authors on the importance of planning, he contends that a more balanced approach should be preferred, and that planning should not be seen as a guarantee of institutional success, but it should rather be regarded, as Hervie (2016:88) regards it, as the basis for performance appraisal and measurement. Performance management planning should be regarded as a prerequisite for institutional success.

Institutional objectives or strategic plans may not be effectively and fully implemented, due to a number of barriers, such as vision barriers, people barriers, resource barriers, and management barriers (Balanced Scorecard Collaborative 2002). The Balanced Scorecard Collaborative (2002) explains these barriers as follows:

- ***Vision barriers:*** *employees may not have the knowledge about their institution's vision and strategy. Failure to understand the vision and the strategy can affect PMS implementation;*
- ***People barriers:*** *linkage of individual and institutional objectives is important;*
- ***Resource barriers:*** *time, energy, and money are not allocated to those things that are critical to the organisation. For example, if resources are not linked with the institutional strategy, achievement of institutional objectives may not be cost-efficient, resulting in wasted resources; and*
- ***Management barriers:*** *the management must pay due attention to and focus on the strategic issues, rather than routine ones and short-term tactical decision-making. In order to plan, the following three questions should be considered: "Who to include in the planning process?", "What to plan?", and "How to plan?"*

3.4.1.1 Who should be included in the planning process?

A plan can be prepared by the manager, or by a unit that is designated to do that. What matters here is the degree of employee participation and involvement in the planning process (Weldeyohannes 1996:24). Ying (2012:11) confirms that employee involvement in the entire planning process has motivational value, because it promotes commitment, common understanding, and a sense of ownership. Effective planning requires a shared understanding between the leaders and the performers of the HEIs on the institutional goals. A shared understanding can only occur if employees are involved in the planning process. Common understanding of the institutional goals enhances teamwork and ensures that employees understand what they are expected to contribute towards institutional goal accomplishment (Heslin et al 2009:104; Torrington & Hall 1987:317).

Designing a policy framework is essential for an effective PMS. Erasmus, Swanepoel, Schenk, Van der Westhuizen and Wessels (2005:276) indicate that designing a policy framework should be a collaborative process involving employees, customers, partners, and other professionals. Collaboration does not only give directions on implementation, but also ensures increased accountability. Ivancevich, Konopaske and Matteson (2011:182) argue that participation by the concerned role players in the process creates room for improvement and keeps stakeholders informed about improvements.

3.4.1.2 What to plan?

The question of what to plan covers a set of activities or actions to be performed in the so-called SMART (systematic, measurable, achievable, realistic, and time-bound) way, to ensure

that the objectives of the institution are met. Planning includes identifying the key stakeholders, customers and employees of the organisation that should be involved in the planning (Ying 2012:11). Other steps or activities that should be planned for are

- designing a policy framework,
- developing a model or system,
- signing performance agreements on PM,
- undertaking performance evaluation, and
- managing the outcome of the performance evaluation (Erasmus et al 2005:272).

Policy development is an essential element and the first step of planning the management of performance at HEIs. In this context, institutional policy frameworks should focus on assessment of all the institutional operations. Policy should address aspects such as what is to be measured, who are responsible for measuring it, the period of evaluation, how results will be aligned with individual goals and achievement, and rewards. Spangenberg (1994:30) asserts that a plan emphasises designing and defining the organisation's mission, vision, strategy and goals.

The next step is developing the system itself. Erasmus et al (2005:275) explain that developing a performance measurement system means issuing evaluation formats or performance indicators. To ensure satisfactory performance practice, the system should be clear and easy to understand for all employees and management of the institution. Especially the link between individual effort and institutional strategic objectives must be well-defined (Banfield & Kay 2008:310).

The third step is performance agreement that refers to individual goal setting. As such, performance agreement supports goal-setting theory. For PM to be effective, it must link individual goals with institutional strategic objectives or goals. The critical issue in performance agreement is individuals' contributions to the achievement of organisational targets. It is important to note that the process of signing a performance agreement is not in itself the end of the process; performance agreements need to be reviewed and examined regularly. The following section presents the "how" part of the plan.

3.4.1.3 How to plan?

The methods and ways of preparing the plan are discussed in this section. An institution's success emanates from quality plan preparation and setting of objectives and goals. Cognisant of this idea, Spangenberg (1994:31) emphasises that the main goal and target of an organisation

should be linked to individual/team objectives towards the needs of the customers. The planning department or a planner collects data about past performance and future needs, which helps it in prioritising activities. Williams (1964:72) stresses that planners need to attach due importance to prioritising activities, which will help to realise implementation of the plan, as it focuses on key functions to increase productivity and effectiveness. In addition, targets must be set for each performance area, which will drive employees towards achievement of the overall institutional goals (Ying 2012:11).

3.4.2 Performance monitoring

The term "performance monitoring" is defined as "[w]orkplace practices that focus on the collection of employee performance data in order to track their behaviour and performance" (Stanton 2015:3). Torrington and Hall (1987:327) suggest that performance monitoring is mainly concerned with overall assessment and overview of individuals' activities and management of their performance, and that it does not rely on appraisal alone. Thus, performance monitoring should establish a more holistic view of PM to ensure institutional effectiveness. Performance monitoring is a process where individual performance is integrated with the entire system of the institution to measure its achievement and success. Stanton (2015:10) explains that performance monitoring enhances satisfaction through the implementation of fair work standards, and a monitoring and feedback system, and it provides mechanisms to enhance employee control over monitored tasks. Monitoring is simply collecting different information about the performance results of individuals, teams, and the institution, in order to review their work effectiveness and productivity. In addition, it specifies the required contributions of each employee, department or team to the success of the institution's plan. In other words, performance monitoring is testing an individual's effort against the priority objectives of the team, the department, or the institution.

3.4.3 Performance measurement

Performance measurement is simply measuring employees' performance and results. Performance management is a comprehensive overall appraisal of the institution's performance, through ongoing and continuous assessment. In addition, PM focuses on the activities that link organisational strategic objectives with individual jobs. Measuring performance is an effort geared towards knowing the level of institutional outcomes, and it investigates whether a particular project, programme or target has been effective or has improved or has met its objectives (Bless, Higson-Smith & Kagee2006:182). One can

understand that based on this conceptual definition of performance measurement, traditional performance measurement did not include the interests of stakeholders and the university community in measuring performance of HEIs in Ethiopia. Its emphasis was on internal evaluation of operations (i.e. the teaching-learning process), and external factors (i.e. the university community and stakeholders) were neglected. Traditional measurement did not reflect the overall operation and activities of HEIs.

As Balabonienė and Večerskienė (2014:605) explain, the importance of performance measurement is that it is essential to realise efficiency and effectiveness of HEIs in general and of each institution in particular. Cokins (2004:47) concurs that there are many factors that influence institutional performance negatively, which can be eliminated if employees better understand their institutional strategy and the key initiatives chosen to achieve it, and if supervisors select the correct performance measurement approach. To avoid evaluating tasks based on a single variable, as was done in the traditional measurement approach, performance measurement is now based on agreement with employees about which tasks should be performed, how the tasks should be performed, and what the stated targets are for a specific period. Buford and Lindner (2002:247) argue that a PMS is subject to various variables, which influence how effectively the system actually measures individual, group and department contributions in work settings. Performance measurement, using different indicators, can measure the overall performance of an organisation.

Examining past experiences and performance of an institution is necessary to determine the organisation's results. Quality results are a major aspect of an organisation's success. Boyne and Gould-Williams (2003:120) in this regard assert that an organisation's performance is basically measured by focusing on the quality and the quantity of output and the effectiveness of service provision.

The literature cited above reveals that talking about measurement means talking about weighing up individual, team and institutional achievements according to the given and agreed-upon standards. Continuous and regular assessment of performers' outcomes enables supervisors to identify whether they have met the institutional targets or not. Erasmus et al (2005:285) emphasise the importance of the performance agreement in relation to performance measurement. Banfield and Kay (2008:284) state that each "key result area" as stated in the performance agreement must be rated by the manager within the given range of standards. The Cranfield School of Management (2007) explains that performance measurement includes development of strategies and objectives, and the taking of action to improve performance

based on the insight provided by the performance measurement, and this is why feedback is so important.

3.4.4 Performance feedback

O'Reilly (2009:110) asserts that feedback is the provision of certain information about employees' achievement and/or failure. Feedback is an important component for PMS, since the feedback provided by the supervisor enables employees to learn from their mistakes and develop their strengths for further achievement. In a PMS, feedback transmits information on performance results from the supervisor to the performer, in order to generate corrective action or to stimulate and motivate new action. The aim is for feedback to promote understanding of how well employees have been doing, and how effective their behaviour has been, so that appropriate action can be taken. This can be corrective action, where feedback has revealed that something has gone wrong, or, more positively, action taken to make the best use of the opportunities that feedback has revealed (Armstrong 2000:125–126). This means, as Lunenburg (2011a:3) latter elaborated, feedback helps employees to know their goal attainment, that is whether they have performed well, or they need further improvement on their task. Especially positive feedback plays a developmental role in building desirable behaviours that motivate and enhance employees' effort (Xingshan, Ismael, Yin & Dan 2015:225).

Armstrong and Ward (2005:15) assert that a leader with the ability to provide to-the-point and fair feedback is most important to improve performance and correct underperformance. They add that leaders should not consider performance management as an additional task, but as part of their daily responsibilities.

Feedback in performance management should be constructive, in the sense that its aim is to point the way to further development and improvement, not simply to tell people where they have gone wrong (which is categorised as negative feedback). Rajasekar and Khan (2013:45) assert that providing constructive feedback for all performers during and after a performance measurement is vital for organisations to take full advantage of such activities. As mentioned above, feedback must nevertheless report on failures too. However, failures should not be dwelt on as opportunities for apportioning blame, but rather as opportunities for learning, so that the failures are less likely to be repeated in future (Armstrong 2000:126).

Heslin et al (2009:106) suggest that to reduce defensive behaviour, feedback should focus on a specific performance of an individual or team, rather than deal with characteristics of the

individual or team. In addition, managers should not compare employees, and they should avoid talking about the performance of other employees when giving feedback to an employee. Feedback should be based on facts, not opinions, and it should be presented in such a way that it enables individuals to recognise and accept its factual nature (Armstrong 2000:126).

Armstrong (2000:127) provides the following guidelines for performance evaluation feedback:

- *Build feedback into the job. This will ensure timely and consistent feedback.*
- *Provide feedback on actual events. Feedback must be based on the actual results or observed behaviour, and must be supported by evidence.*
- *Do not judge. Feedback should be presented as a description of what has happened, but should not be accompanied by a judgement.*
- *Select key issues, and stick to them.*
- *Focus on aspects of performance that the individual can improve.*
- *Provide positive feedback. Feedback should be on the things that the employee did well, in addition to areas for improvement.*

London, Mone and Scott (2004:326) note that feedback can play a key role, along with goal setting, in promoting self-regulating and inspiring towards better endeavours. In general, feedback supports performance goals that are important to an organisation when it discovers errors, maintains goal direction, influences new goals, and provides information on performance capabilities and the effort or energy needed to achieve the goals. Hence, good results enhance an institution's growth and its provision of quality products and/or services.

3.4.5 Staff development

Performance results, however, are not always good, and hence, implementing a results-based performance system allows a way to deal with unsatisfactory performance results (Decenzo & Robbins 2007:261; Ndungu 2017:45). Unsatisfactory performance must be supported by capacity building for the employees who have failed to meet the expected results, to help to bring them on board. Banfield and Kay (2008:288) assert that unsatisfactory performance can be managed through training, retraining, coaching, mentoring, and creating an enabling working environment. Termination of employment may thus only follow unsuccessful attempts to assist through training, coaching, or mentoring.

Effective human resource development is a crucial component for institutional and national competitiveness in the global market (Ndungu 2017:44). Thus, staff development is a programme designed to improve employees' competency for future work activities and assignments. Haile Selassie (2004:16) defines staff development as "a whole range of planned activities by which education personnel in active service have opportunities to further their

education [and] develop their understanding of educational principles and techniques". Hence, staff development assists to improve employees' performance in their current jobs, by building up the required knowledge and skills (Dessler 2012:11). Developing staff through planned and designed training and development programmes is essential to establish knowledge, create entrepreneurial skills and enhance the innovative capabilities of performers. Development is not only for employees, but also for everyone in the university community, i.e. from top management to the front-line managers of the institution, because it enhances their strategy development, PM, and decision-making skills.

As argued by Rajasekar and Khan (2013:38), the training and development strategy and policy must be seen primarily as a means of assessing and addressing skill and knowledge deficiencies in an organisation, through capacitating, motivating and inspiring employees. The training and development policy should be put in writing, in order to provide an effective mechanism for structuring and governing the training and development function of an institution (Clardy 2013:5–15).

The training and development policy can help to pinpoint the key concerns of an institution, by enhancing its endeavours and empowering all performers in the implementation of policy and strategy issues.

3.4.6 Performance rewards

In sections 2.1 and 2.5.4, the researcher already alluded to the importance of rewards, and that expectancy theory supports the argument that rewarding good performance is essential and plays a significant role in motivating employees. Some good practices are evident from the literature review: HEIs should develop their own rewards manuals; rewards should be informed and supported by performance results; rewards are essential to create expectancy of success and to motivate employees towards excellence; identifying the best performer at individual, team, departmental or college level promotes transparency and builds trust (Clardy 2013:11; Mntambo 2011:75).

As indicated above, rewarding performance is the sixth step in the PM cycle. Recognising individuals and teams for the effort they exert towards achievement of institutional goals is one aspect of rewarding good performance. According to Amoatemaa and Kyeremeh (2016:46), through formal and informal acknowledgement of an employee's behaviour, effort and/or performance, their morale and energy are directed towards accomplishment of institutional goals and objectives. In this regard, Erasmus et al (2005:289) note that good performance

should be encouraged with both financial and non-financial rewards, such as salary increment, offering a performance bonus, and recognition. The positive experience of being rewarded for successes and contributions encourages employees to improve on those areas where they have failed to perform or where they have performed unsatisfactorily (Hervie 2016:89). Rewards improve employees' productivity and retention. As argued in expectancy theory, rewarding good performance also assists the institution to attract qualified people, retain current skilled personnel, and motivate the existing workforce to improve their performance and productivity (Ivancevich et al 2011:18; Mntambo 2011:719). In the following section, the researcher discusses some measurement instruments that are essential for implementation of PMSes in HEIs in Ethiopia.

3.5 Performance measurement instruments

To counter the limitations of traditional PMSes, various new systems have been developed which have resulted in contemporary management for performance measurement instruments. These are total quality management (TQM), management by objectives (MBO), and the BSC. To enhance effectiveness, business organisations tend to use these new measurement instruments, because these instruments include various targets in their performance indicators, in order to measure the activities listed under each target. These measurement instruments are quite different from the traditional behaviour-based measurement system, which fails to measure the overall results of an institution and the contribution of each performer.

Over the past few decades, researchers in the field of PM have been interested in probing the need for change, so that PMSes can be contemporary and effective. One of these researchers is Oliver (1991:158), who provides a suitable conceptual basis for exploring the diversity of strategic responses that an organisation may adopt in response to institutional pressure to change. For organisations to ensure that they are competitive in the global market, they need to use effective measurement techniques to measure their performance appropriately. Performance measurement includes the process of systematic setting of business targets and the evaluation and feedback system of an organisation (Roos 2009:19).

The PMS agreement between the leader and the employees is very important to create a favourable working environment. Applying various strategic responses may result in changing employees' degree of resistance, from passive acquiescence to proactive performance.

Adopting and implementing a PMS require change in every aspect of an institution's performance, such as change in structure, process, and management style. Business process re-

engineering (BPR) is one of several tools that focus on changing the process of performance measurement and re-engineering it, with the help of technology. Hence, Shall (2000:12) adds that performance measurement focuses on the efficiency and effectiveness of resources used in relation to the institution's productivity. BPR is discussed in detail in the section below.

3.5.1 Business process re-engineering (BPR)

Hammer and Champy (1993:32) define **BPR** as "the fundamental rethinking and radical redesigning of business processes to achieve dramatic improvement in critical measures of performance such as cost, quality service and speed". It is defined by Laudon and Laudon (1998:407) as "analysing, simplifying, and redesigning the business process to radically improve the cost and quality of a product or service".

The above exposition reveals that routine and daily activity-oriented performance should change to performance that is process-oriented, which is focused on end-to-end performance of a job, in order to improve service quality and customer satisfaction, by redesigning the entire workflow of the institution. BPR can also help to eliminate bottlenecks and repetition of activities, which can improve the operation of the whole system and enhance the efficiency and effectiveness of organisational performance. For example, the Ethiopian civil service PMS has been re-engineered and redesigned to resolve the traditional and more bureaucratic system of an institution's performance. Kassahun (2010:26) notes that BPR has been adopted as the main reform tool to be applied across Ethiopia. Establishing an integrated PMS is one of the requirements of BPR for which the BSC has been found to be the right fit for the kind of performance measurement change that is being practised in the country. BPR has been implemented in all public civil service institutions in Ethiopia, and it is aimed at expediting service provision, reducing costs, and paving the way for other management reforms.

3.5.2 Total quality management (TQM)

To respond to ever-changing demands of customers and stakeholders in the competitive labour market environment, and to enhance quality and productivity, institutions must establish and adopt efficient and effective measurement tools. One of the many performance-measurement tools is TQM (Zulu 2006). TQM enhances service quality and improves performance by offering demand-driven services.

Zulu (2006:18) notes that TQM is "the culture of profit-making organisations that are committed to customer satisfaction through continuous service quality improvement". He adds that many more entrepreneurially-oriented models, such as "reinventing", "re-engineering",

and the "virtual organisation", have been developed on the basis of TQM-based concepts. According to Morgan and Murgatroyd (1994:38), TQM, through group and interactive processes, empowers employees and managers together to constantly analyse how to redesign work processes at the input and transformation stages of value chains. As long as work processes at the input and transformation stages can be standardised, the quality of output, product, or service will be consistent. Generally, TQM is a management philosophy, a paradigm, a continuous-improvement approach to doing business.

3.5.3 Management by objectives

According to Armstrong (2009:14), management by objectives can determine individual strength and responsibility, and at the same time give coherent direction to institutional vision and effort, establish teamwork, and harmonise the goals of individual employees with the institutional goal. Mntambo (2011:31) confirms this idea, explaining that the goal-setting programme should first be internalised by the leadership of an institution before it is cascaded down to departmental and unit goals. This is because according to goal-setting theory, involving employees in planning is essential to create a clear understanding of the institution's objectives and targets.

Various authors define "management by objectives" as a method of performance management used to link and align an organisation's efforts with those of individuals, to meet the organisation's goals, which is a central requirement for an effective PMS. Grobler, Warnich, Carrel, Elbert and Hatfield (2006:33) explain that management by objectives provides an opportunity to an employee to see their manager at any time in order to discuss the stated business objectives, and the way to achieve these. A PMS paves the way for manager-employee discussion towards attainment of organisational goals. The above discussion reveals that management by objectives can create a link between a manager and an employee at the time of performance assessment, so that the weaknesses and the strengths of individuals can be explicitly stated. A PMS creates consensus on business objectives by involving employees, before the plan is cascaded down to units and individuals.

3.5.4 Balanced scorecard (BSC)

In the 1990s, Robert Kaplan and Davis Norton carried out research with 12 selected organisations that were at the cutting edge of performance measurement. They concluded that traditional performance measures and financial bias, which focus on issues of control, have ignored the key issue of linking operational performance to strategic objectives, and

communicating these objectives and performance results to all levels of the organisation (Kaplan & Norton 1996:150). Thus, Kaplan and Norton developed the BSC as a management approach to transform strategic planning from an academic exercise into the nerve centre of the enterprise, and to move away from equating performance management with performance measurement (Barnes 2007:6). The BSC focuses on the value of a performance management system based on considerations such as who the customers are, the internal business processes, the need for employee learning and development, and the current financial position (Zhang & Li 2009:206). It is built around five strategic themes, which serve as pillars of excellence for HEIs, namely academic excellence, diversity of student community, outreach and engagement, resource management, and networking and partnership (Kassahun 2010:22).

Boninelli and Meyer (2011:105) point out that a PMS with an effective measurement instrument, such as the BSC, increases the possibility of institutional success. The BSC enables institutions to clarify their vision and their strategy and to translate these into action. When fully deployed, the BSC transforms strategic planning from an academic exercise into the nerve centre of an enterprise, because it focuses on translating an institution's strategy into measurable objectives. More specifically, the BSC has brought performance measurement initiatives, to measure not only the financial aspect, but also the entire business process, learning and growth, and customers in a continuous and consistent manner. The BSCalso provides the following benefits (Kaplan & Norton 1996:156):

- *It helps to clarify and bring about consensus about strategy;*
- *It improves communication of the organisation's vision and strategy;*
- *It links strategic objectives to long-term targets and the annual budget;*
- *It increases focus on organisational strategy and results;*
- *It improves organisational performance by measuring what matters;*
- *It aligns organisational strategy with the work people do on a day-to-day basis;*
- *It focuses on the drivers of future performance;*
- *It encourages organisational performance and periodic and systematic strategic review;*
- *It helps to prioritise projects/initiatives; and*
- *It helps organisations to obtain feedback to learn about and improve strategy.*

Like other profit-making organisations, HEIs also use the BSC to measure their strategic objective(s). In recent years, the BSC as a tool for evaluating achievement of strategic objectives of HEIs has proven effective all over the world. For instance, Barnes (2007) discusses how the BSC has been implemented at the University of KwaZulu-Natal to achieve its objectives. O'Neil, Bensimon, Diamond and Moore (1999:36), on their part, report that the School of Education at the University of Southern California has established a BSC measurement tool as a model. The BSC consists of (1) the academic management perspective

("How do we look at our university leadership?"), (2) the internal business perspective ("What do we excel at?"), (3) the innovation and learning perspective ("Can we continue to improve and create value?"), and (4) the stakeholder perspective ("How do students and employees see us?"). Chen, Yang, Shiau and Wang (2006:489) indicate the use of the BSC as an evaluation system for the performance of Chin-Min Institute of Technology in China. Umashankar and Dutta (2007:54) describe the BSC model as a measurement system that has been implemented in Indian HEIs. Yek, Seow and Penney (2007:46) state that the Singapore Institute of Technology won the Singapore Prestigious Quality Award after it implemented the BSC measurement tool. A decade later, the government of the Federal Democratic Republic of Ethiopia decided to introduce the BSC measurement tool in most public institutions in Ethiopia. As mentioned earlier, the Ethiopian Ministry of Capacity Building has also prescribed the use of the BSC for managing the performance of civil service institutions in Ethiopia (Abay 2011:12).

Implementing the BSC requires that managers view the institution from various perspectives, namely the customer perspective, the business process perspective, the learning and growth perspective, and the financial perspective (Balanced Scorecard Institute 2014). The four perspectives of the BSC are discussed in detail in the following subsections.

a. Students and the university community (customers)

To cope with the diverse needs of internal customers and the rapidly changing environment, the perspectives of students and the university community should be addressed in the BSC. Niven (2002:15) explains that the two basic questions "Who are our target customers?" and "What value proposition do we use to serve them?" are important variables to measure the customer perspective of the BSC. He adds that most organisations have target customer audiences, yet their actions reveal an "all things to all customers" strategy. Here, the researcher argues in favour of the stated idea that identification of customers (i.e. students and the university community) is vital to ensure that the performance of the whole institution is measured. Given that any institution has its own target customers who need better services and products from it, failure of an institution to identify its target customers would affect achievement of its goals and its success (Solomons 2006:22).

b. Internal business

HEIs' internal business will thus focus on the processes that contribute to the quality of education and the production of skilled professionals. Such internal processes include the main

processes that help the universities to improve and continue adding value to their students, their community, and their stakeholders, and which ultimately help to produce knowledgeable professionals and ensure institutional effectiveness and excellence (Niven 2002:16). The reform agenda for HEIs is facilitating the legal grounds to measure and evaluate the performance of employees and the institution as a whole, by ensuring accountability. It should also be noted that internal business processes (i.e. the entire activities and functions) encompass a wide scope of management activities to manage people and institutions.

c. Learning and development

The learning and development perspective focuses on the development of university employees through continuous and needs-based professional training and development. According to Niven (2002:16), the learning and development perspective encompasses employee skills, employee satisfaction, availability of information, and alignment of tasks. The learning and development perspective also assists to achieve the other three perspectives, namely internal business, customers, and efficiency. Since customers' demands are dynamic and constantly changing, institutions are forced to become more innovative, accommodating, and dynamic in order to ensure institutional growth (Solomons 2006:23). From the above discussion, one can conclude that needs-based, on-the-job and off-the-job training and development are essential for HEIs. Training and development could help university employees to tap their potential in discharging their responsibilities and attaining the stated institutional goals and strategies. Such development is also important to expedite realisation of the country's developmental goals.

d. Efficiency (cost)

Niven (2002:17) explains that the efficiency (cost) perspective focuses on improving customer satisfaction, quality, and on-time delivery, but that it fails to consider their effect on the organisation's financial returns. This perspective empowers institutions to select and identify cost-efficient initiatives to properly utilise their budgets, reduce unnecessary expenses, and prevent rent-seeking attitudes. Since public universities manage huge annual budgets, they should design a cost-efficient strategy to meet their goals.

Diagram 3.2: A model for analysing the effectiveness of PMSes that use the balanced scorecard

Source: Developed from the balanced scorecard diagram of Niven (2002:14)

In measuring the performance of Ethiopian public HEIs, the four constituent elements on the PMS diagram (see Diagram 3.2) should fit together.

De Waal and Coevert (2009:407) assert that the BSC helps to show the full picture of performance achievement for all stakeholders. O'Neil et al (1999:37) highlight the three essential outcomes from BSC implementation in HEIs. These are the following:

- *an easy approach to accomplish the university's strategic goals; a systematic and consistent way for the Dean's office to evaluate performance reports from various schools and departments;*
- *the scorecard establishes common measures across academic units that have shared characteristics; and*
- *the simplicity of the scorecard makes it easier for academic units to show how allocations are linked to the metrics of excellence.*

One can infer from the above literature that to measure and evaluate the performance of HEIs at all levels and for all performers, the BSC enables HEIs to be seen in multidimensional perspectives. It also enhances and improves institutional effectiveness and success. Kassahun (2010:34) in this regard states that

> *public HEIs across the country are facing the challenges of restructuring and reforming themselves so that they provide quality education and bring up graduates who become fruitful members of their societies. They are also expected to engage themselves in research and consultancy services so that they tackle the pressing multi-faceted problems of the country and transform Ethiopia.*

The BSC is a contemporary multidimensional measurement instrument. Performance appraisal is discussed in the section below.

3.5.5 Performance appraisal

Performance appraisal should be distinguished from PM, which is a much wider, more natural process of management that aims to clarify mutual expectations and emphasise the support role of managers, who are expected to act as coaches (Armstrong 2000:11). Performance appraisal is a formal assessment and rating of individuals by their managers, usually during annual review meetings. Schultz et al (2003:73) define the term "performance appraisal" as discreet and usual activity of personnel management in an organisation in the pattern of semi-annual or annual evaluation of employees. Winston and Creamer (1997:35) also describe performance appraisal as one task of an organisational system that comprises a deliberate process for measuring employees' achievement. Performance appraisal thus follows on the measuring of performance rather than the measuring process itself (Roberts & Pregitzer 2007:15). The researcher contends that managers and employees at Ethiopian universities need to have a shared understanding of terminology such as "performance review", "performance evaluation", "performance assessment", and "performance appraisal", because how the process is defined may impact on employees' buy-in, on how the two parties approach the process, and on what results they expect.

According to Lazer and Wikstrom (1977:76), a good performance appraisal scheme must be job-related, reliable, and valid for the purposes for which it is being used, standardised in its procedures, practical in its administration, and suited to the organisation's culture. Gray (2002) contends that performance appraisal is a means of determining rewards and/or the need for further development.

Performance appraisal has been discredited, because too often it has been operated as a top-down and largely bureaucratic system, which has been controlled by the personnel department, rather than by line managers. It is often backward-looking, concentrating on what has gone wrong, rather than looking forward to future development needs. Performance appraisal schemes have existed in isolation. There has been little or no link between them and the needs of the business. Line managers have frequently rejected performance appraisal schemes as

being time-consuming and irrelevant (Armstrong 2000:11). PM, by contrast, mainly focuses on reviewing employees' experiences and drawing lessons from them to improve weaknesses and maintain strengths during the evaluation, by letting employees know the feedback on their performance.

3.6 Conclusion to the chapter

The PM cycle, which shows the overall management process of employees' performance, is discussed in this chapter. The chapter also contains brief explanations of various performance measurement instruments, as well as perspectives on the BSC. Conceptual discussions of PM and the PMS are also part of this chapter. The research methodology of this study is discussed in the following chapter.

CHAPTER 4
RESEARCH METHODOLOGY

4.1 Introduction

In this chapter, the researcher expands on the description of the research methodology given in chapter 1, by giving an overview of the actual fieldwork, i.e. how data was gathered from the participants and respondents at selected public universities in Ethiopia. The researcher gives a brief description of the application of the research methodology employed in the study, the paradigm, the approach, the design, the settings, the population, the sampling techniques, and the data-collection and -analysis procedure used in the research. The chapter also contains a discussion of ethical considerations.

4.2 Research paradigm

Punch and Oancea (2014:380) define "research paradigms" as "sets of assumptions about the world, and about what constitute proper topics and techniques for inquiring into that world". Gray (2014:21) refers to a "research paradigm" as the theoretical perspective that a researcher adopts "that is congruent with the researcher's epistemology and demonstrates the kinds of research methodologies that emerge from them". From these definitions, it is evident that Creswell's (2007:568) contention that there is a strong association between the research design used, the approach adopted, and the underlying paradigmatic position is correct.

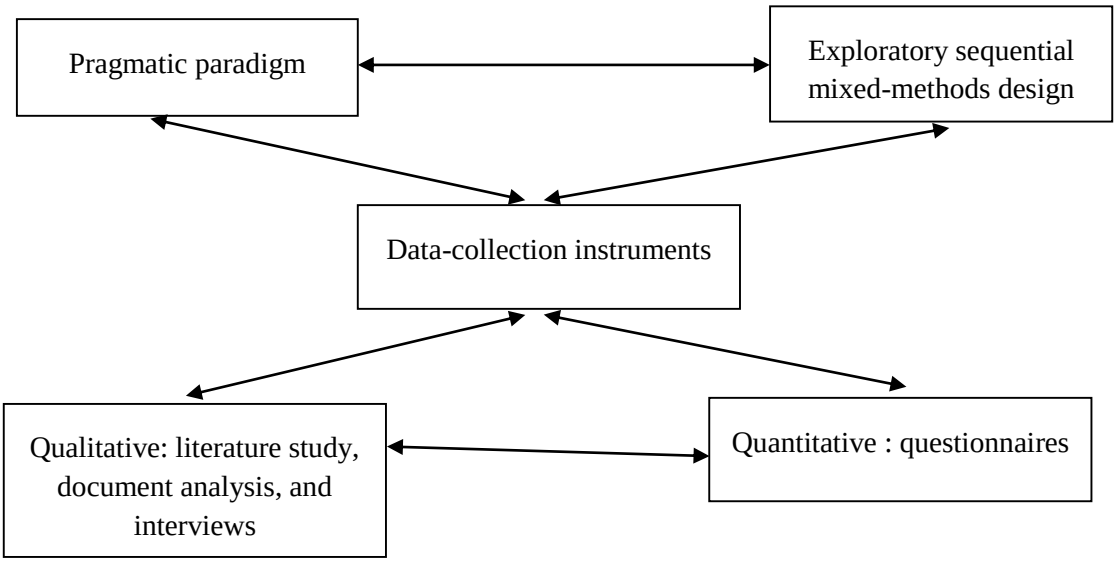
Bryman (2012:35–36) supports this assertion by explaining that a quantitative approach implies the holding of positivistic beliefs, while a qualitative approach implies the holding of beliefs associated with a constructivist paradigm. Creswell (2007:587) explains that the pragmatic paradigm is a set of beliefs that is based on a rejection of the forced choice between the post-positivist paradigm and the constructivist paradigm, which has been introduced to respond to the traditional preference for constructivist approaches. The assumptions underlying pragmatism are the following (Johnson et al 2007:125; Johnson & Gray 2010:88):

- *dichotomous either-or thinking must be rejected;*
- *knowledge comes from person-environment-interaction;*
- *knowledge is both constructed and flows from empirical discovery;*
- *the ontological position is that reality is complex and multiple;*
- *the claim of an unvarying truth must be rejected in favour of the epistemological position that there are multiple routes to knowledge; metaphysical concepts such as "truth" must thus be avoided; and*
- *the research question is more important than the method or the research paradigm.*

To this end, in this study, rather than a mono-method approach being chosen, a pluralistic approach was chosen, which is used in a mixed-methods research design. Florczak (2014:281) explains pragmatism as a research philosophy that allows researchers to turn their attention away from a priori reason, fixed principles, and absolutes, and to use facts to deal with the existing problem. Feilzer (2010:14) and Punch and Oancea (2014:4) assert that pragmatism sheds light on how research approaches can be successfully mixed. This paradigm therefore allows the researcher to make an assessment in different ways about the practicality and the challenges of implementing PMSes in public HEIs in Ethiopia.

The pragmatic paradigm was used in order to satisfy the study's objectives in terms of breadth and depth, because it allows for the use of different approaches and methods, which helps to enhance the quality of the data, and thus also the study. Figure 4.1 shows the relationship of the paradigm to the research method used in the study.

Figure 4.1: Linking the pragmatic paradigm to the research methodology for this study



Source: Adapted from Creswell (2007:7)

4.3 Research approach

A research question may call for the use of either one of the two methodological approaches, and even simultaneous use of both approaches. Tillman, Clemence and Stevens (2011:1025) argue that mixed-methods research has emerged as a viable third community of research, pursuing a pragmatic approach (or paradigm, in terms of the terminology used in this study) to research endeavours, through integrating qualitative and quantitative procedures (or approaches, in terms of the terminology used in this study) in a single study. Using both quantitative and qualitative approaches increases the power of the research, it enhances the

credibility, scope, depth, processes, interactions of attitudes and outcomes of the research, and it allows for precise measurement (Bryman 2012:35; Greene 2005:208; Lodico, Spaulding & Voegtle 2006:17; Tashakkori & Teddlie 2003:711).

This means that using a mixed-methods approach helps to review things in different ways in a single study. It allows the researcher to compensate for the weaknesses of one method through the strengths of another method (Johnson 2008:65). Furthermore, in this approach, theories (cf. section 2.1) that cannot be adequately addressed by either a quantitative method or a qualitative method are exhaustively covered by merging both methods to effectively address the given research questions.

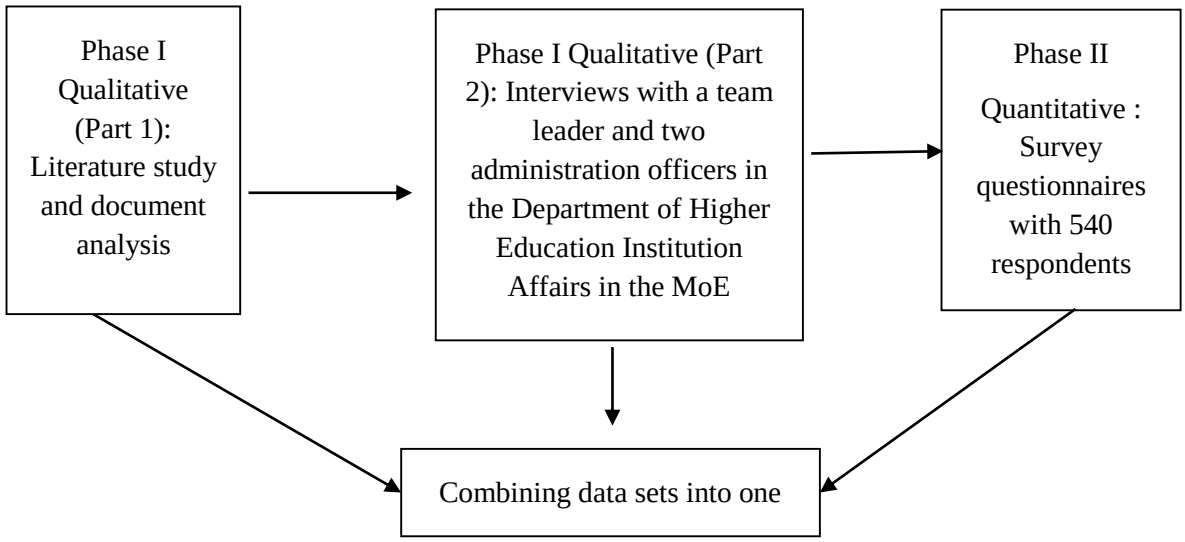
In the case of this study, assessment of the implementation practices and challenges of PMSes in six selected public universities in Ethiopia via qualitative and quantitative methods, is more advantageous for in-depth assessment. In-depth assessment contributes towards development of customised constituent elements of a BSC-based model for HEIs.

Zohrabi (2013:254) explains that a researcher can obtain data through a qualitative method to enhance the dependability and the trustworthiness of the quantitative data. This way, using the mixed-methods approach helps the researcher to ensure the validity, the reliability, and the unambiguity of the research.

4.4 Research design

The research design used in the study was an exploratory sequential mixed-methods design.

Figure 4.2: Sequential exploratory design



Source: Adapted from Cameron (2009:145)

The exploratory sequential mixed-methods design has multiple phases (Angell &Townsend 2011: slide 25), where one data set builds on another (Creswell et al 2011:8). The researcher followed the following sequence:

- During the first part of the qualitative phase, a literature study was conducted on the origin and the nature of current laws and policies regulating PMSes at public universities in Ethiopia. It was necessary to conduct this exploratory qualitative phase of the research first, because the researcher had to acquire knowledge of laws and policies before he could conduct intelligible document analysis, where he analysed relevant documents, such as the universities' mission and vision statements, as well as policies regulating PMSes at public universities.
- During the second part of the qualitative phase, interviews were conducted with a team leader and two administration officers in the Department of Higher Education Institution Affairs in the MoE. This was done as a final phase of the qualitative method, to explore the inner feelings and knowledge of the informants, in order to further clarify the data collected during the following phase (Angell & Townsend 2011: slide 19).
- During the quantitative phase, the researcher then conducted the quantitative survey using questionnaires. The questionnaires were completed by college deans, department heads, lecturers, administration heads, and staff members of the sample universities (see section 4.7). The following section deals with the research sites and the participants of the study.

4.5 Research sites, population, and sampling

In this section, the researcher describes the research sites and the population, and he explains the sampling process.

4.5.1 Research sites

This research focused on PMSes at selected public universities in Ethiopia. The data was collected from selected sample colleges throughout the universities, which were drawn through the stratified sampling technique. Twelve colleges were selected that consist of different departments and that are suitable for identifying the problems in PMSes at the parent universities.

4.5.2 Research population

As referred to in chapter 1, research that focuses on the practices and the challenges of implementing PMSes at public universities requires representation of both the administration responsible for managing the implementation process and employees whose performance is managed by the PMSes. In this research, the respondents consisted of college deans, department heads, lecturers, administration heads, and staff members of the sample universities, and the interview participants are a team leader and two administration officers in the Department of Higher Education Institution Affairs in the MoE. As the study intended to assess the practices and identify the challenges faced with regard to PMSes at selected public universities, the above sample respondents and participants (i.e. college deans, department heads, and administration heads, representing the management, and lecturers and staff members, representing the employees) were deemed to be knowledgeable informants on the implementation problems of PMSes. A team leader and two administration officers in the Department of Higher Education Institution Affairs in the MoE were asked to provide information about the laws and policies regulating PMSes at public universities.

4.6 Sampling

This section of the study highlights the sampling techniques used and the size of the samples.

4.6.1 Sampling techniques

Since the researcher did not use the entire population of the universities, there was a need to employ different sampling techniques. In order to clarify terminology, some definitions are presented below. In order to be inclusive and representative of all the categories of the universities, this study employed the stratified sampling technique. Thereafter, the simple random sampling technique was employed to select representative colleges and populations. First, the colleges were identified and listed from the sample universities. Next, two colleges (i.e. the College of Education and Social Studies, and the College of Business and Economics) were selected by means of a lottery system to draw these colleges from the different colleges in the universities. After the researcher selected the colleges, the sub-populations were identified from each college. Clark-Carter (2004:156) explains that "[s]tratified sampling guarantees the sample to contain sufficient representatives from each of the strata and to avoid the danger of over- or under-representation of some members of the population". In this study, a lottery system was used to identify the first number from the target sub-population, which turned out to be every fifth number. Every fifth number was used for possible representatives

of the employees from each college. Once the college was identified through the lottery system from the total number of colleges in the university, the management representative respondents were selected, including the two college deans. Every fifth interval on the list, with the names of department heads and administration heads, was selected for a sample.

Regarding the qualitative phase of the research, the purposive sampling technique was employed to select key informants that could contribute to the matter under study. According to Miles, Huberman and Saldana (2014:30), "purposive sampling determines the interviewees and the settings, events, and social processes used in a study". The researcher met the participants through an acquaintance who is also known to the prospective participants, to convince and draw out willing participants. Thus, sampling of interviewees followed the purposive sampling technique. Punch and Oancea (2014:219) emphasise that the overall principle of qualitative sampling is that it must "line up with the purposes and the research questions of the study". To ensure that the chosen participants were fit for purpose, the researcher used criterion sampling to identify participants. Criterion sampling is used when the researcher is looking for participants that meet some predetermined criterion, to ensure that informants have knowledge and experience in relation to the phenomenon under study (Gray 2014:221). The criterion for the selection of participants was that they must have knowledge and information on PMS implementation in the public universities, and they must have experience in the Department of Reform at the MoE. Accordingly, the researcher selected three participants (one team leader, who is the management representative and two administration officers) from the MoE for participation in the semi-structured one-on-one interviews.

The department has two management members, namely the manager and the team leader. The team leader was selected because, besides it being easier to gain access to him, he has also been employed longer in the department and has more experience and knowledge of PMSes than the manager has. The two employee participants (MoE administration officer 1, and MoE administration officer 2) were selected from the 13 staff members of the department. They were selected on the basis of their knowledge of PM, their access to information about PM, and their experience in PM. They could thus provide the richness of information required in this study. In the following section, the researcher discusses the sample size of the study.

4.6.2 Sample size

Muijs (2004:37) defines a research population, in the case of quantitative research, as a group of individuals to whom the results of the research can be generalised. Hopkin (2004:181)

classifies universities based on their nature in terms of context and level of development (i.e. mature, evolving or embryonic universities). Adopting this classification, the sample universities were grouped into three categories according to the establishment, geographical location, and PMS implementation of the university:

- The mature sample: universities that are large and that were established before 2005;
- The evolving sample: universities that were established between 2005 and 2008; and
- The embryonic sample: universities that are small and new, i.e. universities established between 2008 and 2011.

Using this classification, six public universities, that is, two each from the three categories, were sampled by means of stratified sampling. The samples were drawn from 9 mature, 13 evolving and 10 embryonic universities, and two schools or colleges from each of them were considered as samples. The total number of colleges was thus12.

In order to ensure anonymity of the sample universities, the following pseudonyms were used in the study: "LO1" and "LO2" for the mature universities ("LO" stands for "large and old"), "MY1" and "MY2" for the evolving universities ("MY" stands for "medium and young"), and "SN1" and "SN2" for the embryonic universities ("SN" stands for "small and new"). Table 4.1 shows the details of the sample universities and colleges in the three strata.

Table 4.1: Sample universities

No.	**University**	**Age category**	**Region/location**	**Status of BSC implementation**
1	University MY1	Medium and young	Central	Implemented
2	University MY2	Medium and young	Northern	Implemented
3	University LO1	Large and old	North-West	Implemented
4	University LO2	Large and old	Southern	Implemented
5	University SN1	Small and new	South-West	Implemented
6	University SN2	Small and new	Southern	Implemented

Source: Developed by the author

In the sample colleges, there were 23 college deans, 66 department heads, 23 administration heads, who were the management representatives, and 293 full-time lecturers and 135 non-academic staff members and lecturers, who were the employee representatives. Of this

population, a total sample of 540 respondents was drawn, using a 95% confidence level and a 5% confidence interval, or margin of error. One team leader and two admin officers from the Department of Higher Education Institution Affairs in the MoE were also included in the sample, bringing the total sample size to 543. The numbers of sample respondents according to institution are presented in Table 4.2.

Table 4.2: Respondents according to university

University	**Full-time lecturers (No.)**	**Non-academic staff (No.)**	**College deans (No.)**	**Department heads (No.)**	**Adminis-tration heads (No.)**
University MY1:					
College of B and E	176	12	2	8	4
College of E and S	164	18	2	7	4
University MY2:					
College of B and E	54	14	2	3	4
College of E and S	104	20	2	6	4
University LO1:					
College of B and E	119	22	2	5	4
College of E and S	200	30	2	15	4
University LO2:					
College of B and E	48	18	2	5	4
College of E and S	84	22	2	8	4
University SN1:					
College of B and E	28	12	2	8	4
College of E and S	150	16	2	4	4
University SN2:					
College of B and E	20	10	2	4	4
College of E and S	78	14	2	6	4
Total no. Sum of nos.	**1,560**	**1,225**	**208**	**24**	**79**	**24**
Sample drawn Sum of total sample	**540**	**293**	**135**	**23**	**66**	**23**

Source: MoE Educational Statistics Annual Report 2010/2011

Note: "College of B and E" stands for "College of Business and Economics", while "College of E and S" stands for "College of Education and Social Studies".

4.7 Demographic data of the respondents and participants

The demographic data of the respondents are presented below. First, the demographic data of the respondents are presented, before the researcher discusses the demographic details of the

participants in the qualitative part of the study. The respondents were categorised and coded into two groups, namely members representing management (college deans, department heads, and administration heads) and members representing employees (lecturers and administrative staff members). Figure 4.3 gives a breakdown of the respondents by job category. As is evident from the figure, 22% of the respondents were managers, and 78% were employees. Another demographic feature of the respondents was gender (see Figure 4.4).

Figure 4.3: Respondents categorised by their roles

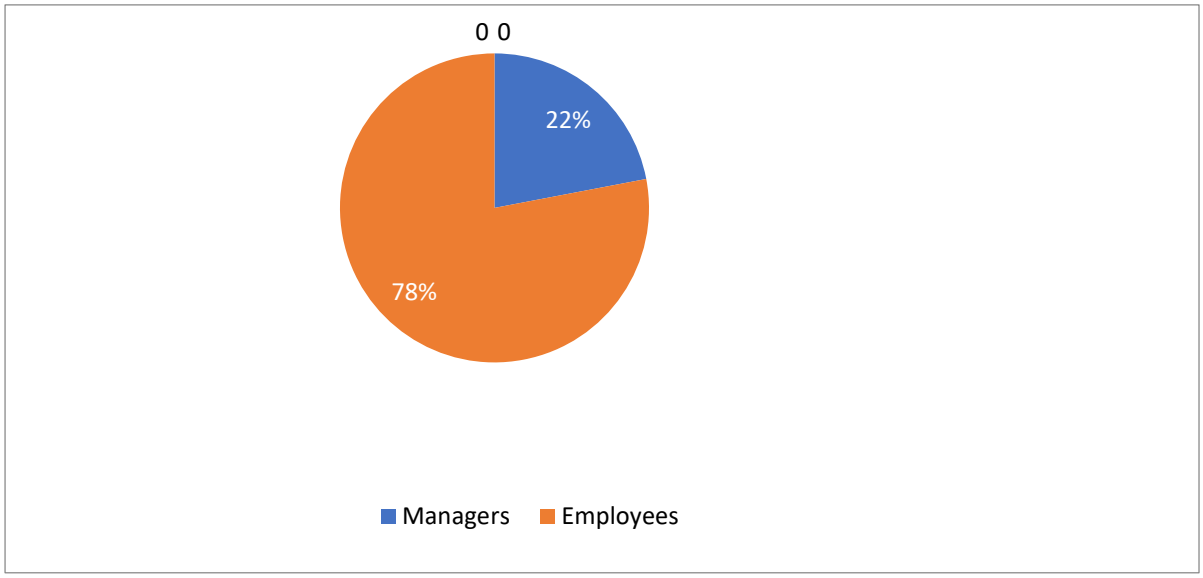
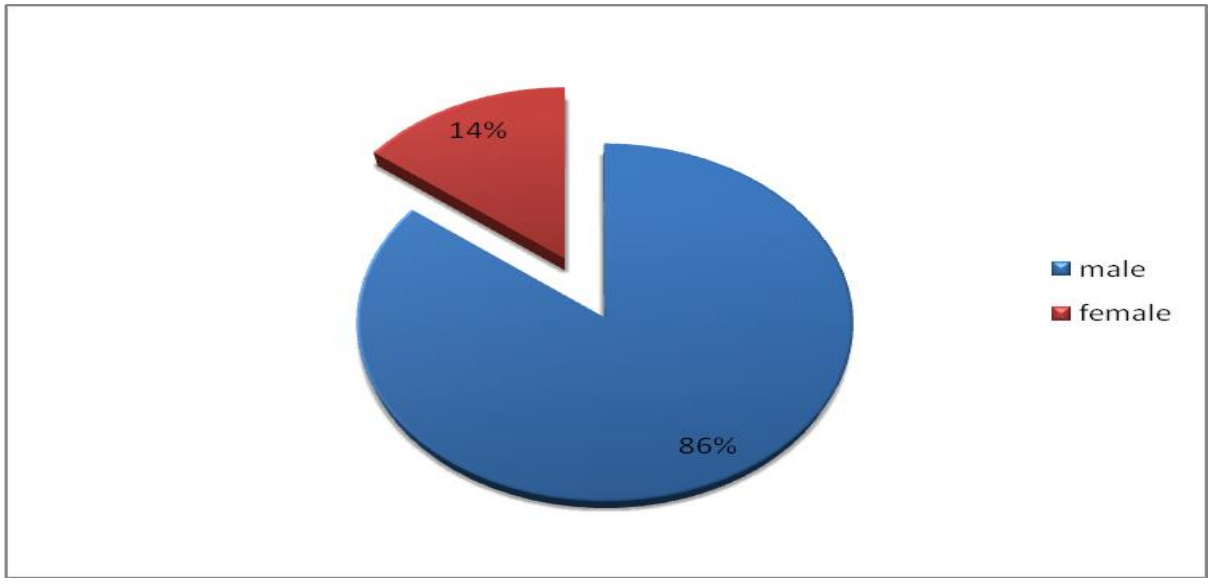


Figure 4.4: Respondents by gender

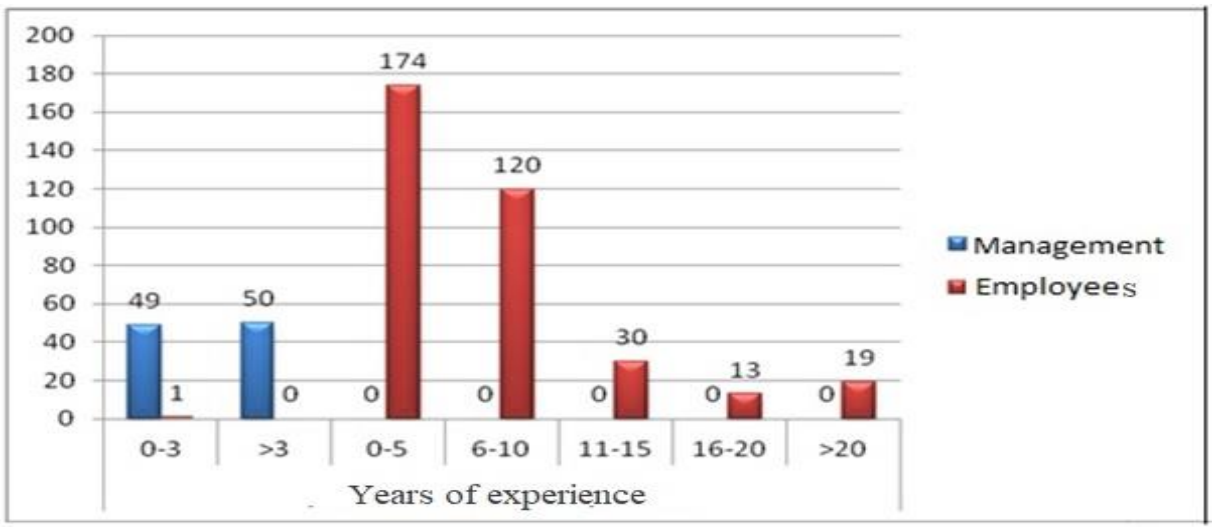


The gender distribution of the respondents is depicted in Figure 4.4. Of the total respondents, only 14% were female, which reflects the gender composition of the greater population, as males dominate the human resources of Ethiopian universities.

Respondents' work experience was considered, because this information helps to compare the senior and the junior respondents on the 12 components of a PMS. Managers' experience was limited to two options on the questionnaire: "0–3 years", and "more than 3 years". Fifty percent of the managers were new appointees who had served less than three years in their current position. It can be assumed that these managers were reasonably inexperienced in discharging their responsibilities regarding PM. This could have affected their understanding of the PMS Directive and the decision-making process in their respective posts. By contrast, the other half, who had more than three years' experience in their current management positions, can be regarded as being experienced in discharging their responsibilities.

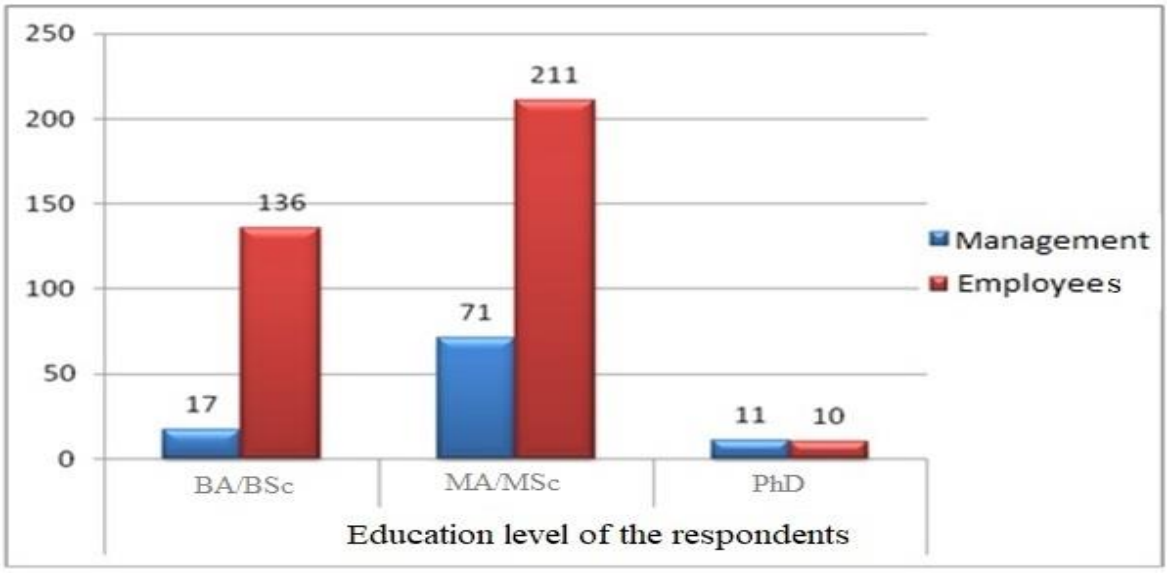
In the case of the group of employee respondents, 49% of them had served less than five years at their university. Thirty-four percent of them had 6–10 years' experience, while the remaining 17% had11 years or more experience at their respective universities. One can infer from this data that the universities have a high proportion of new graduates and inexperienced staff. The greatest number of their staff joined the university after the Civil Service Reform Program was launched, in 2001 (see Figure 4.5). The lack of experience, particularly among the academic staff, will hamper the quality of education in the universities. The low number of years of service of the management members suggests a high turnover of leadership, which is likely to impact negatively on the reform programme.

Figure4.5: Years of experience



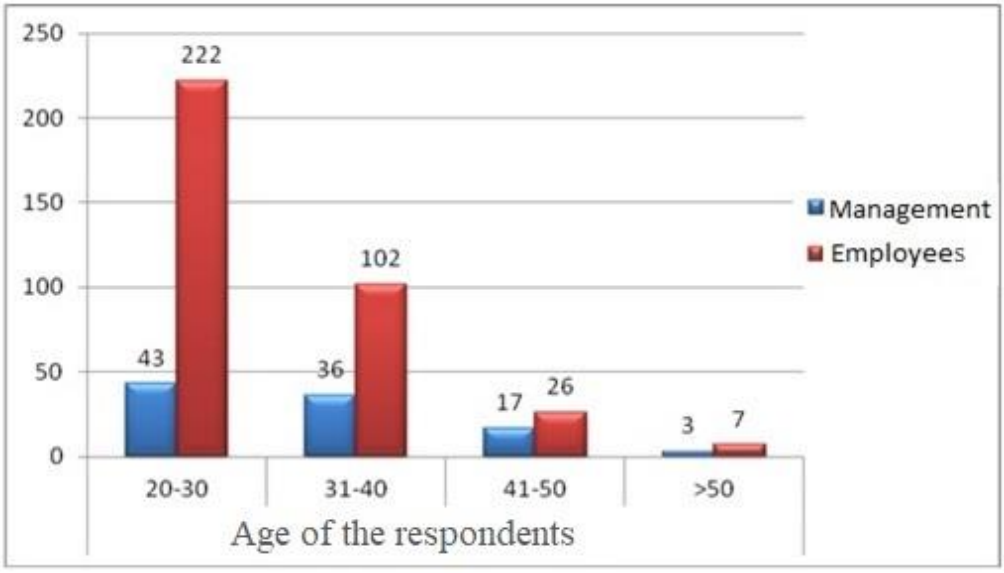
The lack of experience of the respondents is also evident from their education levels, because 17% of the managers were first-degree holders. The high proportion of first-degree holders among the managers suggests that the universities have a shortage of experienced and senior professionals in their management positions. Regarding the education level of the employee respondent group, 38% of them were first-degree holders, and 62% of them were holders of a master's degree or higher qualification. About 72% of the managers and 59% of the employees hold master's degrees. The remaining 11% of the managers and 3% of the employees have doctoral degrees (see Figure 4.6).

Figure 4.6: Education level of the respondents



The other dominant characteristic of the respondents was their age. About 43% of the managers and 62% of the employees fell in the age category of 20–30 years (see Figure 4.7). A large number of the managers and more than half of the employees were thus very young. Given this age profile, the respondents' number of years of experience can be expected to be very low, which may negatively affect the speed and the quality of the reform process, both in the design and the implementation phases of the PMSes.

Figure 4.7: Age of the respondents



The age distribution of the respondents suggests that universities in Ethiopia are staffed by young management and employees. This perhaps suggests that knowledge, particularly professional knowledge, is likely on the low side, with notable implications for reform implementation.

The assumptions mentioned in section 1.6.4 were evaluated and discussed. The first assumption proved to be incorrect, as the sample universities confirmed that they implement their PMS. The second assumption also proved to be incorrect, as the participants had knowledge of and experience in their job. The third assumption proved to be correct, as lack of leadership accountability and little stakeholder involvement were confirmed from the responses of the respondents and the participants.

The three participants who are part of the team from the Department of Higher Education Institution Affairs in the MoE that oversees PMSes of universities were all males. This was because of the absence of female employees in the department. Regarding their work experience, the team leader had more than three years' experience in a managerial position. The administrative staff members had more than 10 years' experience each in the department. They had sufficient knowledge and understanding of the PMS implementation process in the universities. Both the team leader and the administrative staff members were master's degree holders, and all were over 40 years of age. To maintain the participants' anonymity, the researcher used the following pseudonyms: "Team Leader", "MoE Admin Officer 1", and "MoE Admin Officer 2".

4.8 Data collection

As already mentioned, both qualitative and quantitative data-collection instruments were used in this study. The sequence in which qualitative and quantitative data collection took place is addressed in section 4.8.1. The qualitative data in this study is the data that was obtained by means of a literature study, document analysis, and interviews. The quantitative data is the data that were collected by means of the questionnaires.

4.8.1 Procedure for data collection

The researcher designed the research as a multi-stage exploratory sequential mixed-methods research, which requires the researcher to employ both qualitative and quantitative methods phase by phase. The multi-stage exploratory sequential mixed-methods research allows the collection of sizeable data sets (Florczak 2014:279). During the study, the following steps were followed:

- a literature review was done (cf. chapters 2 and 3);
- laws and policies regulating PMSes at public universities were studied to determine the legal framework for implementing PMSes at public universities (cf. section 4.8.2.1);
- universities' vision and mission statements were analysed to understand the conceptual framework of laws and policies regulating PMSes at public universities (document analysis) (cf. section 4.8.2.2);
- qualitative and quantitative instruments were developed (see Appendices B, C and D);
- the qualitative and quantitative data-collection instruments were pilot-tested and improved (cf. section 4.9);
- interviews were conducted (cf. section 5.3);
- the qualitative data was analysed (cf. section 5.3);
- the survey was conducted in June–July 2016 (cf. section 6.2);
- quantitative data analysis was undertaken (cf. section 6.2); and
- overall analysis and interpretation was done (cf. section 7.2).

The data-collection procedure and instruments used during the fieldwork are discussed below. First, a literature study was done; this was followed by document analysis (which is discussed in sections 4.8.2.1 and 4.8.2.2), and then data-collection instruments were compiled and pilot-tested to check their appropriateness, validity and reliability (see section 4.9). The second part of the first phase of the research consisted of interviews conducted to explore the practices of

implementation of PMSes in Ethiopian public universities. This was followed by qualitative data analysis.

The second phase entailed conducting a survey of the five target groups of the six universities. The survey was conducted in the month of June–July 2016 from the respondents selected by the researcher. This was followed by data analysis. In order to describe the respondents' background, a descriptive statistical analysis was performed (see section 4.7). Exploratory and composite one-way test analyses were done to measure the degree of agreement of the Likert-scale questionnaires. A Cronbach's alpha was also applied to check the reliability of the questionnaires.

4.8.2 Data-collection methods and instruments

Punch and Oancea (2014:344) assert that the qualitative method is the best method to get insiders' perspectives, participants' definitions of terms, and the meanings that participants attach to things and events. This means that the qualitative method is particularly suitable for studying the lived experience of people, including the meanings they attach to and purposes underlying those experiences. The interviews were intended to collect data on participants' attitudes and perceptions regarding PMS practices and the challenges of PMS implementation. The qualitative data was gathered by employing (1) a literature study of the laws and policies regulating PMSes at public universities, as these inform the vision and mission statements of the universities, (2) document analysis of the vision and mission statements of the universities as well as the Directive by the MoE, and (3) researcher-administered interviews with key participants, namely a team leader and two administration officers in the Department of Higher Education Institution Affairs in the MoE. Data collected through the document analysis was used to understand the conceptual framework of laws and policies regulating PMSes at public universities. The linkage of PMSes to universities' mission and vision statements gave insight into the effectiveness of the universities.

The researcher investigated how a selected sample of respondents experiences the PMS that has been implemented at their institution. As became evident from the literature review, an effective PMS fulfils the variables that discussed in (sections 2.5 and 3.3). The result shows that the participants and the respondents have a positive perception regarding the 12 PMS aspects.

4.8.2.1 Literature study

In this section, the researcher focuses on the literature study, which was conducted to determine the legal framework regulating PMSes of public universities. The researcher acquired the documents from either the MoE of the Federal Democratic Republic of Ethiopia or the Internet. The documents, which are identified and discussed in section 5.2, were the Higher Education Proclamation 351/2003 and the Higher Education Proclamation 650/2009. In addition, legislation relating to the PMSes of public universities in the Ethiopian context is discussed. Directives such as the PMS Directive and the CSRS Implementation Directive were studied. Data extracted through the literature study is presented in section 5.1.

4.8.2.2 Document analysis

The researcher analysed the origin and the nature of the vision and mission statements of the universities to understand the current laws and policies regulating PMSes at public universities in Ethiopia. The researcher selected these documents based on their relevance to PMSes of public HEIs. Yin (2009:102) argues in favour of using document analysis to support arguments and results obtained through interviews and questionnaires. In the absence of direct observation, the researcher used document analysis to acquire the needed information regarding PMS implementation in the public universities in Ethiopia.

4.8.2.3 Interviews

The other data-collection technique used was interviews. According to Gray (2014:282), an interview is a "verbal exchange in which one person, the interviewer, attempts to acquire information from and gain an understanding of another person, the interviewee" on the matter being studied. Zohrabi (2013:255) explains that an interview reveals existing knowledge in a way that can be expressed in the form of questions and answers between two individuals.

Identification of the right people from the Department of Higher Education Institution Affairs in the MoE (i.e. people who are information-rich and knowledgeable on PMS implementation in the universities) for the interviews, and gaining access to them, was difficult for the researcher. However, persistence paid off, and the researcher succeeded in making contact with persons in the MoE who work directly with PMSes, and who could thus provide valuable information on the matter. The interviewees were a team leader and two administrative staff members in the Department of Higher Education Institution Affairs in the MoE who are involved in assessing the implementation of PMSes.

Morris (2015:72) recommends the following steps for conducting interviews:

- *Introduce yourself and tell what institutions you are from;*
- *Tell the interviewees how you obtained their contact details;*
- *Explain what the research is about and why the interviewee has been selected as an appropriate person to interview;*
- *Emphasise that the interview is confidential, and that in the reporting of the interviews, interviewees will be de-identified;*
- *Clarify the role of ethics and informed consent; and*
- *Give potential interviewees your contact details in case they need to contact you.*

Following the above steps, the researcher visited the interviewees at their respective offices to conduct the interviews privately. He also explained to the interviewees that the interview data would be used for research purposes only.

The interviews were held from the first day of August 2016 to mid-August 2016. During the interviews, a voice recorder was used, for which consent had been gained from the interviewees. The researcher jotted down important information at the time of the discussion, and he later compared his notes with the transcript of the recorded interview. The researcher interviewed three informants (a team leader and two administration officers from the MoE). The duration of each semi-structured interview was 30–40 minutes (see the interview schedule in Appendix D).

4.8.2.4 Questionnaires

Jacobs (2008:341) defines a questionnaire as a set of written questions and/or statements to which the research subjects respond in order to obtain information that is relevant to the research topic. In this study, the researcher developed a structured questionnaire from the literature review for this study to the management and the employee groups of respondents. The questionnaire has a total of 72 questions under 12 subsets aimed at extracting data about the practices and challenges of PMS implementation in the HEIs. Structured five-point Likert-scale questionnaires give respondents an opportunity to reflect on the study topic. Regarding PMS implementation, the basic elements are the 12 subsets that are included in the questionnaires, which help to investigate the problems faced during implementation. The questionnaires contain various questions that emanated from the third research sub-question, namely "What are the constituent elements of a BSC-based PMS that will ensure institutional effectiveness of public universities in Ethiopia?" (see Appendices B and C).

The data was obtained from six public universities in Ethiopia. In the quantitative part of the study, the researcher distributed 540 questionnaires: 114 to a group of management members (college deans, department heads, and administration heads), and 426 to a group of employee members (lecturers and administrative staff members). All the returned questionnaires were

included in the data analysis. The total response rate for these questionnaires was about 84.4% (456), which is an acceptable rate, since sufficient data was obtained to conduct an analysis and to draw reasonable conclusions from it. About 86.8% of the managers responded, and 83.8% of the employees responded.

Two universities, namely SN1 and MY2, returned almost all the questionnaires (i.e. 16.6% and 16.4%, respectively). The return rates of the other four universities ranged from 10.7% to 15%, which constituted more than 50% of the possible return rate, and was thus assumed sufficient. Table 4.3 below presents the response rate of each university. Of the returned questionnaires, as indicated in Table 4.3, 16.6% were returned from University SN1, and 10.7% were returned from University MY1, which represent the highest and the lowest response rates, respectively. The rest of the universities showed acceptable response rates.

Table 4.3: Response rates for each university

University	Frequency	Percent	Valid percent	Cumulative percent
MY2	81	15	15	17.8
MY1	58	10.7	10.7	30.5
LO1	87	16.4	16.4	49.6
LO2	75	13.9	13.9	66.0
SN1	91	16.6	16.6	86.0
SN2	64	11.8	11.8	32.4
Total	456	84.4	84.4	100

4.9 Pilot-testing

Before administering questionnaires or conducting interviews in the field, the data-collection instruments must first be piloted in a small group of respondents/participants who were not identified as samples, in order to minimise and rectify any unclear statements, wordings or design, and other errors (Bryman 2012:263–264). Pilot-testing is the pre-test of the research methods of a study, in order to ensure clarity and reliability of the research instruments, as well as their appropriateness for the study (Gumbo 2015:371).

In this study, piloting the questionnaires was most important. The researcher could still have a chance to probe during interviews if an interview question is not clear, but the questionnaire, as Gray (2014:372) correctly argues, is "a 'one-shot' attempt at data gathering". Piloting questionnaires is thus essential. Pilot-testing questionnaires allows the researcher to

- *check the time it will take to complete the questionnaire,*

- *check the quality and the length of the questionnaire,*
- *classify the coding system for data analysis,*
- *rectify any ambiguous or unclear questions,*
- *assess the validity of the questionnaire, and*
- *examine the clarity of the instructions.*

Accordingly, the questionnaires used in this study were pilot-tested on college deans, department heads, lecturers, administration heads, and staff members who were not part of the sample. The questionnaires (for the managers and the employees) were piloted in two colleges, i.e. the School of Commerce and the College of Education of a non-participant university, by randomly identifying 30 sample respondents, of which 10 were management members and 20 were employees, who completed the questionnaires in full and then returned them. The researcher had beforehand gained oral consent from the respondents who participated in the pilot study. He also informed the respondents how long it would take to complete the questionnaire, and he explained that if the respondents were unclear about any issue, or they found any question vague or ambiguous, they could write their comments and leave their feedback on the questionnaire.

The results of the pilot study showed that certain improvements were needed. No concerns were raised regarding the qualitative instrument, but three concerns were raised regarding the questionnaires: failure to understand some questions and statements, word choice problems, and an unnecessary option included under "Educational level". The researcher amended the questionnaires as follows:

1. The "Professor" option under "Educational level" was omitted;
2. Managements' experience was limited to two options: "0–3 years", and "more than 3 years";
3. Questions under "Mission and vision" were rearranged;
4. The question about resource allocation was moved from its place under "Vision" to the section titled "Challenges";
5. The question "The supervisor measured the work against the agreed targets" was amended to "My performance is measured against the agreed targets, which helps me to identify my strengths and weaknesses";
6. The question "I am coached on my job by the supervisor" was changed to "It creates the opportunity for me to be coached on my job by the supervisor"; and
7. The question "I observed that the assessment process is continuous and on-going" was changed to "It allows for a continuous and on-going assessment process".

The analysis of the pilot study results indicated that the sub-items of the questionnaires were good in terms of consistency and homogeneity. Based on this pilot survey, the validity and the reliability of the instruments were computed based on the reliability coefficient result. The reliability coefficient (Cronbach's alpha) result was 0.957. According to Field (2005:1), a value of 0.7–0.8 is an acceptable value for a Cronbach's alpha, while values substantially lower than that indicate an unreliable scale.

4.10 Data-analysis and -interpretation procedure

Onwuegbuzie and Combs (2011:3) explain that mixed-methods analysis involves both qualitative and quantitative analytical techniques. The researcher first analysed the data from both part 1 and part 2 of phase I, namely the qualitative research, and he then analysed the data from the second phase, namely the quantitative research.

Phase I (Part 1)

The qualitative research literature study and document analysis were analysed through point-by-point discussion. The point-by-point discussion technique helped the researcher to pinpoint and list the findings that had notable implications. The themes relevant to the study that were drawn from the literature and the documents are discussed in sections 5.1 and 5.2, respectively.

Phase I (Part 2)

Harding and Whitehead (2013:142) explain that content analysis includes both rational and conceptual analysis. Trying to explore the relationship of concepts is rational analysis, while identifying themes and concepts from the interview is conceptual analysis. Therefore, for the purposes of this study, conceptual analysis was done, by recording the presence of concepts or the occurrence of themes addressed by the interviewees. Thereafter, analysis was done question by question. The following seven steps, suggested by Harding and Whitehead, (2013:144) were followed:

- *Reading the interviews as a whole, to gain an overall understanding of the text;*
- *Identifying the meanings evoked by the interviews and possible themes in the data;*
- *An in-depth analysis of each document is the interpretation of each text that was written and given to participants;*
- *Determining the credibility of each finding, by returning it to participants for their evaluation of how well it represents their experiences;*
- *Continuing interpretation, where material arising from further discussions with participants is treated as new data;*
- *Identifying the themes as the researcher reviews and re-examines the data, interpretations and discussions with participants; and*
- *Preparing the final report, using sufficient excerpts from the interviews, allows readers to participate in validation of the findings.*

Phase II

For the purposes of in-depth analysis, the quantitative data sets were split into descriptive statistics, namely standard deviations, frequencies, means, percentages, and a one-way composite test. The researcher used the SPSS version 22 software package to compute descriptive statistics, such as frequency distributions, averages, and percentages, and to determine the correlations of variables and the ratio analysis. A one-way composite test, a one-way ANOVA, and a t-test analysis were applied to examine and compare the impact of the independent variables on the dependent variables. The researcher used Karl Pearson's statistical formula to calculate the correlation coefficient between the variables. This formula allows researchers to determine how variables are related, as well as the degree of the relationship (Punch & Oancea 2014:318).

4.11 Ensuring the scientific rigour of the study

Ensuring the validity and the reliability of data-collection instruments is an important step in any research, but this is only one part of ensuring valid and reliable research findings. The whole research process must be conducted in such a way that the data generated is valid and reliable.

4.11.1 Legitimation of qualitative and quantitative methods

Legitimation is not a single attribute, but rather a continuous process of inference regarding the quality and the depth of a specific research study (Onwuegbuzie & Johnson 2006:55).

4.11.1.1 Legitimation of the qualitative method

Credibility, member checking, transferability, dependability, and confirmability were used to ensure the trustworthiness of the qualitative part of the research. Bryman (2012:390) asserts that trustworthiness is an important criterion for assessing and legitimising qualitative research. Qualitative research can be regarded as legitimate if it can be proved to be trustworthy, that is, it complies with the criteria of credibility, transferability, dependability, and confirmability of the findings.

Credibility

Credibility is the foundation for the trustworthiness of the study, in that it shows the direct relationship of the findings drawn from the research question with the reality on the ground. Ivankova (2015:266) states that credibility refers to the extent of acceptability and

trustworthiness of research findings. Information was obtained from participants' indifferent fields and at different sites in order to ensure the depth of the research. To ensure that what is reported is an accurate representation of the interviews, the researcher provided a summary of the responses to the interviewees, so that they could confirm whether their responses had been captured correctly. This is referred to as member checking. Morris (2015:33) explains that the advantage of member checking is that it gives the interviewees the opportunity to veto any wording that they may regard as misrepresentation, any revelation that they may see as potentially damaging to them, and any description that may make them identifiable. To ensure the credibility, i.e. "the extent to which findings are believable and promote confidence in their truth" (Ivankova 2015:265), of the interview data, the researcher checked his transcripts of the interviews against his audio-taped recordings of them, to ensure that he had correctly captured what was said by the interviewees.

Transferability

Transferability is one aspect of trustworthiness that acknowledges that the results of one study are also applicable in a different context. Transferability refers to applicability of findings in another context (Ivankova 2015:266). The data obtained and described can possibly apply to other research contexts. Since all the Ethiopian public universities are regulated by the same laws and policies regarding PMS implementation and the reform mandate, these research findings may be relevant to all of them.

Confirmability

Confirmability is the extent to which the findings of research are objective and free of the researcher's personal feelings. To ensure confirmability, data should be collected from real informants, and it should be complete and objective, even if it is difficult to realise this in social research. The researcher should show their commitment to act in good faith, without overtly pursuing participants out of personal interest. The results must reflect real ideas and experiences of the participants, rather than preferences of the researcher (Bryman 2012:392; Ivankova 2015:267). The researcher, in this regard, shared the narrative report of the interview discussions with the interviewees to check and confirm their thoughts.

4.11.1.2 Legitimation of the quantitative method

To ensure legitimacy of the data and findings generated using mixed-methods research, the researcher must be able to defend the quantitative strand of data with regard to its validity, reliability, replicability, and generalizability (Brown 2016:21). The questionnaire and the

interview guides were developed and customised based on what the researcher learnt from the literature review.

Validity

As Zohrabi (2013:258) explains, validity refers to the believability of the research content when reviewed by experts in the field of research. Brooks, TeRiele and Maguire (2014:119) explain that validity is ensured through the use of appropriate data collection instruments and sampling techniques and, the appropriate treatment of statistical data. One way to ensure the appropriateness and validity of data collection instruments, mostly questionnaires, is to pilot-test them in the field on a small group of respondents who were not identified as part of the sample population of the study. Validity is also ensured through checking the data-gathering instrument in terms of the clarity and the sequence of the questions, and whether the questions have economical use of words. The researcher thus did both of the above to ensure the validity of his research instruments.

Reliability

The other important factor for ensuring the trustworthiness of quantitative research is reliability, which relates to the quality of an instrument. Best and Kahn (2005:285) define the term **"reliability"** as "the extent that the instrument measures whatever it is measuring consistently". Zohrabi (2013:258) adds that reliability is needed for research to check its consistency and the replicability of the research process and result. Reliability on a quantitative instrument ensures clarity, coherence, and consistency of the instrument, or, in the case of this research, the questionnaires. Reliability on a qualitative instrument ensures content clarity and relevance to the studied topic. Reliability in relation to data analysis is closely related to ethical research, because this principle requires the researcher to avoid exaggeration or misrepresentation of the data (Brooks et al 2014:119).

Internal consistency and reliability of the PMS concepts or constructs

Internal consistency reliability tests whether (responses to) all items that describe a construct or concept truly jointly contribute towards explaining the concept. The question to be answered by the following analysis (scale reliability testing) is whether the subsets of responses to the questions that were designed to describe (and evaluate) the various PMS concepts all jointly contribute towards describing the mentioned PMS constructs (and in doing so ensure that a reliable measure of a particular PMS construct can be derived or calculated). The *internal consistency and reliability* of each subset of responses to questions designed to describe the

various constructs should be verified. If internal consistency reliability can be verified, reliable measures for each participant for each constructor concept can be calculated.

The statistical technique used to verify *internal consistency reliability* is referred to as *scale reliability testing*. As part of the output of a *scale reliability test* (which was performed on the subset of responses to the questionnaire questions that describe a PMS concept), a test statistic is calculated. This statistic is called the Cronbach's alpha coefficient. The value of Cronbach's alpha ranges from 0 to1 (Nunnally & Bernstein 2003:278). An alpha value in the region of 0.7 or greater than 0.7 is usually regarded as indicative of internal consistency reliability. In exploratory work in a new field of study, an alpha value in the region of 0.6 or greater than 0.6 is regarded as a fair indicator of internal consistency reliability. If "internal consistency reliability" can be verified, it implies that a reliable measure of respondents' perception of a specific PMS concept or construct can be calculated for each respondent. The measure or score for each respondent is usually calculated as the mean response of all responses a particular participant gave to all question statements that describe a specific PMS concept or construct (cf. section 6.2). In this way, a single "reliable" perception measure of a PMS concept is formed from a subset of responses, which reduces the dimensionality of the dataset. This single perception measure (score) for a PMS concept can then be used in further analysis.

In order to verify the internal consistency reliability of all the subsets and each response to the questions of the 12 PMS concepts, a scale reliability test was conducted. The results are presented in Table 4.4.

Table 4.4: Reliability test (Cronbach's alphas)

Results of the scale reliability test (Cronbach's alpha coefficients) conducted on the various subsets of participant responses that describe the 12 PMS constructs			
Career concept or factor	**Questionnaire items describing the career factor or construct**	**Questionnaire items removed from items describing the factor or construct**	**Standardised Cronbach's alpha coefficient**
1. Benefits	q1–8	–	0.849
2. Performance objectives	q9–14	–	0.697
3. Measurement procedure	q15–19	–	0.768
4. Evaluation system	q20–22	–	0.482
5. Feedback	q23–29	–	0.920
6. Development system	q30–36	–	0.819
7. Communication	q37–41	–	0.800
8. Reward system	q42–47	–	0.928
9. PMS Directive	q48–54	–	0.842
10. Problems	q55–63	q63	0.854
11. Mission statement	q64–67	–	0.693
12. Stakeholder buy-in	q68–72	–	0.779

Table 4.4 above reveals that it was verified that most of the 12 PMS concepts were internally consistent and reliable, since most of the Cronbach's alpha scores were in the region of 0.7 or greater than 0.7. Performance objectives and mission statement had fair scores, as they were greater than 0.6 (0.697 and 0.693, respectively). Evaluation system had a score of 0.482, which is less than the average score. This suggests that this construct may be lacking in internal consistency.

Generalisability

Generalisability is the applicability of research results in other contexts or areas of research. Zohrabi (2013:258) asserts that generalisability means that the research processes and results can be utilised in various fields of research to examine a particular phenomenon. Generalisability also refers to the applicability of the findings of one research effort to another research effort in a scientific way.

4.12 The issue of research ethics

The researcher collected data from human beings, which automatically raises the issue of ethics. Kumar (2014:284) emphasises that research activities must be ethical to ensure that they are not affected by the self-interest of the researcher or any other individual and that they do not harm any party. In this regard, Punch and Oancea (2014:69), on their part, add that a researcher should keep the information of the respondents and the participants confidential and should ensure anonymity of sources, and that they should not pass on the information as it is to any third party that is not part of the study. Unisa's *Policy on research ethics* explains that ethics applies to such considerations as what is good or bad, and what is right or wrong (Unisa 2007b:18). An ethical clearance certificate was obtained from Unisa's College of Education Research Ethics Committee (see Appendix I). The researcher gave due attention to the following ethical aspects:

Access: Before trying to collect information, the places and relevant informants for the data collection were identified and considered. Since selection of the sample population is an important issue, the researcher exerted maximum effort to choose valuable samples. In addition, permission from the MoE and the sample universities was obtained beforehand.

Informed consent: Before approaching the participants, the researcher provided them with full information about the research. The researcher sought the informed consent of the participants beforehand (see Appendix F). Brooks et al (2014:80) and Sotuku and Duku (2015:116) confirm this idea that the main principle of consent is taking into consideration participants' decision of whether to be involved in or to withdraw from the research.

Confidentiality: Unisa's *Policy on research ethics*, in section 4.3, states that "[a]ll personal information and records provided by participants should remain confidential" (Unisa 2007b:15). The researcher has strictly observed this requirement in order to ensure confidentiality.

Protection of participants: The researcher used pseudonyms for the sample universities and the participants in order to ensure their anonymity and keep the participants' and the respondents' identities confidential (cf. sections 4.6.2 and 5.3). Sotuku and Duku (2015:123) explain that ultimate beneficence relates to the overall benefits of the research by generating new knowledge. Hence, the researcher exerted maximum effort to ease participants' anxiety, prevent harassment, and make participants relaxed. Unisa's *Policy on research ethics,* in section 2.1, stipulates that "[p]articipants should be seen as indispensable and worthy partners

in research" (Unisa 2007b:11). The researcher respected and protected the rights and interests of participants and respondents at every stage and level of the research.

Research should not only focus on not doing harm to participants and respondents, but should also be to their advantage (Brooks et al 2014:28). The research benefited the management of the selected universities, because they were informed of the challenges and problems that make their PMSes less effective.

Plagiarism: Unisa's *Policy for copyright infringement and plagiarism* dictates that

> *where a student's or researcher's work is not authentically his/her own, such work does not qualify as an academic output, whether this is a student assignment or employee research, and will be viewed as plagiarism, which is defined as an appropriation of another's work, whether intentionally or unintentionally, without proper acknowledgement (Unisa 2007a:1).*

Accordingly, the researcher exercised utmost prudence in giving due acknowledgement when expressing the thoughts of others. To ensure that the report has a high originality score, the final report has been run through the Turnitin programme (see Appendix H).

4.13 Conclusion to the chapter

In this chapter, the methodology employed in the study was discussed. The main matter discussed in this chapter is the methodological considerations with regard to the research paradigm, the design, the approach, sampling, data-collection methods and analysis of the data in relation to the research questions, and the conceptual and theoretical frameworks used in the study.

The research was based on the mixed-methods research design, in order to collect both qualitative and quantitative data that reflect the participants' inner feelings and the respondents' practices regarding implementation of PMSes at public HEIs in Ethiopia. The qualitative data is presented and analysed in the following chapter.

CHAPTER 5

QUALITATIVE DATA PRESENTATION, ANALYSIS AND INTERPRETATION

5.1 Introduction

This chapter provides an analysis of the qualitative data sets: one data set extracted from the literature by using literature study and document analysis of the CSRS Implementation Directive, and the second data set extracted from the qualitative interviews. By analysing those data sets, this chapter addresses the second and the third objectives of the study, namely to establish the origin and the nature of current laws and policies regulating PMSes (objective 2) and to develop customised generic constituent elements of a BSC-based PMS that will ensure institutional effectiveness of public universities in Ethiopia (objective 3) (cf. section 1.5.2).

5.2 Literature study

In this section, the researcher presents the data collected during the first part of the exploratory qualitative phase of the research, namely the literature study of the laws and policies regulating PMSes at public universities in Ethiopia. In order to regulate PMS implementation effectively and efficiently, institutions must have clear law and policy frameworks. Thus, an institution that has a workable policy in place has a good chance of competing in the market. As with other businesses and organisations, HEIs also face competition locally and globally in terms of obtaining competent human resources, material and financial resources, and customers. In this regard, proper implementation of a PMS is vital to manage the overall activities of the higher institutions successfully and to succeed to produce a capable labour force in the increasingly competitive local and global environment.

Laws and policies are designed to ensure that desired employee characteristics and performance are obtained consistently from all employees. In the case of this study, the researcher focuses on the Federal Democratic Republic of Ethiopia proclamations for higher education (i.e. Proclamation 351/2003 and Proclamation 650/2009), the PMS Directive, and the CSRS Implementation Directive.

5.2.1 Laws and policies regulating PMSes at public universities

The Federal Democratic Republic of Ethiopia issued two proclamations, the Higher Education Proclamation 351 of 2003 and the Higher Education Proclamation 650 of 2009, which dictates the implementation of PMSes in public HEIs. These proclamations are essential for enhancing

the performance and results of public HEIs. Though Higher Education Proclamation 351/2003 was replaced by the Higher Education Proclamation 650/2009, it was essential to discuss both. As mentioned before, Higher Education Proclamation 351/2003 laid down an institutional system that ensures the accountability of the institutions while the Higher Education Proclamation 650 of 2009 aims at striking a balance between autonomy of institutions and their accountability to the government and public interests.

5.2.1.1 Higher Education Proclamation 351 of 2003

The government of Ethiopia was well aware of the fact that traditional performance management was ineffective, and that this ineffectiveness affected the production of quality graduates and the overall development endeavour. Thus, it issued Proclamation 351/2003 (FDRE 2003: part 2, s 1(8)(1)) to regulate the establishment of public HEIs, and the management and implementation of PMSes in HEIs, so as to align the reform programme with the vision of the country, namely "to become a middle-income country by 2025" (MoE 2010:27). Proclamation 351/2003 (FDRE 2003: part 2, s 1(6)(6), 1(6)(7)) stipulates that HEIs should "lay down an institutional system that ensures the accountability of the institutions", that it should "ensure the participation of all those concerned bodies in administration decision-making", and that it should "create and promote [a participatory] culture". The proclamation also stipulates, under part 3, section 1(35)(1), that the board of directors should be the head of the general administration of the public institution. They have to approve the university's policies, internal regulations and programmes and oversee their implementation (FDRE 2003: part 3, s 1(35)(4)).

Part 2, section 1(6)(1) also stipulates that HEIs should produce skilled manpower in quality and quantity that will serve the country in different professions, which is one component of the reform agenda of the HEIs. This proclamation emphasises that the performance of HEIs should be evaluated and managed in a transparent and fair manner, supported by clearly designed directives and procedures, in order to enhance the effectiveness of HEIs (section 1(6)(1)). With regard to rewards, Proclamation 351/2003 (FDRE 2003: part 2, s (1)(14)(7)) states that any institution shall have the powers and duties to "give recognition or award prizes to the persons of outstanding achievements or constructive contributions".

However, the proclamation lacks clear provisions regarding PMSes. It does not explicitly mention management of performance at HEIs. Emerging needs due to the changing global environment in general and that of the country in particular necessitated replacement of

Proclamation 351/2003 with Proclamation 650/2009. The aim of Proclamation 650/2009 is to enhance the sections mentioned in Proclamation 351/2003, and to add additional provisions about PMSes at HEIs (FDRE 2009). The changes and newly added provisions in Proclamation 650/2009 are discussed in more detail in subsection 5.1.1.2.

5.2.1.2 Higher Education Proclamation 650 of 2009

In the ever-changing global environment, institution leaders should evaluate their performance through a standardised method and system at all times and at all levels of their work. Similarly, the leadership of institutions should comply with the new changes and environment, to meet their strategic objectives and upgrade their skills in effective strategic plan development. Proclamation 650/2009 contains a provision promoting institutional efficiency, effectiveness, fairness, transparency and accountability (FDRE 2009: part 2, s 1(17)(3)). In addition, it also empowers universities to manage and administer their people, funds and materials, and to develop workable organisational structures and autonomy through implementation of contemporary management systems (FDRE 2009: part 2, s 1(17)(2)(a), (c), (e)).

Part 2, section 1(22)(2) of Proclamation 650/2009 provides that every institution should "have or develop a reliable and continuous measurement system to enhance quality and productivity with clear evaluation indicator [sic]" (FDRE 2009). The government of the Federal Democratic Republic of Ethiopia has supported reform with this proclamation, which ensures accountability for ineffective results and acknowledges best accomplishments. This is confirmed in the preamble of this proclamation, where it is indicated that this proclamation intends to lay down a legal system to enable institutions to effect institutional transformation and to serve as dynamic centres for capacity building (FDRE 2009). Furthermore, the proclamation focuses on critical issues, relevance, and quality education and research, and it ensures good governance of HEIs, in order to fulfil the aspirations of the people of Ethiopia in the context of competition. Part 2, section 1(5)(4)(d) stipulates that "[i]institutions should provide a management system, which shall guarantee effective delivery of education and research" (FDRE 2009). Part 2, section (30)(4) of Proclamation 650/2009 states that every university shall ensure adequate supply of academic staff, in terms of both quality and quantity, based on the staff-to-student ratio and the additional research requirement (FDRE 2009).

To promote best performance, Proclamation 650/2009 (part 2, s 1(8)(8)) states that "[i]institutions shall give recognition or award prizes or honorary degrees to persons of outstanding achievements or contributions to the society" (FDRE 2009).

Proclamation 650/2009 also stipulates that institutions should prepare and implement institutional plans, budgets, and organisational structures, and should submit performance reports in accordance with this proclamation (FDRE 2009: part 2, s 1(8)(6)). Part 3, section 1(44)(g) states that the board of directors has the responsibility to review and submit strategic plans, annual plans, and budgets of the institution, and to supervise their implementation upon approval, and to submit performance reports and financial statements of the institution. In this respect, reporting and accountability are well established (FDRE 2009).

The rights of academics are set out in Proclamation 650/2009 (part 2, s 2(31), 2(32)) and include, the right to:

- exercise academic freedom based on the institution's mission,
- conduct research,
- render consultancy services,
- further education and training for professional development,
- be promoted,
- assume a new academic rank,
- enjoy a transparent, fair, and equitable administration and system of remuneration and benefits,
- be informed of their performance results,
- be informed of any records kept in their personal file,
- enjoy campus security while rendering the proper services,
- be involved in plan development, direction setting, overall condition and performance of the institution, and
- elect and be elected, where election of academic staff is the norm (FDRE 2009).

Part 2, section 2(32) specifies that academic staff members have the responsibility to:

- teach, including assessing students in need of special support, and render academic guidance or counselling and community services,
- undertake problem-solving studies and research and transfer knowledge and skills, in the specific area of self-competence and professional position, that are beneficial to the country,
- ensure that their own teaching is research- and study-based,
- participate in curriculum development, review and enhancement, and

- adhere to professional standards in curriculum delivery, student assessment, grading, counselling, and management of student complaints and grievances, and in professional ethical standards in general (FDRE 2009).

The provisions discussed above are generally enabling the HEIs to contribute their own fair share, so that they can enable the country's development endeavour. Proclamation 650/2009 contains many articles with provisions to manage the HEIs, but it lacks enforcement provisions to implement the PMS reform programme in every institution, which may hamper accountability of the leadership.

5.2.1.3 The Performance Management System Directive

To strengthen the performance measurement of organisations, the Ministry of Capacity Building has issued an implementation manual, titled the *Civil Service Performance Evaluation Manual*. The measurement tools incorporated in the civil service manual have different phases for implementation. These phases are training, developing institutional process, and developing team and/or individual scorecards (MoCB 2010:145). The PMS Directive sets out the major functions of public institutions with regard to PMS implementation as: setting goals, developing a performance evaluation system, drawing up annual plans, cascading down institutional objectives, developing report and reward systems, and accountability procedures. To this end, a Civil Service Reform Program was launched in 2001, with the intention of "[e]nsuring the Ethiopian Civil Service to operate in a transparent, responsive, and accountable manner in order to realise the effectiveness and efficiency of the civil servants by developing and implementing modern PMS" (MoCB 2010:144).

5.2.1.4 The Civil Service Results-oriented System Implementation Directive

In order to enhance the efficiency and the performance of HEIs, the government has taken different change measures, such as that of PMSes, which is the system currently being used to transform the performance results of HEIs and to improve the work culture. According to Geda (2014:4), the government, students, employers, and parents want to see that the HEIs have well-articulated PMSes and accountability in all their activities.

The Ministry of Civil Service (2012:42) indicates in the *Results-oriented Implementation Manual* issued in March 2012 that performance rewards will be given to those who have achieved and made a contribution, while low achievers will be entitled to receive capacity-building training. If low achievers fail to improve after this training and capacity development,

then administrative measures will have to be taken, in accordance with the FDRE's public service and human resource development legislation.

Geda (2014:16) highlights that implementation of an effective reform system needs commitment from all performers and empowerment of participants to exhibit their professional skills. The CSRS Implementation Directive (2012:45) states that because the HEIs in Ethiopia did not have a sound and comprehensive performance measurement and management procedure manual which demonstrates the intended results of the institution, the government introduced a reform programme. The business process re-engineering (BPR) programme intends to enhance the quality of education, accountability, and efficiency of performance, by implementing PMSes at civil service institutions in general and at universities in particular.

5.3 Document analysis

In this section, data extracted by means of analysis of the mission and vision statements of the participating universities is presented and analysed.

5.3.1 Vision and mission statements of the universities

As already emphasised, it is expected that universities be dedicated to contributing their share to sustainable socio-economic development of the nation, through provision of development-focused and societal needs-based education. Al-Ani and Ismail (2015:460) assert that vision is an important element that manifests in an institution's mission statement, which is a rallying point towards the institution's achievement. The Ministry of Education of the Federal Democratic Republic of Ethiopia has formulated its own vision statement in line with the country's vision, and cascaded it down to the universities accordingly. Yizengaw (2003:7) states that the vision statements of HEIs in Ethiopia should be designed in line with the need to "embody the development of quality human resource [sic] and the generation and dissemination of knowledge to fulfil the requirements of the country's development needs". The vision and mission statements of the sample public universities are quoted in Table 5.1 below.

Table 5.1: Vision and mission statements of the universities

No.	University	Vision	Mission
1	MY1	The university aspires to be the best university in Ethiopia by 2020.	To produce efficient graduates by offering quality-based and research-assisted higher education
2	MY2	It aspires to be one of the leading higher education institutions in Ethiopia.	To serve the nation by providing learner-centred education research in harmony with national interests and productive and responsive community engagement via value-added partnership
3	LO1	The university is to be the leading societal problem-solving university in the country by 2020.	It is dedicated to contributing to the sustainable socio-economic development of the nation through the provision of societal needs-tailored education, undertaking problem-based research and rendering relevant community services.
4	LO2	The university aspires to be the best university in the nation, competent in Africa, and internationally accredited by 2017/18.	The university is to build advanced knowledge, enhance technology creation and transfer, promote skills development and effective entrepreneurship, and inculcate a responsible and democratic attitude, thereby contributing towards the development of the country at regional and national levels.
5	SN1	To be the leading university in teaching, learning, research, and community services by 2020.	To offer quality and effective education and training, producing skilled and ethical graduates, and undertaking problem-solving research
6	SN2	The university aspires to be the leading higher education institution, being a centre of excellence in education and research in the area of natural resources and cultural value utilisation for development.	To support the development endeavours of the people by facing persistent problems, through utilising natural resources and cultural values, through inculcating scientific knowledge and skills relevant to the country, and through assuring quality education

The mission and vision statements of the universities are reflected in the BSC measurement tool, which contains standardised indicators to review the performance results. To realise a university's vision, there are certain elements in the mission statement (such as research output, institutional capacity building, delivery of quality education, and continuous learning) that are used as means to achieve the stated strategic objectives of the HEI.

5.4 Qualitative data (interviews) presentation and analysis

Section 4.8.2 explains that the qualitative method is particularly suitable for studying the lived experience of people, including people's meanings and purposes. The main objective of the interviews was to examine research objective 1, namely "to review the prominent theories on performance management and PMSes at public universities in Ethiopia", and research objective 3, namely "to develop customised generic constituent elements of a BSC-based PMS that will ensure institutional effectiveness of public universities in Ethiopia". In this instance, the focus was on challenges that public universities in general experience when implementing their PMSes. Team Leader, MoE Admin Officer 1, and MoE Admin Officer 2 shared their experiences and knowledge regarding the PMS implementation processes and practices. The interview data is discussed and analysed in the following paragraphs.

1. The responses of the interviewees to the question of how they evaluated the effectiveness of PMSes to ensure implementation practices in public institutions in general and public universities in particular are reported briefly below:

   MoE Admin Officer1 responded to the above question by saying "Yes, the entire reform process of the ministry is starting with developing a plan at the ministry level and forward to the universities to prepare their own plan based on the reform implementation manual". He explained that the process has three stages, namely preparation, implementation, and evaluation. He believed that overall, PMS implementation is going well. He said that the ministry 's office did an evaluation of the PMS implementation of each university every quarter, by calling together all the staff and giving feedback in a face-to-face meeting.

   Team Leader responded that the universities have their own five-year strategic plans, and that they evaluate their performance against the stated objectives and targets. He explained that the universities started PMS implementation some five years ago, and that they develop five-year strategic plans and measure these through the BSC measurement tool. He said this tool helps them to evaluate at all levels (i.e. institutional and individual levels).

   MoE Admin Officer 2 confirmed that PMS implementation is effective so far, as compared to the period of the pre-reform years, and that changes have been brought about through the results-oriented, the BPR and the BSC performance measurement tools. He explained that in the case of the BSC, employees enter into performance agreements, where they have targets that have to be achieved within a given period, and where their performance is measured against the agreed standards. This interviewee believed that PMS implementation

was effective in this regard. He added that the education sector is required to bring about the following changes through PMSes:

(a) effective educational resource utilisation, which "ensures accessibility to education for all"; (b) to "ensure fairness"; (c) to realise relevance, by "ensuring equity"; and (d) to "realise and ensure quality education".

He maintained that when you compare this with the pre-reform period, PMS implementation is effective, or, at least, it is starting to ensure accountability. He argued that it is a good start, but that the system of PMSes is still in its infancy. One can conclude from the above interview responses that PMSes are implemented at all the sample universities, and that the state of implementation is good, but that implementation requires sustained effort for the PMS to be well grounded as an operational tool. Generally, the effectiveness of the PMS to ensure institutional success is quite promising.

2. To the question of whether the universities were successful in linking their strategic objectives with the PMS plan, MoE Admin Officer 1 responded that "the universities have linked their PMS plan with the strategic objectives, because the PMS plan helps them in attaining their strategic targets". He explained that the PMS plan helps them to achieve their targets "[s]ince the plan is time-bounded and have quantified targets against which performance results are measured".

   Team Leader commented as follows regarding the BSC: "BSC has three steps. First, [it] helps to design strategic plan. Second, it [the BSC] helps to measure the performance. Third, [it] uses to have effective communication among the different organs of the institution. Therefore, I think the PMS plan is linked with their strategic plans." Although it is clear that Team Leader understands the crux of HEIs' PMSes, his reasoning can be questioned, since the fact that the PMS plan must be linked to the institution's strategic plan does not mean that it is, in fact, linked. However, the response of MoE Admin Officer 2 confirmed that the strategic objectives of the universities were linked with their PMS plans, and that the MoE has evidence of this. He explained that first the MoE develops its strategic plan, cascading it down from the national plan, and it then sends this strategic plan to the universities to develop their own plan. He said that implementation may vary from one university to another, but on the question of whether the universities' strategic objectives were linked with their PMS plan, he responded that they were. About half of the survey respondents and all the interviewees confirmed that their universities' PMS plans were linked with their strategic objectives. However, the reservations of the remaining half of the survey

respondents suggest the need for universities to do more to align their PMSes with their strategic objectives. In order to effectively manage performance, institutions first need to link their strategic plans with their PMSes.

3. On the question of the design of measurement variables, MoE Admin Officer 1 responded that the PMS is considered a key task, and that the other activities are taken as major tasks. He said that the leadership of the university then evaluates their weaknesses and strengths in terms of performance results, in order to share their experiences with others.

   Team Leader contended that the measurement variables are intended to evaluate the institution's performance in general and the achievement of individuals in particular in different variables, but that they should be compatible with each other, so that they exhibit the contributions of the individual to the achievement of the whole, namely institutional targets.

   MoE Admin Officer 2 suggested that the measurement variables were derived from the institution's strategic plan, because this is a means to the attainment of objectives and targets. He stated that he believed that it is better to design according to university's generation and international practices.

4. Another question that the interviewees were asked was about the extent to which they believed the universities have clear and results-based skills-development systems. MoE Admin Officer 1 responded that "even though it has some limitations, yes, they have [a] clear development system, which selects their employees for various development packages based on service years and performance achievements". He said, however, that he believed there was the potential for discrimination, and that sometimes selections of employees for participation in various skills-development systems were made based on informal relationships, nepotism, or inefficient criteria, which make the skills-development system biased or questionable and the PMS subjective.

   Team Leader responded that "the universities have the development systems to solve their employees' skills gaps and improve the quantity of professionals", but that "they did not use it properly". He said he doubted whether the universities keep to their strategic plans. The fact that he expressed doubt suggests that there is a compliance gap in implementation of the HEIs' development systems.

   MoE Admin Officer 2 said "Yes, the universities have their HR requirement and HR development demand in different fields of study", but he believed there was a problem in the

selection of individuals for specific training and development programmes. He felt that although the universities have HR development systems in place to train and capacitate their employees, implementation lacks transparency, which goes against the PMS principle that accountability and responsibility is required in the selection process. From this revelation, we can see that there are cases where training opportunities, which are meant to improve performance of employees, are wasted because of mal-practices in the selection of employees.

5. On the question of whether the universities have clear and results-based reward systems, the responses were as follows:

   MoE Admin Officer 1expressed the belief that there is a problem in the selection criteria to select the best performers for rewards.

   Team Leader said that the universities do not have clear and results-based reward manuals, but that they use the government's guidelines regarding holding meetings, conducting evaluation by committees, and deciding on incentive packages.

   MoE Admin Officer 2 said "it has not been in place", "there is no uniform reward system at the universities", and "[s]ome universities provide scholarship or incentives as a reward to their employees, but others did not".

   One can conclude from the above responses that there is no consistent and uniform reward system in place to reward best performers.

6. The interviewees were also asked whether they believe that the leadership and management of the universities have sufficient knowledge of the Civil Service Results-oriented System Implementation Directive to manage their universities' PMSes.

   Both MoE Admin Officer 1 and MoE Admin Officer 2 responded that the leadership and management of the universities have sufficient knowledge of the Civil Service Results-oriented System Implementation Directive. MoE Admin Officer 1 commented that "[i]t is not lack of knowledge, but it is a low commitment to exercise the directive in practice that is actually observed in some university leaders". Team Leader contended that in implementing any kind of change or reform, the main players are the leadership. To the question of whether the MoE arranges information or training sessions on PMSes for the leadership of the universities, MoE Admin Officer 1 responded that he could not recall that training had been arranged for the leadership of the universities on PMSes. Rather, the ministry forwards a

brief note on how the universities should implement PMSes, and an evaluation session about their performance is held every quarter.

MoE Admin Officer 2 said that the ministry had arranged a training programme for the university leaders on implementation of PMSes. He said that the ministry had instructed the universities to establish a reform administration directorate to follow up on the progress that HEIs are making with implementation of PMSes.

Team Leader responded that he did not recall that the ministry had arranged training on PMS implementation for university leaders. Although training is important to improve performers' ability, the MoE did not create enabling conditions for the university leaders to implement PMSes.

7. To the question of whether the university involved stakeholders in planning of performance evaluation, MoE Admin Officer 1 responded as follows: "The universities tried to select their stakeholders. For sure, they did. They called it 'stakeholders' wing' and involve them in their planning period."

   Team Leader commented that "theoretically, they believed that stakeholders should be involved in the planning stage of institutions, but in practice the arena shows that the stakeholders were not involved".

   MoE Admin Officer 2 said that the universities selected their stakeholders and tried to involve them in the planning of performance evaluation to review the measurement tools. However, Team Leader differed from the officers in that he did not confirm that the stakeholders have participated in the universities' planning and assessment of performance measurement indicators, which is a good practice to make the PMS effective. Because the employees did not participate in these sessions, the MoE administration officers had a different opinion from that of the team leader.

8. The interviewees were asked about what problems they observed or took from the PMS implementation and awareness creation for employees.

   MoE Admin Officer 1 said that employees considered the reform as a political mission, but these reform instruments are pure science in bringing about important changes in institutional performances. Similarly, Team Leader saw the introduction of PMSes as a political manoeuvre, in that they were initiated by the MoE, and not by the individual universities. MoE Admin Officer 1 speculated that forces that are external to academics are pushing the universities. By contrast, MoE Admin Officer 2 said "Yes, [PMS] relates

responsibility and accountability, and that minimises dropout of students [and] enhances teamwork and team spirit in the universities".

9. Regarding problems that the universities encountered during PMS implementation, MoE Admin Officer 1 had no comment in response to this question, while Team Leader responded as follows: "Since the reform is new, people fear to [sic] change. Some like it, while the others are doubtful on the implementation." He observed that the university communities are perceived to be negatively inclined towards the reform.

   The problems that he observed were the following:

   - Budgeting problems; and
   - In line with the university's policy, the leadership rejects academic research proposals that have a low value for national development, which is not well-received by the researchers.

   Team Leader's opinion was that "most of the time, reform agendas are driven from the top (the government), and are often assumed as a political imposition upon them". Some of the problems he pointed out were the following:

   - Low knowledge and skills to train others;
   - Structural problems; and
   - Budgeting problems.

   MoE Admin Officer 2 stated the problems as follows:

   - The reward system is not linked to the PMS;
   - Insufficient human resources;
   - Financial resource constraints; and
   - High employee turnover.

   The abovementioned problems were identified by all the interviewees. They agreed that the reform is something that has been watered down, and that has been imposed on them to implement, without them being willing to implement it, and that this affects implementation of the PMS at any university.

10. Another question that was asked was whether the leadership of the universities was well aware of the reform mandate or not.

    MoE Admin Officer 1 believed that the leadership of the universities was somehow aware of the reform mandate. Team Leader agreed that the leadership of the universities was aware of the reform mandate, but he felt that the problem was willingness and commitment

to implement the reform. He maintained that the leadership of the universities do not fully accept the system, and neither do they propose an alternative.

MoE Admin Officer 2 suggested that there is no awareness problem among the leadership of the universities, but that the problem is high turnover among the management. He explained that some leaders are new to the position and lack the knowledge to drive and implement the reform. The background data presented in section 4.6.2.5 showed that around 50% of the management are very young and new to the post. Regarding their educational level, 17% of the management are first-degree holders; this may affect the understanding of the management of the PMS reform. The other problem identified was low commitment to accept and implement the reform.

11. The question of whether or not the BSC can be implemented in the public universities was intended to explore the validity of the BSC measurement tool for HEIs.

    All three interviewees believed that the BSC tool could work, even in public universities. Since the BSC was developed to measure tasks, there is no task that is not measurable, so the BSC can do this effectively. What the interviewees agreed on here is that the BSC variables (initiatives) should be adapted and customised for the education sector. In this regard, the BSC-based PMS can contribute to the effectiveness of the HEIs' performance and can help to ensure institutional success.

12. The last question that the interviewees were asked was whether the PMSes and the BSC allowed flexibility, freedom, and autonomy for the universities, and less government control. Both administration officers agreed that this reform provides the employees with decision-making freedom when they perform their tasks, while Team Leader responded that implementing reforms could enhance the institutions' effectiveness, even though the employees complained about the extra workload that they have to shoulder as a result. The above discussion shows that the PMS is important in realising employees' freedom in their work, and it creates accountability for underperformance.

5.5 Conclusion to the chapter

In this chapter, the current laws and policies regulating the PMSes of HEIs in Ethiopia were presented, and the responses of interview participants were analysed. HEIs in Ethiopia are indeed engaging themselves in a dynamic change to restructure their processes, and the system of PMSes is supported by viable directives and proclamations. The directives are helping to

ensure and enhance responsibility and accountability. The laws and policies regulating PMSes at public universities explain the performance evaluation methods and standards for the HEIs.

The government of the Federal Democratic Republic of Ethiopia has adopted laws to regulate PMSes in the public universities. The quantitative data is presented and analysed in the following chapter.

CHAPTER 6
QUANTITATIVE DATA PRESENTATION AND ANALYSIS

6.1 Introduction

In this chapter, the data gathered from the respondents of six public universities in Ethiopia are presented and analysed. The purpose of including quantitative data in the study is to respond to the secondary research question, namely "What is the relationship between the current PMS practices and challenges and promotion of institutional success at the selected universities?", and to examine the hypothesis formulated below:

> H_0: There is no relation between current PMS practices and challenges and institutional success.

The hypothesis test results established the existence of relation between current PMS practices and challenges and institutional success. Thus, the researcher wanted to examine the direction and extent of the relation existing between these variables and executed the quantitative data analysis under the sub-headings "Exploratory analysis" (cf. section 6.2) and "Advanced analysis" (cf. section 6.3). The quantitative data was analysed with the SPSS version 22 software, by means of the technique of descriptive analysis. The respondents were asked to use a five-point Likert scale (where 1 = strongly agree, 2 = agree, 3 = neutral, 4 = disagree, and 5 = strongly disagree) to rate their level of agreement on each item of the questionnaire. Here the point of 3.0, which is neutral, was assumed as the hypothesised mean, for the purposes of analysis. If the percentage score of respondents was greater than the mean value, it was marked as agreement. If the percentage score of respondents was lower than the hypothesised mean, which is neutral, it can be assumed that respondents disagreed with the statement.

6.2 Exploratory analysis

The researcher first composed frequency tables of responses to subsets of questions that describe a specific concept, because these questions jointly contribute towards explaining a specific aspect of PMSes. Furthermore, by presenting the results of initial analysis to all questionnaire questions as a couple of composite one-way frequency tables (the 12 aspects of PMSes), the researcher was able to form an overview of how participants in general perceive each PMS concept. The composite one-way frequency tables were arranged in such a way that the last row of each table reports the total frequency of responses for the agreement level of all questionnaire items in a particular subset. Once the general perception or opinion of

participants was determined in this way, research was done to further investigate "each question's" response pattern individually and to determine whether participants perceived all questions on this aspect in the same way, or whether some issues were perceived differently.

Table 6.1: Composite one-way frequency table for benefits of PMSes

No.	Item	1. Agree++	2. Agree	3. Undecided	4. Disagree	5. Disagree++	Row total
1	A PMS provides employees opportunities to improve their work performance	129 28.3	172 37.7	60 13.2	54 11.8	41 9	456
2	It ensures that all employees are treated equitably	127 27.8	149 32.7	82 18	57 12.5	41 9	456
3	It allows for managers to share their experiences with their employees	126 27.6	160 35.2	59 12.9	58 12.7	53 11.6	456
4	It allows for employees to be coached on their performance	60 13.2	188 41.2	83 18.2	84 18.4	41 9	456
5	It allows for performance to be measured against agreed targets	66 14.5	144 31.6	116 25.4	87 19.1	43 9.4	456
6	It allows for a continuous and ongoing assessment process	67 14.7	212 46.5	90 19.7	53 11.6	34 7.5	456
7	I believe the performance management system is inclusive and effective to measure the overall performance of the university	65 14.3	143 31.4	94 20.6	89 19.5	65 14.2	456
8	I believe the existing BSC measurement tool is effective	58 12.7	122 26.7	123 27.0	87 19.1	66 14.5	456
	Total	698 19.1	1,290 35.4	707 19.4	569 15.6	384 10.5	3,648

Table 6.1 above illustrates the perceptions of the respondents on the benefits of PMSes. The responses to questions 1 to 8 were largely positive as 54.5% of the respondents agreed and strongly agreed on the benefits of PMSes. The negative, or disagreement, responses were 26.1%, and the remaining 19.4% of the respondents were undecided. As was stated before, the positive response evidences promising effectiveness of PMSes at the sample universities in that particular aspect although the results concerning effectiveness of the universities' PMSes are

not fully conclusive. This shows that the variable of benefits of PMSes is a sound principle for effective implementation of PMSes.

The percentages of ratings for the effectiveness of the PMS measurement tool are presented above (in Table 6.1) on the first item, namely that the employee respondents have had opportunities to improve their work performance. In this case, about 66% of the respondents agreed and strongly agreed, while 13.2% were undecided, and 20.8% disagreed and strongly disagreed. On the question of equitable treatment of employees, 60.6% were agreement and strong agreement responses. The results suggest that the PMS is a promising, but still improvement-requiring, measurement tool to ensure equitable treatment of employees and provision of opportunities to improve performance of public universities.

Experience sharing among colleagues was an item on which the respondents showed an agreement level of 62%. Based on this, it can be concluded that the PMSes features that allow experience-sharing among employees can help managers to share experiences with their employees. Experience-sharing can be promoted through teamwork and periodic discussion.

On the item dealing with the coaching of employees, about 54% of the respondents agreed. About 46% of the respondents expressed agreement with the item that states that the measurement system is aligned with the agreed indicators. With 54% of the respondents not agreeing on whether the measurement system was aligned with the agreed indicators, the PMSes in the public universities still need to do much more towards effective coaching of employees and alignment of the measurement system with individual and institutional objectives.

The statement that a PMS allows for an ongoing and continuous assessment process was agreed with and strongly agreed with by 61.2% of the respondents. Therefore, although the neutral and the disagreement scores were 19.7% and 19.1%, respectively, the highest number of responses was on the side of agreement. The results thus showed that the PMS is an ongoing and continuous process in assessing performance.

Regarding inclusiveness of the performance management system and its effectiveness in measuring the overall performance of the university, the responses on the agreement side were 45.7%, followed by disagreement responses and neutral responses of 33.8% and 20.6%, respectively. More than half of the respondents doubted inclusivity and effectiveness of the PMSes in measuring all the activities of the university. Therefore, it can be inferred that the

managers need to strive to make their institutional PMSes more inclusive, comprehensive and effective performance management tools.

On the item of whether the existing BSC measurement tool is better than the previous measurement tools, the respondents showed an agreement level of 39.5%. The benefits of the BSC measurement tool were confirmed by a larger proportion of the respondents. This suggests that the existing BSC measurement tool is generally promising in measuring performance in a better way than the previous measurement tools, but it needs improvement.

Table 6.2: Managers and employees set individual performance objectives jointly

No.	Item	1. Agree++	2. Agree	3. Undecided	4. Disagree	5. Disagree++	Row total
9	The university has linked its organisational objectives with individual objectives and key result areas	52 11.4	173 37.9	90 19.7	86 18.9	55 12.1	456
10	The university has properly defined its goals	104 22.8	161 35.3	66 14.5	80 17.5	45 9.9	456
11	The university gives staff the opportunity to participate in the decision-making of performance measurement standards	50 11.1	128 28.1	124 27.2	84 18.4	69 15.2	455
12	The university's performance management strategy is clearly defined and understandable	45 9.9	164 36	114 25	89 19.5	44 9.6	456
13	The university has prioritised its critical objectives	57 12.6	153 33.6	103 22.6	97 21.3	45 9.9	455
14	Opportunities are created for employees to participate in PMS planning	31 6.8	120 26.4	125 27.4	132 28.9	48 10.5	456
	Total	339 12.4	899 32.9	622 22.8	568 20.8	306 11.2	2,734

Table 6.2 above contains a presentation of the results to items 9 to 14 dealing with performance objectives. It is evident that 45.3% of respondents agreed and strongly agreed on the items, while 32% disagreed and strongly disagreed, and 22.8% were neutral. The results thus reveal that the managers and the employees set their individual performance objectives jointly.

Although the responses of the larger proportion of the respondents are positive, the finding is inconclusive to say that the principle of reaching agreement on individual PM objectives is a sound principle for measuring the effectiveness of PMSes.

The respondents agreed that the university has linked its organisational objectives with individual objectives and key result areas. One principle of PMS is integrating institutional and individual objectives in order to meet an institution's strategic plan. In this case, 49.3% indicated that they agreed and strongly agreed. Almost half of the respondents confirmed that they agree on the item that individual and organisational objectives have been linked in their universities. The fact that 32% and 22.8% indicated disagreement and neutrality, respectively, can be taken to indicate that there is a need for improvement.

On the item of whether the university has properly defined its goals, the respondents showed an agreement level of 58.1%. The highest number of respondents thus agreed that their university has properly defined goals. Of the remainder, 27.4% disagreed, and 14.5% were neutral. An effective PMS dictates that organisations must define their strategic goals properly and precisely. Properly defined goals can thus be taken to be essential to the effective implementation of PMSes.

The respondents' level of agreement on the item relating to involvement in deciding performance measurement standards also paints a positive picture regarding the effectiveness of PMSes. About 39.2% agreed, which is slightly higher than the proportion that disagreed, namely 33.6%, and the remaining 27.2% had a neutral position. Generally, then, employees' participation in deciding performance measurement standards was not at the required level. These results show that there is a clear problem in employee involvement in formulation of performance measurement standards, which can hamper ownership, implementation and effectiveness of the PMSes.

Regarding whether the university's performance management strategy is clearly defined and understandable, 45.9% of the respondents were of the opinion that their university's PM strategy is indeed clearly defined and understandable. About 29% disagreed, and 25% were undecided. Though almost half of respondents (46%) agreed on the item, the universities thus have a problem in this regard, because they required to explicitly defined performance management strategy, which is essential for an effective PMS.

With regard to whether the university has prioritised its critical objectives, 46.1% expressed that they agree, while 31.2% disagreed, and 22.6% were unsure. This shows that the

universities have tried to prioritise their critical objectives when developing their annual plans. Prioritising activities is one aspect of PMSes, thus the respondents generally are sure that their respective universities have started to prioritise their tasks in line with their strategic objectives, which can contribute to the effective implementation of PMSes.

With regard to participation in the planning cycle of the PMSes, the results were divergent. While 33.1% of the respondents believed that employees are included in the planning process, the highest number of respondents (39.4%) disagreed. The remaining 27.4% of respondents were unsure. Although the principle allows employee involvement in planning, they (employees) were not participating. It can thus be inferred that the universities do not create opportunities for their employees to participate in plan preparation, which is an important starting point for effective implementation of PMSes.

Table 6.3: Composite one-way frequency table for the PM measurement process

No.	Item	1.Agree++	2.Agree	3. Undecided	4. Disagree	5.Disagree++	Row total
15	In the university, there is common understanding of the set of measurement standards/indicators	66 14.5	176 38.6	104 22.8	71 15.6	39 8.6	456
16	Measurement variables are well defined for all performance indicators	45 9.9	170 37.3	114 25	102 22.4	25 5.5	456
17	The results are accurately interpreted	34 7.5	140 30.7	146 32	109 23.9	27 5.9	456
18	The measurement tool is able to measure fairly and equitably	35 7.7	138 30.3	148 32.5	101 22.1	34 7.4	456
19	There is common understanding of the performance measurement process of the university	46 10.3	129 28.3	110 24.1	112 24.6	58 12.7	455
	Total	226 9.9	753 33	622 27.3	495 21.7	183 6.9	2,279

Table 6.3 illustrates the results of items pertaining to the PM measurement process. There are five items included in the set (q15–19). On almost all the items, the response was generally positive. This indicates that these are sound and effectively principles for measuring

performance. Even though, the total agreement responses were 42.9%, which is a bit higher than the other responses, the disagreement (28.6%) and "undecided" (27.3%) responses exceed the agreement. One can infer from this that the measurement process is important for effective implementation of PMSes, but current practices require improvement.

On the issue of understanding of measurement standards and/or indicators, the level of agreement was 53.1%, the level of disagreement was 14.2%, and the level of undecidedness was 22.8%. This shows that most respondents agreed on the issue that the measurement indicators of PMSes in the university are clear and understandable. Thus, clear indicators for the performance management system are important for effective measurement, which promotes institutional success.

The next statement on the questionnaire was that measurement variables are well defined for all performance indicators (item 16). On this item, 47.2% of the respondents agreed, while 27.9% disagreed, and 25% were undecided. This shows that measurement variables still need improvement in their definition since well-defined and measurable performance indicators help employees to know and plan their tasks.

Regarding the item of whether the measurement results are accurately interpreted by supervisors, 32% of the respondents were neutral on the issue, although a higher percentage of the respondents, that is 38.2%, indicated that they believe that supervisors interpret the results accurately. However, 29.8% disagreed. These respondents' scepticism will impact on their buy-in into their institutions' PMSes and negative effect the effective implementation of these systems.

About 38% of the respondents confirmed that the measurement tool can measure fairly and equitably. However, 32.5% were undecided, while 29.6% disagreed on the issue. Although the agreement score is slightly greater than the disagreement score, it is similar to the neutral score. This suggests that the fairness and equitability of the measurement tool are questioned and that would hamper the effective implementation of the PMSes.

Respondents were asked whether they were satisfied with the performance measurement process. The results reveal an agreement level of 38%. While 37.3% of respondents showed disagreement, 24.1% were neutral. The narrow difference between scores suggests that employees are not satisfied with the performance measurement process of their university, which may explain why respondents question the effectiveness of the PMS as a measurement tool.

Table 6.4: Composite one-way frequency table for the evaluation system

No.	Item	1.Agree++	2.Agree	3.Undecided	4.Disagree	5.Disagree++	Row total
20	Performance evaluation is done continuously rather than periodically	108 23.6	152 33.3	71 15.6	86 18.9	39 8.6	456
21	The university reviews the operational activities periodically	62 13.6	165 36.4	83 18.2	102 22.4	42 9.4	454
22	The university's continuous evaluation aims at improving performance	76 16.7	113 24.8	102 22.4	88 19.3	77 16.8	456
	Total	246 18.2	430 31.4	256 18.7	276 20.2	158 11.5	1,366

The questions presented in Table 6.4 (q20–22) consist of three items pertaining to the evaluation system of the university's PMS. The "agree" and "strongly agree" responses to this set of questions were 49.4% of the total responses, which suggests that the highest number of responses were positive on the issue, while 31.7% of the responses were disagreement responses, and 18.7% were neutral. Though the PMSes provide sound principles that help in evaluation of the performance of the university, the high degree of undecided and disagreement responses reveals problems in relation to the implementation. As previously indicated (in Table 6.1), if the measurement is inclusive and measures the overall performance of the university, the PMS can be regarded as an indicator of effectiveness.

Continuous evaluation is one aspect of PMSes. The agreement score on this item came to 61%. The remaining 27.5% and 13.5% were disagreement and "undecided" scores, respectively. Continuous evaluation is a characteristic of PMSes, and the respondents agreed and confirmed that the university uses its evaluation system in a continuous manner.

The item on whether there is periodic review of tasks was positively responded to by 49.8% of the respondents. The other 31.6% and 18.2% of responses were disagreement and "undecided" responses, respectively. In this case, the agreement and disagreement respondents accounted for 50-50 (equal half of the respondents); thus, it is difficult to confirm that evaluation is continuous, as mentioned in the above discussion.

The item that supervisors' continuous evaluation aims at improving performance was agreed on by 41.5% of the respondents, while 36.2% disagreed, and 22.4% were undecided. The results show that according to two-fifths of the respondents, continuous evaluation could help to improve employees' performance in their assignments; but more than 50% of the respondents doubt whether that is currently the case.

Table 6.5: Composite one-way frequency table for evaluation feedback

No.	Item	1.Agree++	2.Agree	3.Undecided	4.Disagree	5.Disagree++	Row total
23	A discussion session is held after every evaluation period	46 10.1	122 26.8	103 22.6	117 25.7	68 14.9	456
24	I discuss my performance achievement with my supervisor	67 14.7	143 31.4	96 21.1	90 19.7	60 13.2	456
25	Feedback is linked to previous performance results	59 12.9	143 31.4	118 25.9	93 20.4	43 9.4	456
26	Feedback is given honestly without personal judgement	54 11.8	162 35.5	100 21.9	93 20.4	47 10.3	456
27	Feedback is based on facts	57 12.5	146 32	110 24.1	79 17.3	64 14	456
28	Each review period is followed by a planning session, where short- and long-term planning is done	59 12.9	156 34.2	114 25	73 16	54 11.8	456
29	There is no general dissatisfaction with the feedback provided	48 10.5	130 28.5	118 25.9	105 23	55 12.1	456
	Total	390 12.2	1,002 31.4	759 23.7	650 20.3	391 12.2	3,192

Regarding items 23 to 29, which focus on evaluation feedback, 43.6% of the respondents agreed on this issue. Of the remainder, 32.5% disagreed, and 23.7% were neutral. The highest number of respondents thus positioned themselves on the agreement side. However, more than half of the respondents were either undecided or disagreed on the soundness of the concept or principle for measuring the effectiveness of PMSes. On the item of whether the university has a session for discussion after every evaluation period, the responses were divergent, as 40.6% of the respondents disagreed and strongly disagreed, while 22.6% of the respondents were undecided. Only 36.9% agreed on the issue. Feedback is very important for performers'

achievement, and the universities should have a planned session with their employees for feedback after every evaluation period. Not giving feedback after performance measurement hampers effective implementation of the PMS.

For the item of whether respondents feel free when they discuss their performance achievement with their supervisor, 46.1% of the respondents said that they feel free when they discuss their performance achievement with their supervisor, 21% were undecided, and 32.9% strongly disagreed and disagreed. Thus, it is difficult to conclusively say that there are no problems with regard to supervisor-employee discussions about performance achievement and feedback.

Regarding whether feedback is linked to previous performance results, most respondents agreed, as indicated by the score of 34.3%. Of the remainder, 29.8% disagreed, and 25.9% were undecided. Although one can conclude that feedback is regarded as important for effective PMSes, the percentage of respondents that disagreed and were undecided suggests that giving feedback after performance measurement is not common practice in the participating HEIs.

Honest feedback helps to rectify errors committed during job execution, which, in turn, maximises the effectiveness of the performance measurement of the university and its performance success. On the issue of whether feedback is honest and free of personal judgement of the supervisor, 47.3% of the respondents agreed that it is free of personal judgement. By contrast, 30.7% and 21.9% disagreed and were undecided, respectively. So, the results are inconclusive as to whether performance feedback served to employees is honest and free of personal judgement of the supervisor.

Relatedly, although highest number of respondents (44.5%) confirmed that feedback is based on facts, that was doubted by more than fifty per cent of the respondents. The result suggests the dire need for further improvement. When feedback is based on facts, it improves the trust between the supervisor and the employee during the evaluation and feedback period.

With regard to whether the management of the university has a planning session with the staff after a review period, 47.1% of the respondents agreed, 27.8% disagreed, and 25% of the respondents were undecided that the result again implies that the universities need to institutionalise more earnest planning and “way forward” sessions after every review period.

The item on the level of satisfaction with the feedback provided by the supervisor yielded close scores in terms of agreement and disagreement. About 39% of the respondents agreed, 35.1%

disagreed, and 25.9% were undecided. Even though the approach of providing feedback is seemingly good, it requires improvement to lead to employees' satisfaction.

Table 6.6: Composite one-way frequency table for the university's staff development system

No.	Item	1.Agree++	2.Agree	3.Undecided	4.Disagree	5.Disagree++	Row total
30	The university has a clear staff development policy	71 15.6	156 34.2	89 19.5	83 18.2	57 12.5	456
31	The university arranges skills and knowledge development programmes	49 10.7	154 33.8	94 20.6	102 22.4	56 12.3	455
32	The university uses review results to arrange (or inform) staff development	32 7.0	146 32.0	113 24.8	105 23.0	60 13.2	456
33	The university offers generic training on PMSes	24 5.3	121 26.5	118 25.9	130 28.5	63 14.9	456
34	PMS training forms part of the induction programme for new employees	64 14	143 31.4	85 18.6	95 20.8	68 14.9	455
35	The scholarship programme of the university is fair and equitable	49 10.8	103 22.6	98 21.5	121 26.6	84 18.4	455
36	The university's staff development system is inclusive of all staff	74 16.2	127 27.9	88 19.3	108 23.7	59 12.9	456
	Total	363 11.4	950 29.7	685 21.4	744 23.3	447 14.1	3,189

As Table 6.6 shows, items 30 to 36 focus on the university's staff development system. The scores of the respondents were 41.1% agreement, 37.4% disagreement, and 21.4% "undecided". Because less than half of the responses (41.1%) were positive, it cannot be concluded that the universities have staff development systems as part of their PMSes.

It is evident from the results presented above that the highest number of respondents (49.8%) indicated that their university has a clear staff development policy, while 30.7% disagreed on the issue, and the rest (19.5%) were undecided. Since systems are put in place in terms of policies and in light of the fact that less respondents indicated that their institutions have staff development systems than those who indicated that their institutions have staff development policies, one can question the effectiveness of the implementation of such policies. The systems required for policy implementation mayare thus not in place.

The highest percentage of responses (44.5%) show agreement on the issue that the university arranges skills and knowledge development programmes. Of the remaining responses, 34.7% and 20.6% were disagreement responses and "undecided" responses, respectively. It can thus be inferred that the sample universities have developed their staff to capacitate themselves with knowledge and skills, as well as abilities, according to the university's development plan, but development programmes are not regarded as sufficient.

Respondents were asked whether the university uses review results for staff development purposes. There was a narrow difference between the agreement (39%) and the disagreement (36.2%) scores, and a significant number of respondents (24.8%) were undecided. It is evident from the respondents' responses that performance results are not used for staff development purposes. That can contribute to lack of fairness in selection of staff for further staff development.

On the item of whether the university offers generic training on PMSes, 43.4% of respondents disagreed that the university offers generic training on PMSes. The remaining 31.8% and 25.9% of respondents agreed and were undecided, respectively, on the issue.

Most of the respondents agreed, as suggested by the score of 45.4%, that the university has a PMS training programme for their new employees as part of the induction programme. However, a sizeable number of the respondents (35.7%) disagreed, which suggests that perceptions on this issue are mixed. Almost a fifth of the respondents (18.6%) were unsure about whether their university has a PMS training programme as part of the induction programme for their new employees.

Respondents were asked to indicate whether the scholarship programme of their university is fair and equitable. The respondents did not agree that the scholarship programme is fair and equitable, given the disagreement score of 45%. Only 33.4% agreed that the scholarship programme of their university is fair and equitable, and almost a quarter of the respondents (21.5%) gave "undecided" responses.

Regarding being satisfied that their university's staff development system is inclusive of all staff, 44.1% of the respondents expressed satisfaction with their university's development system, 36.6% disagreed that they were satisfied that their university's development system is inclusive, and 19.3% were undecided. Therefore, the universities' staff development systems need improvement towards more inclusivity.

Table 6.7: Composite one-way frequency table for the university's communication system

No.	Item	1.Agree++	2.Agree	3.Undecided	4.Disagree	5.Disagree++	Row total
37	The university regularly communicates with the staff about the PMS	31 6.8	111 24.3	91 20	158 34.6	64 14	455
38	The university gives recognition to the best performers	48 10.5	87 19.1	114 25	137 30	69 15.1	455
39	The university's communication on its PMS is constructive and positive	28 6.1	125 27.4	140 30.7	111 24.3	52 11.4	456
40	The channel of communication is clear	37 8.1	118 25.9	101 22.1	131 28.7	69 15.1	456
41	I appreciate the communication system of the university	35 7.7	91 20	106 23.2	148 32.5	76 16.7	456
	Total	179 7.8	532 23.3	552 24.2	685 30	330 14.5	2,278

The above five items (37 to 41) in Table 6.7 deal with the university's communication system. The highest number of respondents disagreed on this issue, as suggested by the disagreement score of 44.5%, while 31.1% agreed, and 24.2% were neutral. Thus, the universities' communication systems are not regarded as effective in communicating the information required to effectively implement their PMSes.

According to 48.6% of the respondents, the university does not regularly communicate with its staff about the PMS. Those who agreed were 31.1%, while those who were undecided were about 20%. The responses thus show that there is a lack of regular communication between the management and the employees. This may show that the communication systems of the universities are not effective.

On the issue that the university acknowledges its best performers publicly, 45.1% disagreed and held the view that the university does not acknowledge its best performers publicly. Only 29.6% agreed on this issue (see Table 6.7). Lack of public recognition of good performance affects transparency and may hamper employees' motivation to maximise their efforts towards attainment of the university's objective(s).

On whether the university's communication on its PMS is constructive and positive, 35.7% of respondents disagreed. The remaining 33.5% agreed, while 30.7% were undecided. This

suggests that the universities' communication on their PMSes are not constructive and positive. In order to provide feedback on employees' performance, communication must be constructive and positive. Otherwise, employees may be dissatisfied with their leaders' manner and approach of communicating.

Regarding whether the university's channel of communication is clear, 43.8% of the respondents disagreed, while 22.1% were neutral. Only 34% agreed, which suggests that most of the respondents feel that clarity in communication is lacking in their university.

Respondents were asked whether they appreciate the communication system of their university. Most respondents disagreed on the issue (49.2%), while 23.2% were undecided, which suggests that there is a need for improvement in this regard. As can be seen from the above data, the communication systems of the universities are not effective, and this could hamper the creation of common understanding and the possibility of harmonised actions towards achieving the objectives of the universities.

Table 6.8: Composite one-way table for the university's reward system

No.	Item	1.Agree++	2.Agree	3.Undecided	4.Disagree	5.Disagree++	Row total
42	The university has a clear procedure to promote excellence	45 9.9	128 28.1	102 22.4	122 26.8	59 12.9	456
43	The university's PMS places emphasis on accountability	36 7.9	124 27.2	149 32.7	101 22.1	46 10.1	455
44	The reward system of the university inspires employees to better performance	37 8.1	78 17.1	117 25.7	151 33.2	72 15.8	456
45	The reward system is communicated to all performers	38 8.3	92 20.2	114 25	137 30	75 16.4	456
46	The reward system is clearly linked to the PMS	46 10.1	68 14.9	131 28.7	131 28.7	80 17.5	456
47	I am satisfied with the reward system of the university	34 7.5	68 14.9	123 27	144 31.6	87 19.1	456
	Total	236 8.6	558 20.4	736 26.9	786 28.7	419 15.3	2,735

Table 6.8 above contains six items (42 to 47) on the reward system of the university's PMS. In general, 44% of the respondents expressed their disagreement on and negative perception of the reward system of their university's PMS. If employees are not satisfied with the reward

system of their university, performance may be poor, and outcomes may be moderate, at best. This can hamper institutional success.

The first item posed was whether the university has a clear procedure to reward excellence. On this item, the respondents showed a disagreement score of 39.7%, while 22.4% were undecided. Only 38% of the respondents agreed that there is a procedure in place at their university to reward excellence. Absence of a reward system can affect the transparency and accountability of PMSes.

On the item of whether the university's PMSes place emphasis on accountability, though, the highest number of respondents (35.1%) confirmed that their institution's PMSes place emphasis on accountability, they need improvement on this element. The remaining 32.2% and 32.7% were disagreement responses and "undecided" responses, respectively.

Respondents were asked whether their university's reward system inspires employees to better performance. Most respondents did not agree (49%), while a good number of them (25.7%) were undecided. Since the universities do not have a clear procedure for rewarding excellence, employees may not be inspired to exert maximum effort towards achievement of the university's objectives. This may affect the effectiveness of the entire PMS, as well as institutional success.

Respondents were asked whether the university communicates its reward system to all performers. The responses show that 46% disagreed, while 25% were undecided. Only 28.5% agreed, which suggests that the universities' reward systems are not well communicated. These results are concerning, because communicating information on the reward system to all performers enhances employee involvement and is one of the critical requirements for proper implementation of a PMS.

Regarding the university's reward system linkage to PMS, most respondents disagreed (46.5%) or were neutral (28.7%). Thus, it can be inferred that the universities' reward systems are not fair and free from bias. It can be concluded, then, that the universities' reward systems are generally not linked to their PMSes in order to motivate best performance in the university.

Respondents were not satisfied with the existing reward systems of their respective universities. The scores of respondents were 50.7% disagreement, 27% neutral, and 22.4% agreement. This is likely to lead to dissatisfaction and under-engagement among employees.

Table 6.9: Composite one-way frequency table for the PMS Directive

No.	Item	1.Agree++	2.Agree	3.Undecided	4.Disagree	5.Disagree++	Row total
48	The PMS Directive is well communicated to all	41 9.0	124 27.2	116 25.4	131 28.7	44 9.6	456
49	The university leadership and management are well informed regarding the directive	40 8.8	122 26.8	115 25.2	113 24.8	65 14.3	455
50	The directive has clearly stated the responsibility and accountability of the leadership and the performers	27 5.9	144 31.6	125 27.4	100 21.9	58 12.7	454
51	The directive was issued with the participation of the stakeholders	30 6.6	126 27.6	127 27.9	123 27	50 11	456
52	The university leadership and management are well aware of the reform mandate	42 9.2	121 26.5	138 30.3	101 22.1	54 11.8	456
53	I believe that the introduction of the PMS and the BSC has allowed more academic freedom and autonomy, because it minimises government control	32 7.0	105 23	133 29.2	109 23.9	77 16.9	456
54	I am very clear on the PMS Directive	26 5.7	112 24.6	125 27.4	129 28.3	64 14	456
	Total	238 7.4	854 26.8	879 27.5	806 25.2	412 12.9	3,189

The data presented in Table 6.9 show responses on seven items (48 to 54) regarding the PMS Directive. The responses were 34.2% agreement, 38.1% disagreement, and 27.5% neutral. This implies that the highest numbers of respondents either disagreed with or were not confident in their knowledge of the directive regulating PMS implementation. This could hamper effectiveness of the directive.

On whether the university communicates the PMS Directive to all, 38.3% of the respondents disagreed and 25.4% were neutral on whether the PMS Directive is communicated adequately to all employees. This may hinder employees from having a clear understanding of the PMS Directive. Only 36.2% agreed on the issue, which is not a satisfactory indicator of effective communication.

A related issue is whether the university's leadership and management are well informed regarding the PMS Directive. The respondents did not believe that they are sufficiently informed regarding the directive. The results were 39.1% disagreement and 25.2% neutral positions. Only 35.6% of the total responses showed agreement on the item that the university's

leadership and management are well aware of the PMS Directive. If the university leaders do not have sufficient knowledge on the PMS Directive, then implementation failure is a likely outcome.

On whether the responsibility and accountability of the university's leadership and the performers are clearly stated in the PMS Directive, 37.5% of the respondents showed agreement, while 34.6% disagreed, and the remaining 27.4% were undecided. The responsibility and accountability of the university's leadership and the performers are clearly spelled out in the PMS Directive and the fact that not all the respondents are unaware of this fact, indicates a lack of knowledge of the content of the PMS Directive.

A related issue is whether the PMS Directive was issued with the participation of the stakeholders. It would seem that the stakeholders did not participate, as is evident from the disagreement score of 38% and the "undecided" score of 27.9%. A total of 34.2% of the respondents believed that the stakeholders had been involved. These results are concerning, as stakeholder involvement is important to improve the directive and ensure the principle of participation, yet the universities are not effectively involving stakeholders.

The respondents were uncertain about whether their university's leadership and management are well aware of the reform mandate. Only 35.7% of the respondents agreed that their university's leadership and management are well aware of the reform mandate. The other respondents disagreed (33.9%) and were undecided (30.3%). Generally, then, the respondents disagreed that their university's leadership and management are well aware of the reform mandate. This finding suggests that there is an urgent need to make the leadership of universities aware of the reform mandate, to enable them to properly implement the reform mandate in their university.

On the issue of whether the introduction of the PMS Directive and the BSC has allowed more academic freedom and autonomy, the response was 40.8% disagreement, while 29.2% were undecided. The general position of the respondents on this issue was thus disagreement. This could suggest that employees see the PMS as something that has been imposed on them. If this is the case, they are unlikely to buy into the system.

On the question of whether respondents are clear on the PMS Directive, most disagreed (42.3%), while 27.4% were undecided. This implies that respondents are not sufficiently clear on the Directive. One can argue that since the university leaders themselves are not well aware of the PMS Directive, the likelihood that their subordinates will be informed is highly unlikely.

Table 6.10: Composite one-way table for problems hampering PMS implementation

No.	Item	1. Agree++	2. Agree	3. Undecided	4. Disagree	5. Disagree++	Row total
55	Low commitment of the leadership and management to implement the PMS in the university	82 18.0	169 37.1	88 19.3	85 18.6	32 7.0	456
56	Limited participation of employees in the decision-making process	85 18.6	138 30.3	101 22.1	87 19.1	45 9.9	456
57	Negative perceptions of the leaders' and managers' management style for developing and implementing the PMS	73 16.0	117 25.7	118 25.9	106 23.2	42 9.2	456
58	The leadership and managers do not have the required skills and knowledge to effectively implement the PMS	68 14.9	159 32.9	112 24.6	96 21.1	21 4.6	456
59	The absence of standardised and clear PM indicators	92 20.2	127 27.9	116 25.4	81 17.8	40 8.8	456
60	Lack of a results-based motivational system	94 20.6	158 34.6	85 18.6	77 16.9	42 9.2	456
61	Absence of communication between the leadership and the performers	96 21.1	140 30.7	94 20.6	67 14.7	59 12.9	456
62	Academic employees regard PM as an attack on their professionalism	54 11.8	135 29.6	119 26.1	101 22.1	47 10.3	456
63	Resource allocation by the government to the universities is sufficient	93 20.4	145 31.8	77 16.9	103 22.6	38 8.3	456
	Total	737 17.9	1,288 31.2	910 22.1	803 17	366 8.9	4,104

Table 6.10 above presents results on nine items (55 to 63) related to the problems that hamper PMS implementation. As the results reveal, 49.1% of the respondents agreed that there are factors hampering implementation of the PMS in their university. Those who disagreed and were undecided were 25.9% and 22.1%, respectively. The greatest proportion of respondents thus agreed that there are problems hampering implementation of the PMS in their university.

One of the problems hampering PMS implementation in the sample universities is low commitment of the leadership and management. To the question of whether there was low commitment by the leadership and management, 55.1% respondents agreed, 25.6% disagreed, and 19.3% were undecided. One can conclude that implementation problems may occur due to the universities' leadership and management being unwilling to convert their plans into

practice. This can affect the success of the universities in terms of discharging their teaching, research and community services.

Most respondents (48.9%) confirmed limited participation of employees in the decision-making process. The other 29% and 22.1% disagreed and were undecided, respectively. Low participation of performers could result in low motivation to work towards achievement of the university's objectives, because employee participation helps to create common understanding and ownership.

Another challenge hampering PMS implementation is employees' negative perceptions of their leaders and managers. Respondents generally agreed that this is a challenge, in that the agreement score was 41.7%, while the proportion of respondents that were neutral was 25.9%. Only 32.4% of the respondents disagreed that such perceptions have hampered the implementation of the PMS in their university. The highest number of respondents thus agreed that the perception of employees regarding their leaders and managers is negative, and that this hampers implementation of the PMS. Employees were not confident that their leaders and managers were able to implement the PMS in a transparent and accountable manner.

The skills and knowledge of PMS in performance evaluation is a serious issue, which was confirmed by the respondents, in that 47.8% agreed that the leaders and managers of their university do not have the required skills and knowledge to implement the PMS. The remaining 25.7% and 24.6% disagreed and were undecided, respectively. The respondents thus recognised the lack of their leaders' skills and knowledge in performance management system. This could be a serious problem in considering the PMS effectively and objectively.

Another challenge hampering PMS implementation in the universities is the absence of standardised and clear PM indicators. The respondents agreed (48.1%) that there is a lack of clear and standardised performance management indicators in their university. Only 26.6% disagreed, and 25.4% were undecided. As is evident from the scores, the majority of the respondents recognised the challenge that their university does not have clear and standardised PM indicators. This will hamper effective implementation of the PMS.

PMS implementation can also be affected by the lack of a results-based motivational system. Accordingly, 55.2% of the respondents agreed that there was no such system in their university to motivate best performance. The absence of a results-based motivational system can affect not only the best performers, but also other employees who follow the achievers. This could hamper the effectiveness of the university's PMS implementation.

Another barrier that influenced PMS implementation in the universities was a lack of communication between the leaders and the performers. The majority of respondents (51.8%) agreed that there is a lack of communication between the leaders and the performers. The remaining 27.6% and 20.6% disagreed and were undecided, respectively, on the issue. The fact that there is no clear communication between the leaders and the employees can affect their common understanding of the university's objectives and related issues.

The respondents believed that PM disregards their professional identity, as evidenced by the fact that 41.4% agreed on this item. Of the remainder, 32.4% and 26.1% disagreed and were undecided, respectively. It can thus be inferred that employees feel that the PMS reform has been imposed on them as a political agenda, rather than as a scientific performance management instrument. Such a perception can affect the effectiveness of PMS implementation.

It was also believed that academic employees regard PM as an attack on their professionalism (i.e. their standing as professionals). The responses of 49.1% agreement, 25.9% disagreement, and 22.1% "undecided" clearly indicate this situation. The results show that the highest number of respondents agreed on the problem that PM is an attack on their professionalism.

Inadequate allocation of state funding to public universities was not indicated as a challenge that negatively affects PMS implementation. Some of the respondents believed that the budget was not sufficient to cover their working capital and provide the necessary materials. However, 52.2% of the respondents agreed with the statement that resource allocation by the government to the universities is sufficient. Only 30.9% disagreed, and 16.9% of the respondents were undecided.

Table 6.11: Composite one-way table for the university's mission and vision statements

No.	Item	1.Agree++	2.Agree	3.Undecided	4.Disagree	5.Disagree ++	Row total
64	I believe that all the employees understand the university's vision and mission statements	65 14.3	152 33.3	86 18.9	114 25	39 8.6	456
65	Individual objectives are linked to the university's PM strategy	63 13.8	119 26.1	112 24.6	86 18.9	75 16.4	455
66	The university leadership and management pay more attention to strategic objectives than to daily routine activities	64 14.0	115 25.2	93 20.4	108 23.7	76 16.7	456
67	The university's mission and vision statements are well articulated	86 18.9	153 33.6	98 21.5	76 16.7	43 9.4	456
	Total	278 15.2	539 29.6	389 21.3	384 21	233 12.8	1,823

The items (64 to 67) about the university's mission and vision statements are presented in Table 6.11. While 44.8% of respondents agreed on the issue, 33.8% disagreed, and 21.3% were undecided. Therefore, most of the responses were inclined towards agreement. This implies that the principle is sound and positive to PMS implementation.

Respondents were asked whether all the employees understand the mission and vision statements of their university. The respondents confirmed that they understand their university's mission and vision statements, given the agreement score of 47.6%. Disagreement and "undecided" scores were 33.6% and 18.9%, respectively. If one understands one's institution's mission and vision statements, one will know what is expected of one. It is thus positive that the employees understand the mission and vision statements of their university, as it will make them maximise their endeavours towards achievement of the university's objectives. However, given that a third of the respondents disagreed, one can infer that a substantial number of employees' lack understanding of their institution's vision and mission statements. In light of the significant role that vision and mission statements play in PMSes, one can argue that this will hamper effective implementation of their institution's PMS.

The next item deals with whether individual objectives are linked to the university's PM strategy. Of the respondents, 39.9% agreed on this issue. Of the remainder, 35.3% disagreed,

and 24.6% were undecided. Even though, alignment of individual objectives with the university's PM strategy contributes to the effectiveness of PMS implementation and institutional success, the result revealed that the alignment is yet to be created.

On the item of whether the university's leadership and management pay more attention to strategic objectives than to daily routine activities, the highest percentage of respondents (40.4%) showed disagreement, while 39.2% of them agreed. The rest (20.4%) were undecided. This shows that the university leaders spend most of their time on routine activities, which will affect the leaders' strategic thinking.

Regarding whether the university's mission and vision statements are well articulated, respondents agreed that they are. The results were 52.5% agreement, 26.1% disagreement, and 21.5% "undecided" responses. This suggests that the universities' mission and vision statements are sufficiently well articulated.

Table 6.12: Composite one-way frequency table for stakeholder involvement

No.	Item	1.Very often	2.Often	3.No idea	4.Sometimes	5.Not at all	Row total
68	I know that the university acknowledges its stakeholders regularly	45 9.9	148 32.5	113 24.8	102 22.4	48 10.5	456
69	I have observed that there is periodic discussion with stakeholders	40 8.8	138 30.3	114 25	118 25.9	46 10.1	456
70	I believe that involving stakeholders is essential for the success of the university	137 30	116 25.4	79 17.3	72 15.8	52 11.4	456
71	I am satisfied with the stakeholder involvement	58 12.7	128 28.1	106 23.2	86 18.9	78 17.1	456
72	I am satisfied with the involvement that academic personnel are allowed in performance management processes	45 9.9	76 16.7	112 24.6	152 33.3	71 15.6	456
	Total	325 14.2	606 26.6	524 23	530 23.3	295 12.9	2,280

Table 6.12 above provides data on the involvement of stakeholders in PMS implementation in the sample universities. Items 68 to 72 focus on stakeholder involvement in PMS implementation in the university. The largest proportion of respondents (i.e. 40.8%) confirmed that stakeholder involvement is very important in PMS implementation in the university, 36.2% disagreed, and 23% were undecided.

As indicated in Table 6.12, on item 68, 42.4% of the respondents agreed that their university acknowledges its stakeholders regularly. Although 32.9% disagreed and 24.8% were neutral, the largest proportion of respondents agreed on the issue that stakeholder involvement is an important requirement for an effective PMS and institutional success.

With regard to the frequency of discussion with stakeholders, the scores were 39.1% agreement, 36% disagreement, and 25% "undecided", respectively. The results thus reveal that the universities need to have frequent discussion with their stakeholders.

Regarding the importance of involving stakeholders for the success of the university, the respondents generally believed that involving stakeholders is important for the success of the university. Of the respondents, 55.4% agreed, while 27.2% disagreed, and 17.3% were undecided. Thus, the largest proportion of respondents believed that stakeholder involvement is very important for effective PMS implementation and institutional success.

Regarding satisfaction with the involvement that academic personnel are allowed in performance management processes, 48.9% of the respondents disagreed with this particular item that they are satisfied with the involvement that academic personnel are allowed in PM processes in their university. Of the remainder, 40% were satisfied with the involvement of academic personnel in their university's PM processes. It is clear that academic personnel have no opportunity to be involved in the performance management processes of the universities.

6.3 Advanced analysis

This section presents the results of the advanced statistical analysis. The tables in this section focus on the fourth objective of the study, namely to Determine the relationship between the current PMS practices and challenges and promotion of institutional success at the selected universities.

To conduct the advanced analysis, a one-way analysis of variance (ANOVA) was employed to compare the significant effect of the sample universities based on their age category for the 12 PMS variables. The one-way ANOVA was used to analyse the age group, the education level and the work experience of respondents for the 12 PMS variables in the sample universities. In addition to this, a t-test analysis was employed to compare the effect of management and employee respondents on the 12 PMS variables.

The researcher only used the tables to show the significance level of the analysis, by omitting the variables that have no significant difference. Results of the one-way ANOVA analysis are presented first, followed by results of the t-test analysis.

The examination by age group (i.e. 20–30 years old, 31–40 years old, 41–50 years old, and 50+years old) was conducted on the 12 variables of PMSes, to determine whether there were significant differences or not. The results generated by the one-way ANOVA are presented in Table 6.13.

Table 6.13: Respondents by age group

Item	Age group	R-squared	F-value	N	Descriptive statistics		Post-hoc (sign.)
					Mean	SD	
Problems hampering PMS implementation	20–30 years	2.9	4.511	285	2.6164	0.8400	0.004

The only significant difference was observed between the age groups of 20–30 years old and 41–50 years old for the item of problems hampering implementation of PMSes in the respondents' university (p=0.004), using the post-hoc test. In this regard, the interpretation is that the younger respondents were less aware of the problems faced in PMS implementation than the older respondents (41–50 years old). However, for the other age groups of respondents compared using the post-hoc test, there were no significant differences between the age groups for the 12 PMS variables. A significant difference was confirmed by the Bonferroni R-squared test (R^2=2.9%) in the age group of 20–30 years old, which yielded a higher percentage than the other age groups on the item. A comparison of the respondents' education level is presented in Table 6.14.

Table 6.14: Respondents' education level

The results were regarded as significant at P<0.05, P<0.01, and P<0.001.

Item	Education level	R-squared	F-value	N	Descriptive statistics		Post-hoc (sign.)
					Mean	SD	
Evaluation system	BA/BSc VS PhD	3.9	9.115	172	2.6880	1.1715	0.000
Evaluation feedback	BA/BSc VS PhD	1.9	4.295	172	2.7832	1.0476	0.015
Development system	BA/BSc VS PhD BA/BScVS MA/MSc	2.3	5.222	172	2.9601 2.9873	1.0323 1.0138	0.004 0.005
Reward system	BA/BScVS MA/MSc	1.5	3.477	172	3.0581	1.0598	0.027
PMS Directive	BA/BSc VS PhD BA/BScVS MA/MSc	4.8	11.304	172	2.9003 3.2044	0.8892 0.9478	0.003 0.012

Table 6.14 above shows that a significant difference was observed between the first-degree holders and the PhD graduates on the item that states that the evaluation system is continuous and improves their performance (p=0.000), where the first-degree holders had a higher mean of 2.6880. Significant differences between undergraduate respondents and second-degree holders and PhD holders were also observed on the items related to evaluation feedback, development system, reward system, and PMS Directive. The respective p-values (p=0.015, p=0.004, p=0.027, and p=0.003) and mean scores (2.7832, 2.9601, 3.0581, and 2.9003) support this finding. The results show that the undergraduates are not satisfied with the implementation of the evaluation system, evaluation feedback, the development system, the reward system, and the PMS Directive. There was also a significant difference between undergraduates and second-degree holders on the items of development system and the PMS Directive, as suggested by the p-values (p=0.005 and p=0.012, respectively) and the mean values (2.9873 and 3.2048, respectively). The above analysis tells us that PhD holders have less of a problem with the development system of their institutions and the PMS Directive than the BA/BSc holders and the MA/MSc holders.

Significant differences were also observed using the Bonferroni test on the items of evaluation system, evaluation feedback, development system, reward system, and PMS Directive, where the first-degree holders scored higher percentages (i.e. R^2=3.9, R^2=1.9, R^2=2.3, R^2=1.5, and R^2=4.8) than the second-degree holders and the third-degree holders. There was also a significant difference between the second-degree holders and the PhD graduates on items related to development system and PMS Directive (R^2=2.3 andR^2=4.8, respectively). The BA/BSc graduates and the MA/MSc graduates did not agree on the issues. Table 6.15 below presents the respondents' work experience in relation to the variables of PMSes.

Table 6.15:Respondents' work experience

P<0.05, P<0.01, and P<0.001. If the P-value is less than 0.05, it indicates a significant difference.

Item	Years of experience	R-squared	F-value	N	Descriptive statistics		Post-hoc (sign.)
					Mean	SD	
Benefits of PMSes	0–3	11.5	9.681	42	2.0060	0.6379	0.000
	3+			41	2.1921	0.7516	
	0–5			226	2.6416	0.8260	
	6–10			90	2.8139	0.8215	
	11–15			32	3.0352	0.9403	
	16–20			10	3.0875	0.6096	
	20+			15	3.1333	0.9813	
Performance objectives	<3	3.5	2.733	42	2.5873	0.6986	0.013
	3+			41	2.4878	1.0867	
	0–5			226	2.8739	0.9355	
	6–10			90	3.1241	1.3119	
	11–15			32	3.1094	0.9183	
	16–20			10	2.8500	1.1796	
	20+			15	3.0778	1.3196	
Measurement process	<3	5.9	4.710	42	2.4476	0.6286	0.000
	3+			41	2.5073	0.7630	
	0–5			226	2.8248	1.0730	
	6–10			90	3.0778	0.8724	
	11–15			32	3.2438	0.8139	
	16–20			10	3.2000	1.1623	
	20+			15	3.3333	1.0075	

Evaluation system	<3	2.9	2.260	42	2.2460	0.6028	0.027
	3+			41	2.4309	0.8636	
	0–5			226	2.8319	1.5059	
	6–10			90	3.1074	2.2025	
	11–15			32	3.1146	1.1627	
	16–20			10	2.8667	0.9711	
	20+			15	3.1333	1.0141	
Evaluation feedback	<3	6.8	5.475	42	2.4830	0.6897	0.000
	3+			41	2.4739	0.8234	
	0–5			226	2.8559	1.0654	
	6–10			90	3.0841	0.9591	
	11–15			32	3.1786	0.7365	
	16–20			10	3.7714	0.7944	
	20+			15	3.3238	1.0979	
Development system	<3	2.9	2.241	42	2.5646	0.6998	0.038
	3+			41	2.8397	0.7916	
	0–5			226	3.0613	1.1040	
	6–10			90	2.9958	0.9213	
	11–15			32	3.3125	0.9603	
	16–20			10	3.2143	1.3166	
	20+			15	3.1524	1.2235	
PMS Directive	<3	2.9	2.270	42	2.7721	0.6991	0.036
	3+			41	3.0801	1.2067	
	0–5			226	3.0493	0.9321	
	6–10			90	3.3190	1.0392	
	11–15			32	3.3482	0.9363	
	16–20			10	3.4000	0.7760	
	20+			15	3.2571	0.9166	
Problems hampering PMS implementation	<3	5.7	4.536	42	2.7037	0.7633	0.000
	3+			41	2.8401	0.5879	
	0–5			226	2.6367	0.8454	
	6–10			90	2.5012	0.7602	
	11–15			32	3.1701	0.9499	
	16–20			10	3.1889	1.1222	
	20+			15	3.1556	0.6024	

Table 6.15 above reveals that significant differences were observed for the respondents' work experience on the eight items. These are benefits of PMSes, performance objectives,

measurement process, evaluation system, evaluation feedback, development system, the PMS Directive, and problems hampering implementation of the PMS.

On the item of benefits of PMSes, respondents with more than 11 years' work experience had mean scores of more than 3.00 and p-values of 0.000, which shows a significant difference. The results show that the more experienced respondents have a greater awareness of the benefits of PMSes than the less experienced respondents. This is most probably because the experienced respondents can compare the PMS with the previous performance management tools.

Significant differences were observed for the respondents with 6–10 years' experience, 11–15 years' experience and 20+ years' experience in their responses to the item dealing with employee involvement in the setting of performance objectives. The implication of this analysis is that respondents who have more than six years' experience are more aware of performance objectives and believe that managers and employees set performance objectives jointly. This means that the senior employees have a better understanding of the PMS than the junior employees.

The scored mean value is greater than 3.00, and the P-value is equal to 0.000. The analysis shows that respondents who have less experience, lack an understanding of the measurement process.

On the evaluation system of the PMS, significant differences (a mean value of greater than 3.00, and a P-value of 0.037) were observed for the respondents who have 6–10 years' experience, 11–15 years' experience and 20+ years' work experience. The interpretation is that when years of experience of the respondents' increase, understanding of the evaluation system also increases.

Another significant difference was observed on the item of evaluation feedback for the respondents with six-plus years' work experience, as they had mean scores greater than 3.00 and P-values of 0.000. This analysis indicates that the respondents' level of satisfaction with the existing feedback provision system of their supervisors increased with an increase in the years of service of their supervisors.

The respondents with more than 11 years of service showed a significant difference on the item of development system of the university, as they had mean values above 3.00 and P-values of 0.038. This shows that senior respondents are more satisfied with the development system of their university than junior respondents are. Except for the respondents with less than three

years' experience, all categories of respondents showed significant differences on the item of the PMS Directive.

The other item is problems hampering implementation of the PMS, which showed significant differences between the experience categories. The mean score was higher than the reference mean value of 3.00(P=0.000) for respondents who had served more than 11 years. The results tell us that the senior respondents were not strongly affected by problems in PMS implementation.

Using the Bonferroni results of all the eight items was denied by the respondents that scored 11.5% on the benefits of PMSes, while 3.5% of the respondents believed that the manager and the employees set performance objectives jointly.

The measurement processes and the evaluation systems of the sample universities were perceived unfavourably by 5.9% and 2.9% of respondents, respectively. Regarding feedback, 6.8% of respondents are not satisfied with the feedback they receive, and 2.9% confirmed that the sample universities' development systems are not inclusive and fair.

Regarding knowledge of the PMS Directive, the responses indicated that 2.9% of the respondents did not know about the Directive, while 5.7% of them were not aware of the problems encountered during PMS implementation.

Table 6.16: Age of the universities

P<0.05 is indicative of a significant difference.

Item	Type of universities	R-squared	df age (df error)	Mean	F statistic	Probability (F)
Benefits of PMSes	Average-age universities Established universities Newly established universities	2.6	2 (453)	4.356 (0.722)	6.037	0.003
Measurement process	Average-age universities Established universities Newly established universities	2.6	2 (453)	5.606 (0.945)	5.935	0.003
Evaluation system	Average-age universities Established universities Newly established universities	1.9	2 (453)	10.122 (2.347)	4.313	0.014
Development system	Average-age universities Established universities Newly established universities	1.6	2 (453)	3.738 (1.030)	3.631	0.027
PMS Directive	Average-age universities Established universities Newly established universities	1.7	2 (453)	3.685 (0.926)	3.979	0.019
Problems hampering PMS implementation	Average-age universities Established universities Newly established universities	2.4	2 (453)	3.792 (0.672)	5.639	0.004

Results of the post-hoc and the Bonferroni tests show significant differences between the newly established universities and the average-age universities on six items of the 12 variables.

Significant differences were observed on the items of benefits of PMSes and measurement process and evaluation system of the universities for all the three age categories of the universities (i.e. average-age universities, established universities, and newly established universities). In this regard, the established universities and the average-age universities agreed on the benefits of PMSes, the measurement process, and the evaluation system, as indicated by

the p-values (P=0.003, P=0.003, and P=0.014). This shows that performance of the new universities is constrained by lack of experienced staff members.

The older universities showed greater satisfaction with the development system than the newer universities (P=0.027, which is less than P=0.05). Regarding knowledge of the PMS Directive, there was a significant difference between the average-age universities and the newly established universities, in that the average-age universities were more knowledgeable about the PMS Directive than the new universities (P=0.019). 1.7% of the respondents were contributed to the result.

A significant difference was observed between the older universities and the new universities on the item of development system, in that the older universities had a higher mean value of 3.738 (P=0.027). This analysis shows that the development system of the older universities is more inclusive than that of the new universities.

There was a significant difference between the average-age universities and the newly established universities on the level of understanding of the PMS Directive, in that the average-age universities had a mean value of 3.685 (P=0.019). One can conclude from this analysis that the average-age universities are more clear on the PMS Directive than the newly established universities.

The item of problems hampering PMS implementation also showed significant differences between the newly established universities, the average-age universities, and the older universities (mean value=3.792, P=0.004). The analysis indicates that the average-age universities and the established universities recognise the problems that are hampering PMS implementation in the university.

The t-test comparison analysis for the management and the employee respondents is discussed in the following paragraphs (see Table 6.17 below).

Table 6.17: Management and employee respondents

The result indicates a significant difference if P<0.05.

Item	Respondent type	t-test	F statistic	N	Mean	SD	Post-hoc(sign.)
Benefits of PMSes	Management Employee	−7.337	4.682	82 374	2.0945 2.7477	0.7020 0.8459	0.031
Measurement process	Management Employee	−5.136	7.693	82 374	2.4732 2.9519	0.6974 1.0150	0.006
Evaluation system	Management Employee	−5.023	8.440	82 374	2.3374 2.9340	0.7490 1.6487	0.004
Evaluation feedback	Management Employee	−4.960	19.756	82 374	2.4895 2.9782	0.7519 1.0256	0.000
Development system	Management Employee	−3.825	12.347	82 374	2.6934 3.0754	0.7566 1.0581	0.000
Reward system	Management Employee	−0.344	12.429	82 374	3.1890 3.2234	0.7575 1.0565	0.000
Problems hampering PMS implementation	Management Employee	0.899	5.229	82 374	2.7656 2.6869	0.6840 0.8569	0.023
Stakeholder involvement	Management Employee	−1.567	5.184	82 374	2.7610 2.9107	0.7446 0.9399	0.023

The responses of the management and the employee respondents were examined and compared by means of a t-test analysis, using the significance score of P<0.05 and the mean values to compare responses. On the item of benefits of PMSes, the employee respondents believed that the PMS is effective, as their mean value (2.7477) was higher than the mean value of the management respondents (2.0945). This shows a significant difference (P=0.031), because the point of significance is less than the cut-off point (0.05).

A significant difference was observed on common understanding of the measurement process (P=0.006). The employee respondents believed that they have a clear understanding of the measurement process, as suggested by the mean value (2.9519). This analysis tells us that the management respondents' understanding of the PMS measurement process is not as clear as the employee respondents' understanding.

Another significant difference that was observed was on the evaluation system of the university (P=0.004, which is less than P=0.05). The employee respondents agreed, with a mean value of 2.9340, that the evaluation system is continuous and can help them to improve their performance.

Responses to the item of feedback provision showed a significant difference, at the p-value of P=0.000. The employee respondents did not confirm that feedback is linked to previous performance results and that it is free of supervisors' personal judgement. The result was significant, as the mean value of the employee respondents (2.9782) is greater than the mean value of the management respondents (2.4895).

A significant difference of P=0.000was observed for the item of development system of the university. The mean value of the employee respondents (3.0754) is higher than the mean value of the management respondents (2.6934). This shows that employees do not believe that the development system of their university is inclusive and fair. A significant difference was also observed on the reward system of the university, with P=0.000. This shows that the employees were not satisfied with the university's reward system, given the mean value (3.2234). On the item of problems that hamper implementation of the PMS in the university, a significant difference was also observed (P=0.023). The employee respondents scored 2.6869, which is less than the mean value of the management respondents (2.7656). The scores show that the management respondents give more emphasis to the problems hampering implementation of the PMS than the employee respondents do.

Another area of significant difference was stakeholder involvement in the performance measurement of the university (P=0.023). In this regard, the employee respondents believed that stakeholder involvement is important, as their mean score (2.9107) is higher than that of the management respondents (2.7610).

6.4 Conclusion to the chapter

This chapter contains a presentation of quantitative data to answer the research question "What is the relationship between the current PMS practices and challenges and promotion of institutional success at the selected universities?" In addition, the researcher used questionnaires to establish the state of PMS implementation in the sampled public universities in Ethiopia. Quantitative survey data from both the university management and the employees were collected and analysed, and they revealed some problems that have occurred during PMS implementation. These findings are briefly discussed in section 7.2. Some of the findings

identified are the fact that employees are not involved in planning development of the PMS, that there is low commitment from leaders, and that there is a lack of clear reward systems in place in the universities. A discussion and interpretation of the data sets gathered through both the qualitative and the quantitative instruments is presented in chapter 7.

CHAPTER 7
DATA INTERPRETATION

7.1 Introduction

In this chapter, a discussion and interpretation of the qualitative and quantitative data sets is presented. It is aimed at explaining and making sense of the data analysed and presented in chapters 5 and 6.

7.2 Interpretation of analysed data

In this stage, the results of both the qualitative and the quantitative datasets were mixed, by combining the findings of the two datasets. The two datasets were combined by "qualitising" the quantitatively analysed data, and they are thus interpreted together with the qualitatively analysed data by changing the statistics into words.

To recapitulate, the responses to the various items were indicative of whether a specific item was

- A little more than half of the respondents gave a positive response to an item regarding the importance of PMS for Ethiopian public institutions, and
- PMSes were not effectively implemented, or there were specific challenges with regard to that item in the participating universities.

In this chapter, these results are considered together with the qualitative data.

Issue 1: Benefits of PMSes

The responses of the respondents to the items regarding the effectiveness of the PMS measurement tool were largely positive (cf. item 1 in Table 6.1). The agreement scores of the management and the employee respondents, the different age groups, the different categories of work experience, and the respondents of the three types of universities are greater than the disagreement and the "undecided" scores, showing promising benefits of PMSes, and thus the importance of PMS implementation. Sharing experiences among the employees is another important element to increase teamwork and knowledge of the PMS, and it can result ineffective PMS implementation.

There is a high level of respondent agreement that the measurement system is in line with the agreed indicators, and that the PMS process is ongoing and continuous (cf. Table 6.1). One can infer from this discussion that the PMS indicators and the PMS process are based on principles that should be continuous, and that the PMS should have indicators that were stated and agreed

upon beforehand. Though the respondents believed that the existing BSC measurement tool is better than the previous measurement tools, it still needs further improvement. As stated in section 3.3, development of an HEI's strategic plan and effective implementation thereof is dependent upon its PMS. The universities have implemented and used PMSes effectively to manage their performance, through using continuous and ongoing assessment, setting standardised indicators, and promoting teamwork by sharing their experiences. Therefore, one can conclude from the above analysis that PMSes have been implemented. One can infer that PMSes are beneficial to the individual and/or the institution, and that benefits are an essential element for an effective PMS, and ultimately for institutional success. However, the PMSes require improvement to become more effective than the previous measurement tools.

Regarding PMS benefits, it was also suggested by MoE Admin 2 that PMS implementation was more effective during the post-reform years compared to the period of the pre-reform years. As stated in the literature review, effective resource utilisation can ensure accessibility for all fairness, equity, and quality of education (cf. section 5.3).

Issue 2: Managers and employees set individual performance objectives jointly

On the issue of whether the university has linked individual objectives with organisational objectives (cf. Table 6.2), more percentage of the respondents agreed on the link while another significant proportion were adamant about it; suggesting that the issue needs more work. As mentioned in the literature review (cf. section 3.3.1), by helping organisational members to participate in the organisation's planning process, managers could make informed decisions when specifying performance indicators.

Regarding the item on whether the universities involve staff in deciding on performance measurement standards (cf. Table 6.2), the agreement score is similar to the disagreement score, suggesting that the findings respondents were not conclusive. Half of the employee respondents were doubtful about whether the management of the university involve their employees in the decision-making of performance measurement standards. In this case, the likelihood is high that the employees will take the PMSes as something that has been imposed on them. Successful implementation of a PMS without employee ownership is unthinkable.

Larger percentage pf the respondents agreed that the university's performance management strategy is clearly defined and understandable. Both the management and the employee respondents also confirmed that the universities have started to prioritise its critical objectives (cf. section 5.3).

The literature review showed the importance of employee participation in planning, in enhancing teamwork, and in understanding the institution's objectives (cf. section 3.3.1). Table 6.2 contains the responses with regard to whether the university makes provision for employee participation. From those responses, we can conclude that the universities did not give employees the opportunity to participate in developing their PMS plans. Teamwork and understanding of the university's objectives are thus hampered instead of being enhanced, a situation which may result in a lack of shared understanding of and commitment to PMS implementation.

The interviewees agreed that PMS plans must be linked with the universities' strategic objectives (cf. section 5.3). For instance, MoE Admin Officer 1 responded that the universities have linked their PMSes plans with the strategic objectives, because the PMS plan helps them in attaining their strategic targets. Involving employees in PMS planning helps to improve their performance. As alluded to in the literature review, a shared understanding of the institutional goals is important in that it enables employees and all performers to understand what is expected of them to achieve common goals (cf. section 3.3.1).

Issue 3: PMS measurement process

Regarding the performance measurement process (cf. Table 6.3), respondents were asked whether they understand the set of measurement standards, whether the measurement variables are well defined for all performance indicators, whether the measurement results are accurately interpreted by the supervisors, and whether the measurement tool can measure fairly and equitably. Respondents agreed in the case of all four of the above items as promising, but improvement-needing, as the agreement score was higher than the disagreement and the neutral scores. Although the respondents agreed on the above items, they differed on the item of whether they were satisfied with the performance measurement process. The employees' level of effort was compromised by the lack of a shared understanding of the entire performance measurement process. A PMS requires understanding of and clarity on the strategic objectives of the university. As discussed in the literature review section of this thesis, knowing the entire performance measurement process requires developing strategies and objectives, and taking action to improve performance based on the insights provided by the performance measurement (cf. section 3.4.3). A shared understanding of the entire performance measurement process is thus lacking among employees in the sampled Ethiopian public universities.

Regarding the measurement variables, the interviewees indicated that they (the variables) are clear and understandable to all performers (cf. section 5.3). The team leader, for instance, suggested that the objectives and targets are intended to evaluate the institution's performance in general and individual achievement in particular in different measurement variables, but that they should be compatible with each other, so that they exhibit the contributions of the individual to the achievement of institutional targets.

As mentioned in the literature review, measuring performance is an effort geared towards measuring institutional effectiveness with regard to meeting specific targets or objectives of a particular project (cf. section 3.4.3).

Issue 4: Evaluation system

Larger proportions of respondents from all the three types of sample universities agreed that performance evaluation has been continuous, rather than periodic. However, the established and the average-age universities have a better understanding of the PMS evaluation system than the newly established universities. This can most probably contribute to lack of the necessary knowledge, experience and commitment among managers and supervisors of the newly established universities for them to use the PMS effectively. This contention was supported by data on the educational level and work experience of the management and the employee respondents. For example, it was evident that first-degree holders and less experienced respondents required further knowledge on the PMS evaluation system than respondents who held master's degrees or higher and those with more experience. Overall, the PMS evaluation system is important and effective.

Issue 5: Evaluation feedback

The respondents were asked about overall evaluation feedback (cf. Table 6.5). The employee respondents indicated that they did not have a feedback session for discussion after every evaluation period. Not arranging a feedback session for discussion after every evaluation period will affect the performers' future results, because they (the employees) may repeat the same error if they do not get proper feedback on their previous performance results. This implies that the feedback system of the university has shown certain problems for the employees.

Where such feedback sessions do take place, large percentage of the respondents indicated that they feel at ease when they discuss their performance achievement with their supervisor, and that feedback is linked to previous performance results (cf. Table 6.5). The respondents agreed that feedback is honest and free of personal judgement of the supervisor. However, another

significant proportion of the respondents disagreed on the item. Thus, it can be concluded from the analysis that feedback is not usually based on facts and is substantiated by the supervisor's personal judgement. This is not a good principle, which can result in effective use of the PMS (cf. section 6.1). Hence, the respondents agreed that there is a good start of providing fact-based feedback from supervisors to employees but it demands much improvement.

The employee respondents were actually not satisfied with the feedback they receive from their supervisor (cf. Table 6.5). For as long as this perception among employees remains unaddressed, it will have a significant negative impact on PMS effectiveness. As stated in the literature review (cf. section 3.3.4), feedback helps employees to know their goal attainment, perform as plan, take corrective measures, and learn lessons.

On the issue of whether, after a review period, the management of the university has a session with the staff to discuss the plan for the next quarter or longer, a higher proportion of the respondents agreed (cf. Table 6.5). They also showed that the feedback of the management of the universities is planned and is based on facts, which is in line with PMS principles.

Issue 6: Staff development system of the university

As indicated in the literature review section, the training and development policy should be put in writing in order to harness and provide an effective mechanism for structuring and governing the training and development function of the institution (cf. section 3.3.5). Larger percentage of the respondents responded positively to items on the university's staff development system (cf. Table 6.6). They agreed that their universities have a clear staff development policy that arranges skills and knowledge development programmes for employees.

However, according to the respondents, the university did not use review results to inform staff members' development plans. The literature review confirms the idea that staff development is a whole range of planned activities by which education personnel in active service have opportunities to further their education and develop their understanding of educational principles and techniques (cf. section 3.3.5).

Respondents did not agree on whether their university offers adequate training on PMSes (cf. Table 6.6). It can thus be concluded that respondents do not fully understand how to implement a PMS effectively. On the item of whether PMS training forms part of the induction programme for new employees, a large number of the respondents showed agreement (cf. Table 6.6). A large proportion of the respondents agreed that induction training is given to new employees in order to create common understanding of PMS implementation among all the employees.

This is a very important and good practice observed in the sample universities, and it also contributes to the effectiveness of the PMS.

Respondents indicated their universities have staff development system. In section 5.3, the interviewees confirmed that the universities have clear development systems, but they expressed doubts about whether they are effectively implemented. MoE Admin Officer 1said that even though they have some limitations, the universities have clear development systems, which select their employees for various development packages based on the number of years of service and performance achievement. However, he said he believed that the development systems have the potential for discrimination, as sometimes selections are made based on informal relationships or inadequate selection criteria, which make the development systems somewhat unfair. This view was confirmed by the quantitative data, as respondents indicated that they do not regard their university's scholarship programme as being fair and equitable (cf. Table 6.6). The discussion above tells us that there is dissatisfaction with regard to the selection of employees. That dissatisfaction was confirmed by the responses of the junior employees and the newly established universities that the PMS may lack fairness and inclusiveness in demand assessment.

Issue 7: Communication system

The respondents indicated that they are not satisfied with the existing communication system of the university (cf. Table 6.7). This is contrary to the principle that communication serves to connect leaders and employees in their daily activities and makes it possible for management and employees to arrive at an understanding of what will be done, how it will be done, how it is progressing towards the desired results, and whether performance has been achieved in line with the agreed plan (cf. section 2.5.6).

In this regard, respondents confirmed that there is lack of public recognition for good performance, which could affect the basic principles of transparency and accountability of the PMS. Ineffective communication may hamper employees' motivation, which will reduce their effort towards the achievement of institutional objectives. Thus, the respondents agreed that the universities do not acknowledge best performance. In addition, communication is not constructive and positive. From the above discussion, one can conclude that the communication systems of the universities are not a constituent element of an effective PMS. This needs improvement.

Issue 8: Reward system

The respondents disagreed that the university has a clear procedure to reward excellence, but they agreed that the university's PMS places emphasis on accountability (cf. Table 6.8). Thus, it can be concluded that procedure to reward excellence is either missing or is not made clear to the employees.

The respondents did not agree on whether their universities' reward systems are fair and unbiased. The junior employees agreed that they are not happy with the reward systems of the universities. That perception of employees may negatively impact the performance and effectiveness of the universities. The above discussion is supported by the quantitative results in Table 6.8, in that the majority of respondents were not satisfied with the existing reward system of the university. From this, one can draw the conclusion that the reward systems of the universities are not functioning satisfactorily, and that they are not accountable. As discussed in the literature review, performance measurement should entail accountability by rewarding successful performers for past achievement, in order to motivate others to be encouraged and improve their performance (cf. section 3.3.6).

Merit-based reward packages can motivate employees to stay longer in an organisation, and they can promote employee productivity (cf. section 3.3.6). This was confirmed by MoE Admin Officer 2, who responded that the universities did not have a uniform reward package compiled and endorsed by the MoE reward-procedure manual to motivate their employees (cf. section 5.3). The team leader said that the universities do not have clear and results-based reward manuals, but that they use the government's incentive packages, by holding meetings and conducting evaluation by committees. This shows that poor reward systems area problem in public higher education in Ethiopia. This requires improvement.

Issue 9: PMS Directive

The respondents disagreed on whether the PMS Directive is well communicated and properly understood by all employees (cf. Table 6.9). This can ultimately hamper employees' performance and the university's effectiveness.

Respondents agreed that the responsibility and accountability of both the leaders and the employees are clearly spelt out in the Civil Service Results-oriented System Implementation Directive (CSRSID). The Directive states the responsibility and accountability of the leaders and the employees (cf. section 5.2). Regarding stakeholder participation, respondents did not agree, but they agreed that the leaders are aware of the reform mandate. The CSRSID stipulates

the responsibilities of employees so that they can be clear on their obligations and be informed for what they will be held accountable. The lack of stakeholder involvement may affect the effectiveness of PMS implementation.

As to whether the BSC has allowed more academic freedom and autonomy, respondents said that it has not allowed such freedom to performers in the university. According to respondents, they are also not clear on the CSRSID. This discussion showed that the staff of the participating universities were not aware of, and did not have a clear understanding of, the CSRSID. In this regard, the literature review states that it is necessary to ensure that the Ethiopian civil service operates in a transparent, responsive and accountable manner, in order to realise effectiveness and efficiency of the civil service, by developing and implementing modern PMSes (cf. section 5.2.1.3).

Nearly all the interviewees believed that the university leadership has knowledge of the PMS Directive (cf. section 5.3). MoE Admin Officer 1 said that the universities' leadership and management have sufficient knowledge of the PMS implementation directive. He said, *"It is not lack of knowledge, but it is a low commitment to exercise the directive in practice that is actually observed in some university leaders."*

Issue 10: Problems hampering PMS implementation

The respondents identified the challenges hampering effective PMS implementation (cf. Table 6.10). The first challenge hampering PMS implementation relates to low commitment of the leadership and management to implement the PMS in the university. Changes are naturally led and implemented by the leadership, and lack of commitment is the greatest challenge. The respondents agreed on the item of lack of commitment of the leadership. As mentioned in the literature review, the leadership is responsible for championing the cause of getting and keeping the ball rolling, because without strong leadership, the strategic objectives of the university will not be realised (cf. section 2.5.2). In addition, development and use of performance measurement is a critical element for institutional success.

Regarding the items about participation of employees in the decision-making process and employees' perceptions of their supervisors, the respondents indicated a lack of employee participation in the decision-making process and negative perceptions of their supervisors (cf. Table 6.10). According to the literature review (cf. section 2.5.3), the manner in which feedback is given after the performance evaluation is important, because employees may withhold evaluation information when they perceive that the information is not fair and from the right source. Negative perceptions among employees and lack of participation in decision-

making can lead employees to distrust their managers, and even each other. Inequality can be expressed in unfair treatment of individuals, which cause employees to distrust their leaders. Ownership of reforms on the part of performers comes from participation right from the beginning. This reveals that any kind of abnormalities could affect employees' perceptions of their leaders.

Respondents confirmed that their university's leadership does not have the required skills and knowledge to implement the university's PMS effectively. This discussion shows that the leadership has not effectively implemented the reform, due to low commitment and knowledge about PMSes, and that they are mostly engaged in routine daily tasks, rather than focusing on strategic issues. Proclamation 650/2009 contains many articles to manage HEIs, but it lacks enforcement provisions to implement the PMS reform programme in every institution. This lack of enforcement provisions may hamper accountability of the leadership (cf. section 5.1). This will affect the effectiveness of the organisation.

The discussion in section 1.4 confirms that the current leadership in some public universities is inefficient and lacks commitment to reform initiatives. This problem is exacerbated by a high turnover of leaders. Both MoE Admin Officer 1 and MoE Admin Officer 2 confirmed that it is not lack of knowledge but low commitment to exercise the CSRSID in practice that is actually observed in the leadership and the academic staff of some universities (cf. section 5.3).

The respondents agreed that the universities lack standardised PM indicators and results-based motivational systems (cf. Table 6.10). This influences the efforts of performers to achieve their organisational objectives and targets. The above discussion, confirmed by the literature review, implies that measuring performance against previously designed and agreed-upon indicators is helpful to assess the achievement of targets (cf. section 2.5.4). The discussion in the literature review also shows that a PMS helps to motivate employees to exert a high level of effort when they believe that that effort will lead to good performance results (cf. section 2.5.5). Thus, one can infer from this that a results-based motivational system can improve productivity and help one to draw lessons from best performance and failures.

Respondents agreed on the item that there is a lack of communication between the leadership and the performers. Furthermore, they feel that the performance management system was imposed on them and that it is an attack on their professionalism. Communication is thus very important to connect leaders and performers in sharing ideas with each other. There should have been effective communication systems in place; otherwise, proper conveying of ideas will

be negatively affected. As it is stated in the literature review, management and employees should arrive together at an understanding of what work will be done, how it will be done, how work is progressing towards the desired results, and whether performance has been achieved in line with the agreed plan (cf. section 2.5.6). The academic staffs of the participating universities want their academic freedom to be realised, and they want to offer scholarly contributions freely in their university. However, the interviews confirmed that academic employees regard the reform as a political imposition on them. To substantiate this argument, MoE Admin Officer 1, for example, said that academic employees considered the reform as a political mission (cf. section 5.3).

The management believes that the existing resource and budget allocation from the government to the universities is insufficient, and that this hinders them from operating in an effective manner. However, some respondents felt that the allocated resources and budget are sufficient. This can be interpreted to indicate that it is not the resource allocation that is insufficient, but it is the leaders' inefficiency in using it properly.

Issue 11: Mission and vision statements

Responses were also gathered on the level of respondents' agreement with the mission and vision statements of their university. The employees indicated that they understand their university's mission and vision statements, and that they have clarity on their roles. It is understood that the main purpose of public universities is the provision of public services (cf. section 5.2). So, the focus of a public university's PMS must be directed towards attainment of its strategic objectives, which, in turn, flow from the university's mission and vision statements.

All the respondents agreed that their individual objectives are linked to their university's strategic plan (cf. Table 6.11). Linking individual and institutional objectives could help to achieve organisational performance effectively. The mission of one of the sample universities was "to offer quality and effective education and training, producing skilled and ethical graduates, and undertaking problem-solving research works on national need, which benefit the community" (cf. section 5.2.1).

Issue 12: Stakeholder involvement

Respondents said that stakeholders are often important to the success of the university. Through stakeholder participation, the universities were thus involved their stakeholders in the measurement of performances. Respondents were dissatisfied with the level of involvement that they were allowed in the performance management process.

7.3 Conclusion to this chapter

In this chapter, the researcher focused on the discussion and combination of the two qualitative and quantitative datasets in qualitising the results gathered through statistical instrument from college deans, department heads, administration heads, lecturers, and administration staff of the sample public universities in Ethiopia. The findings, conclusions, and recommendations are presented in the following chapter.

CHAPTER 8
FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

8.1 Introduction

This is the final chapter of the thesis. It consists of five sections, containing a summary of the research, the findings, the conclusions drawn, the recommendations, contributions and policy implications of the study, and suggestions for further research. The original contribution of this research was to present ways of identifying the challenges, and improving the performance management practices of, selected public universities in Ethiopia. It showed ways to ensure accountability of the leadership and involvement of stakeholders, by calling for improvements in the leadership and stakeholders as additional perspectives in the BSC measurement tool. This is in order to measure the efforts of leaders of public universities in designing strategic objectives and plans, to ensure good governance of the universities, and, in turn, to bring about institutional success.

8.2 Summary of the research

Performance management is an ongoing and continuous assessment of performance at individual, team and organisational levels. An effective PMS enables the leadership of a university to measure all aspects of the university's performance, including academic, non-academic, financial and non-financial activities. Against this backdrop, this study aimed to assess the practices and challenges of PMSes in six selected public universities in Ethiopia, and to determine the extent to which the PMSes of the selected public universities in Ethiopia are effective in promoting institutional success. To this end, institutional effectiveness and challenges of the selected HEIs were analysed in the context of the principles and applications of the BSC. The BSC is a by-product of business process re-engineering, which is an effort of government aimed at promoting Ethiopia's reform mandate.

A sequential mixed-methods design was employed for the study. The researcher reviewed both academic literature and official documents, to ground the study in existing knowledge about the subject. Semi-structured interviews were then conducted with a team leader and two administration officers of the MoE. Lastly, questionnaires were distributed to two groups, namely the management and the employees. The management group included college deans and department heads. The employee-group included lecturers and administrative (non-academic) staff. Thus, the data sets were collected through qualitative and quantitative data-

gathering methods and analysed by factor analysis, using a composite one-way frequency test, a descriptive one-way ANOVA, and a t-test analysis. The qualitative data was analysed by thematic analysis. The findings presented in the section below provide useful insights into PMS implementation at public universities in Ethiopia. The qualitative and the quantitative data were analysed separately, phase-by-phase, using thematic analysis and descriptive analysis (SPSS version 22), respectively, and then the results from the two phases of the research were combined during the data-analysis phase, using the multi-data/multi-analysis method. This allowed for triangulation, and it enabled checking for complementarities or divergences of findings on a given issue.

Findings related to the implementation of the PMSes revealed a number of malpractices, including exclusion of employees from participation in the planning of activities (more instructional than consultative) and monitoring of progress in PMS implementation (more evaluative than supportive), management bias, and supervisors' failure to give feedback on performance appraisals. Lack of leadership commitment in the execution of the PMS and lack of a clear reward system procedure were identified as challenges hampering effective PMS implementation in the selected universities, albeit in varying degrees. The study also revealed discrimination against some employees based on unequal selection criteria, problems in the staff development process and bias in the selection of staff for staff development opportunities. In general, although the BSC is implemented in the selected universities, the PM process was found not to be inclusive, and to be marred by a lack of responsibility and accountability on the part of the leadership. This can affect the understanding and the implementation of PMS reform programmes, now and in the future. The findings therefore raise concerns about the contributions that PMSes such as the BSC were originally intended to ensure. Consequently, the golden targets of instituting customer-based service delivery and accountability for public funding, by including leadership and stakeholders in the measurement initiatives (to ensure transparency and accountability), still demand that much be done to achieve them. Based on the findings, the researcher added some additional elements to the traditional generic elements of the BSC, to implement the reform mandate and make it an enabling instrument for establishing effective PMSes in the universities.

Finally, the researcher proposes and recommends a hexagonal hybrid BSC measurement model (the newly added elements being leadership and stakeholders) to make higher education institutions effective and efficient in measuring their overall performance, thereby enhancing the contribution of public universities to the realisation of structural transformation, as

stipulated in the country's Growth and Transformation Plan II.

8.3 Findings

The researcher observed that all the sample universities have implemented PMSes, and he found that they have faced some challenges. Overall, the respondents viewed that the PMS was better than the previous performance measurement systems. The data confirmed that the universities have implemented and used PMSes effectively to manage their performance, through using continuous and ongoing assessment, setting standardised indicators, and team work (cf. section 7.1). The findings drawn from the data sets are summarised below:

1. Objective setting by the sample universities was found to be a problematic area. Limited employee participation in the planning and decision-making process creates a lack of shared understanding and sense of ownership of the university's strategic objectives and targets.
2. The leaders and the employees understand the performance measurement process differently and this lack of shared understanding could hamper the implementation of PMSes.
3. Although 54.5% of the respondents agreed and strongly agreed on the benefits of PMSes, as far as the employees are concerned, the implementation of the PMSes was not effective. They believe that the PMS has been imposed on them by government, as part of its political agenda, and they regard the PMS as an additional source of stress in their work.
4. The employees are not satisfied with the feedback provided by their supervisors. They believe that the feedback is not based on facts. This discontent is exacerbated by the fact that no feedback discussions are held.
5. Regarding the universities' development systems, the employees indicated that their universities do not offer adequate training on PMSes, and that the universities' scholarship programmes are not fair and equitable. Such development systems lack needs-based and merit-based identification of employees.
6. The universities' communication systems are not good, and the communication channels are not open. These limitations in the communication systems may create a lack of shared understanding on strategic objectives, which could adversely affect PMS implementation.
7. It also came to the fore that the universities do not have motivation and reward systems that emphasise accountability. This may result in frequent turnover of employees and

an inability of the universities to retain experienced employees, which will negatively affect the success of the universities.

8. Neither the managers nor the employees have a clear understanding of the Civil Service Results-oriented System Implementation Directive (CSRSID) that was in place at the time of the study. Lack of knowledge of the CSRSID could result in inadequate and improper PMS implementation, which will affect the performance of the universities.
9. The researcher examined the limitations and opportunities of implementing the BSC measurement tool to assess the performance of HEIs in Ethiopia. The analysis shows that all the sample universities have implemented a PMS. Even though about 66% of the employee respondents agreed that the PMSes using BSC measurement tool had given them opportunities to improve their work performance, for example, by making experience sharing possible and continuous assessment, the BSC measurement tool still lacks clarity on the responsibility and accountability of the leadership in the universities. Another gap is the lack of acknowledgement of the importance of stakeholder involvement in the planning and evaluation processes of university matters. More than half of the respondents presented the process had not been inclusive of them. These limitations could show that the existing BSC measurement indicators are not holistic, and that they are not properly measuring the performance of the leadership in the universities.

8.4 Conclusions

The hypothesis formulated in chapter 1 reads “There is no relation between current PMS practices and challenges and institutional success”.

The conclusions are drawn from the discussion in chapter 7. The objectives of the study have been met, and the research questions have been addressed based on the evidence collected through both qualitative and quantitative data-collection methods, which is discussed in chapters 5 and 6.

Consequently, the following conclusions are drawn from the findings and are based on the answers to research questions 2, 3 and 4. The findings presented under numbers 1, 2, 4, 5, 6 and 7 of section 8.2 answered research question 4, namely “What is the relationship between the current PMS practices and challenges and the promotion of institutional success in the selected universities?” The findings presented under numbers 3 and 8 answered research question 2, namely “What is the origin and the nature of current laws and policies regulating

PMSes at public universities in Ethiopia?" Finally, the findings presented under number 9 answered research question 3, namely "What are the constituent elements of a BSC-based PMS that ensure institutional effectiveness of public universities in Ethiopia?"

1. As is evident from the above findings, employee participation in the setting of objectives and PMS planning in the universities is insufficient, and this may negatively hamper creation of shared understanding of both management and employees on PMS implementation. One of the constituent elements of a PMS is participatory leadership in the planning and decision-making process; but, the sample universities lack such participatory leadership.
2. While PMS principles should allow for an agreed-upon and commonly understood measurement process, the study revealed that considerably large proportion of the respondents indicated that there is no such shared understanding between the leaders and the employees in practice. This likely would influence the effectiveness of universities' PMSes.
3. The employees regarded the PMS as a burden to them, and they are unwilling to buy in to the system as a scientific PMS. The employees suggested that they lack knowledge of the CSRSID and legislation, and that this is why they feel that the PMS is a political imposition upon them. This could reduce the effectiveness of the employees' efforts towards attainment of their universities' strategic objectives.
4. Feedback is not provided based on facts observed during the reviewing period. Consequently, this creates a lack of trust between the employees and their leaders. This automatically affects the effectiveness of the universities' performance, and it disturbs the relationship between the management and the employees.
5. The sample universities do not have clear selection criteria and planned training and development programmes. The absence of clear selection criteria and planned training and development programmes will affect transparency and equity and is likely to lead to unfair and non-merit-based selection of employees.
6. Poor communication systems create gaps between the conveyer and the receiver of the message. If information has not been properly communicated, the information gap could affect employees' performance.
7. A lack of clarity and consistency in the reward systems was found to be prevalent among the sample universities. Clear and consistent reward systems will help to

emphasise accountability, which will encourage best performance and hold poor performers accountable.

8. The PMS Directive is not clear to the employees. If employees are not aware of the PMS Directive, it may cause breach of law and perform activities that may violate the directive. This will affect the performance of the employees.
9. The researcher understands that the existing BSC measurement tool in the public HEIs in Ethiopia requires improvement in performance measurement and in ensuring accountability and transparency. The existing BSC measurement tool, which has four perspectives (i.e. financial, internal business process, customers, and learning and innovation/development), is not sufficient to effectively measure the universities' entire performance, which may prevent ensuring accountability by the leadership and stakeholder involvement in the measurement of the HEIs. Stakeholders are very important for measuring the performance of an institution, because they can express their feelings freely and provide feedback independently. Recommendations are proposed and presented below in section 8.5.

8.5 Recommendations

To address the problems concluded above, as identified from the data analysis and the findings, the following recommendations are presented:

1. A PMS enables the university to measure achievement of its vision and strategic objectives. The universities should therefore involve their employees in the decision-making process and planning of future activities of their institution, which can create a sense of belonging and task ownership among employees. This is because employees can actively respond reactively and proactively when they understand their institutions' plans.
2. The universities should create shared understanding and agreement between the performers (the employees) and the management on the new strategic objectives and the measurement system of the PMS.
3. In order to create awareness among the employees and build a sense of ownership of the BSC, the sample universities should arrange and conduct workshops and training on PMS, the measurement variables, the BSC, and the benefits acquire from the PMS to them and the institution as well.
4. The universities' leadership and management should provide on the spot feedback to their employees at the time of evaluation. All feedback should be based on facts, and

should be served carefully so as not to strain relations between those assessed and the assessors. All processes and the results of each employee that has not performed in line with the agreed plan and targets should be discussed carefully.

5. The staff development systems that are in place in the universities should be fair and equitable, and they should help to identify and capacitate intended employees. The universities should have an employee profile of what kind of training is needed, and development should take place through impartial selection. If employees' competence improves, they tend to develop a passion for their work and are able to motivate themselves. All selections should be based on merit, as this is a key factor for ensuring fairness.
6. Communication is a key element for an organisation to become effective. Effective communication is important to have consensus on an issue beforehand. Accordingly, the universities should employ different communication mechanisms to convey messages to the employees. In this regard, use of managed meetings and notice boards are recommended. Besides this, the universities should establish and develop an effective communication system to ensure that employees have access to all the information provided about the PMS and strategic alignment of the institutions.
7. The HEIs should empower their employees as much as possible, by providing skills and knowledge development schemes that will enable the employees to discharge their duties and tasks confidently. This, in turn, will help to retain employees in the institution for a longer time, since a PMS promotes performance-related pay, which encourages performers to obtain the incentives attached, by pushing them to achieve the stated institutional objectives. The universities should put in place clear procedures for rewarding excellence, including accountability. They should also have clear standards and structures for recognising and promoting best performance, such as a letter of appreciation or thanks, and they should have strategies for improving and rectifying unsatisfactory achievement.
8. The Civil Service Results-oriented System Implementation Directive (CSRSID) should be improved, presented and communicated to all members of the university community, in order to build a shared understanding of the directive. It can be uploaded and posted on the university website.
9. In order to achieve and maintain academic excellence in the HEIs, this study proposes a BSC hybrid model that has been modified from the original one. In this context, the PMS is aimed at ensuring customer-based service and accountability for public funds

that are budgeted for each university, and the requirement that such funds be used in an efficient, effective and economical way. Responsibility and accountability of leaders is critical in an institution, so that the university leaders can be accountable for what they do. To this end, the variable of leadership measurement must be included in the BSC measurement tool. Otherwise, the measurement may not fully measure overall institutional performance. The public universities should ensure leadership accountability through adding leadership as one perspective in the BSC measurement tool, in order to measure the efforts of the university leaders in designing strategic objectives and plans and ensuring good governance of their university. In addition, the public universities should consider their stakeholders' opinions and feelings when they measure their performances. Thus, stakeholder involvement should be added to the BSC measurement tool of the universities as an additional perspective.

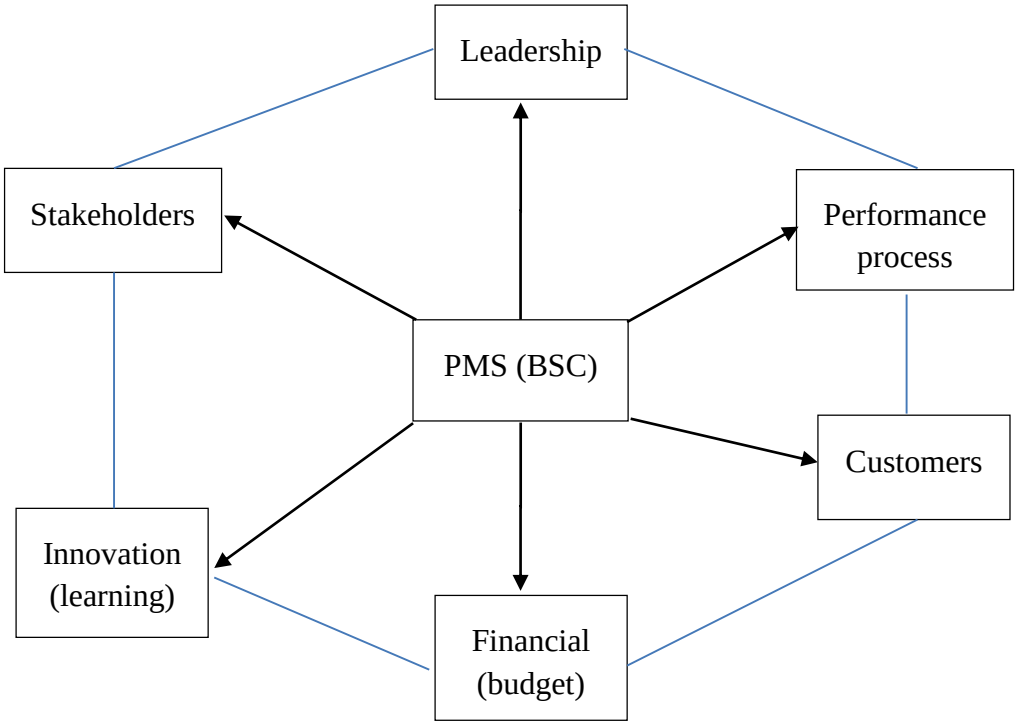
Drawing on the findings and conclusions of the study, the researcher would like to contribute a hexagonal BSC measurement model. Because the quality of the leadership is more important than the other performance management elements in ensuring the success of an institution's performance, the researcher chose to place leadership at the top of the BSC measurement initiative. An effective BSC-based PMS is essential to ensure institutional success or effectiveness.

Table 8.1: The modified recommended BSC measurement tool

No.	BSC initiative	Expected service excellence	Recommended model
1	Leadership	➢ Effective leadership ➢ Quality service ➢ Good governance ➢ Facilitation of infrastructure (technology) ➢ Development of strategic thinking	➢ Prepare a strategic plan ➢ Cascade it to all performers ➢ Ensure transparency and accountability ➢ Provide the needed equipment ➢ Focus on strategic issues
2	Performance process	➢ A well-designed organisational structure ➢ A favourable working environment ➢ Promotion of team spirit ➢ Teaching of quality ➢ Building of student competence ➢ Ensuring quality education	➢ Create awareness of the structure ➢ Ensure a participatory system ➢ Introduce a learning cooperative system ➢ Monitor the teaching-learning process
3	Customers	➢ Service satisfaction ➢ People-focused service ➢ Effective performance	➢ Customer-focused service ➢ Group coordination, so that employees assist each other ➢ Participation in evaluation
4	Financial (budget)	➢ Efficient and effective utilisation of the budget and resources ➢ A transparent financial system ➢ Professional service	➢ Timely audits ➢ Keeping employees informed of the budget allocated to the institution
5	Innovation (learning)	➢ Identifying new research ideas ➢ Problem-solving research ➢ Community-based and focused on national needs ➢ Research production	➢ Encourage employees to innovate ideas ➢ Working with the community to identify problems ➢ Use an equitable system for researchers
6	Stakeholders	➢ Efficient and effective services ➢ Successful organisational performance ➢ A peaceful and sustainable environment	➢ Introduce a participatory evaluation system ➢ Arrange stakeholder sessions ➢ Work jointly with stakeholders

In this study the measurement indicators are improved from the existing four perspectives to six and made it hexagonal BSC model by including the leadership and stakeholders as standalone perspectives. The hexagonal diagram depicted as follows.

Diagram 8.1: A hexagonal BSC measurement model



Source: adapted from balanced scorecard diagram of Niven (2002:14)

8.6 Suggestions for further research

Modernisation of the management of higher education in Ethiopia started long ago, and various reforms have been experienced to improve the quality of education offered. Thus, this study was intended to assess the implementation of PMSes in public HEIs.

Some suggestions for further research projects are discussed in this section. A better performance management system helps to indicate what measurement initiatives are included. Studying the impact of PMS implementation in all public universities is a worthwhile research agenda to improve the effectiveness of higher education institutions in Ethiopia. Such a tool could help policymakers to develop modern and effective PMSes. PMSes will help institutions to develop and identify their measurement initiatives at both institutional and individual level.

Thus, universities should regard appraisal as following on the measuring of performance, rather than the measuring process itself. The researcher contends that future research on how terms such as "performance review", "performance evaluation", "performance assessment", and "performance appraisal" are defined and perceived by managers and employees at Ethiopian universities is a necessity. The researcher contends that how the process is defined may impact on employees' buy-in and on how managers approach the process.

Another research area could possibly be global competition and the demand for skilled labour from HEIs. Thus, the current PMS reforms adopted in the country should also assess how the HEIs have produced the needed professionals, not only for the domestic market, but also for the global market.

8.7 Conclusion to the chapter

Since this chapter is the final chapter of the study, the above discussions of findings, conclusions, and recommendations of the problems drawn from the data analysis and interpretation were presented. The chapter also gave a summary of the research and suggestions for future research. Overall, the research analysed the challenges and practices of PMS implementation in public HEIs in Ethiopia through mixed data-collection and -analysis methods. The references used in the study are listed in the following section, followed by the various appendices.

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Appendices

Appendix A: Notice of intention for examination

1. NOTICE OF INTENTION TO SUBMIT DISSERTATION / THESIS FOR EXAMINATION

NOTICE

SURNAME AND INITIALS **Mr AKLILU GEBRESELASSIE GEBRU**

STUDENT NUMBER **51887452**

DEGREE **DEd (Education Management)**

FINAL TITLE OF THE DISSERTATION / THESIS UNDER WHICH IT WILL BE SUBMITTED (please print and ensure that the correct wording is used)

An assessment of the practices and challenges of performance management systems in public universities in Ethiopia

I HEREBY GIVE NOTICE THAT I INTEND TO SUBMIT MY DISSERTATION / THESIS FOR EXAMINATION WITH A VIEW TO THE GRADUATION CEREMONY TO BE HELD DURING (please indicate with **X**)

X **AUTUMN 2018**	SPRING 2018

SIGNATURE

2018 ~~07 16~~ (16/07/2018)

DATE

Appendix B: Questionnaire 1: Management

Date: March 11, 2016

Research Instrument

Dear Respondents,

I, Aklilu Gebreselassie Gebru, am busy with a Doctor of Education (DEd) degree, at the University of South Africa under the supervision of Professor S.A. Coetzee. The Ministry of Education and the Management of the university gave me permission to conduct this research at public universities in Ethiopia including this institution. The objective of this study is to assess the current practices and challenges faced during the implementation of the performance management system in the public universities.

Your participation will be very important in exploring and identifying the major problems that affect the implementation of PMS at HEIs and enhances the quality and reliability of the research result.

I assure you that your participation in this study and your views will be strictly kept confidential and will not use for any other purpose than this research project.

Therefore, I humbly request your honest and genuine responses, as this will enhance the quality and reliability of the recommendations.

Finally, I owe my gratitude to you all for spending some of your precious time to fill out this questionnaire. The result of this research will benefit your institution.

Thank you so much.

Yours sincerely,

Aklilu Gebreselassie Gebru
DEd student
Cell phone no XXXX
e-mail-XXXX

Part I: Respondents background

Please complete the following table.

Gender		Age group		Education Level		Years of managerial experience	
Male		20-30		BA/BSC		0-3 years	
Female		31-40		MA/MSC		4 years or above	
		41-50		PhD			
		51 or older					

Part II: Current practice of PMS implementation

Note: Please choose the option that best describes your opinion about the statements below by using the following rating scale.

Key:1= Strongly Agree, 2=Agree, 3= Neutral, 4= Disagree, and 5= Strongly Disagree

Benefits of performance management system

No.	Items	1	2	3	4	5
1	PMS provides employees opportunities to improve their work performance					
2	It ensures that all employees are treated equitably					
3	It allows for managers to share their experiences with their employees					
4	I coach employees on their performances					
5	I measured the work against the agreed targets					
6	Allows for a continuous and on-going assessment process					
7	I believe the system is inclusive and effective to measure the overall performance of the university					
8	I believe the existing BSC measurement tool is effective					

Managers and employees set individual performance objectives jointly

No.	Items	1	2	3	4	5
9	The university linked its organisational objectives with individual objectives and key result areas					
10	The university has properly defined its goals					
11	The university gives an opportunity for the staff to participate in the decision making of performance measurement standards					
12	The university's performance management strategy is clearly defined and understandable					
13	The university has prioritized its critical objectives					
14	I create opportunities for employees to participate in the PMS planning					

PMS measurement process

No.	Items	1	2	3	4	5
15	I believe in creating common understanding on the set of measurement standards/indicators					
16	Measurement variables are well defined for all performance indicators					
17	The results are accurately interpreted					
18	The measurement tool is able to measure fairly and equitably					
19	I have created a common understanding on the performance measurement process					

Evaluation system

No.	Items	1	2	3	4	5
20	Performance evaluation is continuously rather than periodically done					
21	The university reviews the operational activities periodically					

22	The continuous evaluation helps the employees improve their performances					

Evaluation feedback

No.	Items	1	2	3	4	5
23	A discussion session is held after every evaluation period					
24	I discussed employees' performance achievement with them.					
25	Feedback is linked to previous performance results					
26	I gave feedback honestly without personal judgment					
27	The feedback I gave is based on facts.					
28	Each review period is followed by a planning session where short and long term planning is done.					
29	Employees are satisfied with how I provide feedback.					

Development system of the university

No.	Items	1	2	3	4	5
30	The university has a clear staff development policy					
31	The university arranges skills and knowledge development programmes					
32	The university uses review results to arrange (or inform) staff development					
33	The university offers generic training on PMS					
34	PMS training forms part of the induction programme for new employees					
35	The scholarship programme of the university is fair and equitable					
36	The university development system is inclusive to all staff.					

Communication system

No.	Items	1	2	3	4	5
37	The university regularly communicates with the staff about the PMS					
38	The university gives recognition to best performers)					
39	The university's communication on PM is constructive and positive					
40	The channel of communication is clear					
41	I appreciate the communication system of the university					

Reward and motivation system

No.	Items	1	2	3	4	5
42	The university has a clear procedure to promote excellence					
43	The university's PMS places emphasis on accountability					
44	The reward system of the university inspires employees to better performance					
45	The reward system is communicated to all performers					
46	The reward system is clearly linked to the PMS					
47	I am satisfied with the reward system of the university					

Performance Management System Directive

No.	Items	1	2	3	4	5
48	The PM Directive is well communicated to all					
49	The university leadership and management are well informed on the directive					
50	The Directive is clearly stated the responsibility and accountability of the leadership and the performers					
51	The Directive was issued with the participation of the stakeholders					
52	The university leadership and management are well aware about the reform mandate					

53	I believe that the PM and the introduction of BSC allows more academic freedom and autonomy because it minimise government control					
54	I am very clear on the PMS Directive					

Problems hampering PMS implementation

No.	Items	1	2	3	4	5
55	Low commitment of the leadership and management to implement PMS in the university					
56	Limited participation of performers in decision making process					
57	Negative perception on the leaders and managers management style for the development and implementation of performance management system					
58	The leadership and managers have not the required skills and knowledge to effectively implement the performance management system					
59	The absence of standardised and clear PM indicators					
60	Lack of a result-based motivational system					
61	Absence of communication between the leadership and the performers					
62	Academic employees regard PM as an attack on their professionalism					
63	The resource allocation by the government to the university is sufficient					

Mission and Vision Statement

No.	Items	1	2	3	4	5
64	I believe that all the employees understand the university's vision and mission statements					
65	Individual objectives are linked with the university's strategy					

66	The university leadership and management pay more attention to the strategic objectives than daily routine activities					
67	The university's mission and vision statements are well articulated					

Stakeholders' involvement

Note: Use the following key for this question: 1=very often, 2= often, 3= no idea, 4= sometimes, and 5= not at all

No.	Items	1	2	3	4	5
68	I know that the university acknowledges its stakeholders regularly					
69	I observed that there is periodic discussions with stakeholders					
70	I believe that involving stakeholders is essential to the success of the university					
71	I am satisfied by the stakeholders involvement so far					
72	I am satisfied with the involvement that academic personnel is allowed in performance management processes					

Thank you very much!!!

Aklilu Gebreselassie Gebru
DEd student at UNISA
Email XXXX
Cel phone nr. XXXX

Appendix C: Questionnaire 2: Employees

Date: March 11, 2016

Dear Respondents,

I, Aklilu Gebreselassie Gebru, am busy with a Doctor of Education (DEd) degree, at the University of South Africa under the supervision of Professor S.A. Coetzee. The Ministry of Education and the Management of the university gave me permission to conduct this research at public universities in Ethiopia including this institution. The objective of this study is to assess the current practices and challenges faced during the implementation of the performance management system in the public universities.

Your participation will be very important in exploring and identifying the major problems that affect the implementation of PMS at HEIs and enhances the quality and reliability of the research result.

I assure you that your participation in this study and your views will be strictly kept confidential and will not use for any other purpose than this research project.

Therefore, I humbly request your honest and genuine responses, as this will enhance the quality and reliability of the recommendations.

Finally, I owe my gratitude to you all for spending some of your precious time to fill out this questionnaire. The result of this research will benefit your institution.

Thank you so much indeed.

Yours sincerely,

Aklilu Gebreselassie Gebru

DEd student

Cell phone no XXXX

e-mail XXXXX

Part I: Respondents' background

Please complete the following table.

Gender		Age group		Education Level		Years of experience	
Male		20-30		BA/BSC		0-5 years	
Female		31-40		MA/MSC		6-10 years	
		41-50		PhD		11-15 years	
		51 or older				16-20 years	
						21 years or above	

Part II: Current practice of PMS implementation

Note: Please choose the option that best describes your opinion about the statements below by using the following rating scale.

1= Strongly Agree, 2=Agree, 3= Neutral, 4= Disagree, and 5= Strongly Disagree

Benefits of performance management system

No.	Items	1	2	3	4	5
1	It provides me with an opportunity to improve my work					
2	It ensures that all employees are treated equitably					
3	It allows me to share my experiences with my colleagues					
4	It creates the opportunity for me to be coached on my job by the supervisor					
5	My performance is measured against the agreed targets which helps me to identify my strengths and weaknesses					
6	It allows for a continuous and on-going assessment process					
7	I believe that the system is inclusive and effective to measure the overall performance of the university					
8	I believe the existing BSC measurement tool is effective					

Managers and employees set individual performance objectives jointly

No.	Items	1	2	3	4	5
9	The university linked its organizational objectives with individual objectives and key result areas					
10	The university has properly defined its goals					
11	I was involved in deciding the performance measurement standards					
12	The university's performance management strategy is clearly defined and understandable					
13	The university has prioritized its critical objectives					
14	I participate in the PMS planning					

PMS measurement process

No.	Items	1	2	3	4	5
15	I understand the set of measurement standards/indicators					
16	The measurement variables are well defined for all performance indicators					
17	The results are accurately interpreted by the supervisor					
18	The measurement tool is able to measure fairly and equitably					
19	I am satisfied with the performance measurement process					

Evaluation system

No.	Items	1	2	3	4	5
20	The university uses a continuous evaluation system					
21	The university reviews the operational activities periodically					
22	I am satisfied with the supervisor's continuous evaluation					

Evaluation feedback

No.	Items	1	2	3	4	5
23	The university has secured a session after every evaluation period for discussion					
24	I am open and honest when I discuss my performance achievement with my supervisor					
25	The feedback is linked with previous performance results					
26	I found the supervisor's feedback is honest and free of personal judgment					
27	I found the feedback that I received is based on facts					
28	Each review period is followed by a planning session where short- and long-term planning is done.					
29	I am satisfied with the feedback provided by the supervisor					

Development system of the university

No.	Items	1	2	3	4	5
30	The university has a clear staff development policy					
31	The university arranges skills and knowledge development programs					
32	The university uses review results to arrange (or inform) staff development					
33	The university offers generic training on PMS					
34	PMS training forms part of the induction programme for new employees					
35	The scholarship programme of the university is fair and equitable					
36	I agreed with the development system of the university					

Communication system

No.	Items	1	2	3	4	5
37	The university regularly communicates with the staff about the PMS					
38	The university gives recognition to best performers					
39	The university's communication on PM is constructive and positive					
40	The channel of communication is clear					
41	I appreciate the communication system of the university					

Reward and motivation system

No.	Items	1	2	3	4	5
42	The university has a clear procedure to promote excellence					
43	The university's PMS places emphasis on accountability					
44	The reward system of the university inspires employees to better performance					
45	The reward system is communicated to all performers					
46	The reward system is clearly linked to PMS					
47	I am satisfied with the reward system of the university					

Performance Management System Directive

No.	Items	1	2	3	4	5
48	The PM Directive is well communicated to all					
49	The university leadership and management are well informed on the directive					
50	The responsibilities of both the leadership and the performers are clearly stated in the directive.					

51	The directive was issued with the participation of the stakeholders					
52	The university leadership and management are well aware of the reform mandate					
53	I believe that the PM and the introduction of BSC allows more academic freedom and autonomy because it minimise government control					
54	I am very clear on the PMS Directive					

Problems hampering PMS implementation

No.	Items	1	2	3	4	5
55	Low commitment of the leadership and management to implement PMS in the university					
56	Limited participation of performers in decision making processes					
57	Negative perception on the leaders and managers management style for the development and implementation of performance management system					
58	The lack of the necessary skills and knowledge on the part of leadership and managers					
59	The absence of standardized and clear PM indicators					
60	Lack of a result-based motivational system					
61	Absence of communication between the leadership and the performers					
62	Academic employees regard PM as an attack on their professionalism					
63	The resource allocation by the government to the university is sufficient					

Mission and Vision Statement

No.	Items	1	2	3	4	5
64	I believe that all the employees understand the university's vision and mission statements					
65	Individual objectives are linked with the university's strategy					
66	The university leadership and management pay more attention to the strategic objectives than daily routine activities					
67	The university's mission and vision statements are well articulated					

Stakeholders Involvement

Note: Use the following key for this question: 1=very often, 2= often, 3= no idea, 4= sometimes, and 5= not at all

No.	Items	1	2	3	4	5
68	I know that the university acknowledges its stakeholders regularly					
69	I observed that there is periodic discussions with stakeholders					
70	I believe that involving stakeholders is essential to the success of the university					
71	I am satisfied by the stakeholders' involvement so far					
72	I am satisfied with the involvement that academic personnel is allowed in performance management processes					

Thank you very much!!!

Aklilu Gebreselassie Gebru

DEd student at UNISA

Email XXXXX

Cell phone nr. XXXXX

Appendix D: Interview schedule

(for semi-structured interviews with the department of HEIs affairs a team leader and two admin officers at MoE)

Part II: Interview questions

1. How do you evaluate the effectiveness of PMS to ensure the practice in the public institutions in general and public universities in particular?
2. What problems, if any, do universities experience to link their performance management plans with their strategic objectives?
3. Please explain the 'measurement variables design' to me.
4. To what extent do you believe that the universities have clear and result-based development systems?
5. To what extent do you believe that the universities have clear and result-based reward procedures?
6. Do you believe that university leadership and management have sufficient knowledge of the PMS implementation directive to manage PMS at their universities?
7. How regular do the Ministry arrange information or training sessions on PM for university leadership and management?
8. Who are the stakeholders that universities must involve in the planning of performance evaluation?
9. It is essential that universities consult and communicate with their employees on PM. Can you identify a few 'best practices' on how they should do this?
10. What do you think are the main problems universities experience in relation to PM?
11. Do you think that the universities leadership and management are well aware of the reform mandate?
12. Do you believe the BSC based measurement tool is valid and implementable at public universities?
13. PM and the introduction of BSC require that public universities should be allowed more freedom and autonomy and government control is lessened. What is your view on this?

Thank you very much!!!

Appendix E: Letter requesting permission from the MoE to conduct research

To: Excellency Minister

The FDRE Ministry of Education

P.O. Box 1367

Addis Ababa

Aklilu Gebreselassie Gebru

P.O. Box 12251

Addis Ababa

Cell Phone: xxxxx

Email: xxxxx

Excellency, Minister

My name is Aklilu Gebreselassie Gebru. Currently, I am pursuing my study on Doctor of Education Degree (DED) with the University of South Africa (UNISA). My research study focuses on the title **"Towards institutional success: An assessment of the practices and challenges of performance management systems in public universities in Ethiopia".**

I am kindly requesting your good office to grant me permission to conduct research at the following public universities: DebreBirhan University, Aksum University, University of Gondar, Wachamo University, Hawassa University, and Mizan-Tep University.

Your Excellency, if you allow the universities to participate in this study, they would give responses on issues regarding the practices and challenges of performance management systems. College deans, department heads, administrative heads and academic and administrative staff members will be requested to answer the attached questionnaires. Three officials of the Ministry of Education will also be interviewed on the practices and challenges of performance management systems. Also refer to document analysis.

Finally, I undertake not to disclose the information from these documents to anyone outside the universities or anybody in the universities who is not entitled to insight therein. Besides, I

intend to protect participants' anonymity and confidentiality. The name of the universities and contact details will be kept in a separate file from any data that is supplied. I will be the only person with an access to the information of participants and the data. The participants will be informed of their right to withdraw at any time, or withdraw any unprocessed data they have supplied.

My sincere gratitude in advance

Aklilu Gebreselassie Gebru

Note: If necessary, please do not hesitate to contact me.

Appendix F: Letter requesting participation and consent from participants

I recognised that this interview is part of the study conducted by the researcher on Performance Management Systems at Public Universities in Ethiopia: An assessment of practices and challenges.

I understand the purpose, objective and rationale of the study. I also understand my part in the interview as a research participant, and the fact that the information gathered from this interview will be only used to the fulfilment of a DEd degree. Similarly, the data will only be used for academic purposes.

I am also fully cognizant of the fact that the following tick marks are my consent.

I am willing to be interviewed any time during the study period. Yes_____ No_____

I am agreeing to record my interview that made with the researcher. Yes_____ No_____

The researcher assures me that all the information I gave and personal characteristics and the place will be kept under strict confidentiality and not to disclose to anyone who will not authorise to know this interview.

Therefore, I hereby with my free will and understanding give this consent to give an interview.

Name of the participant: _____

Signature: _____

Date: _____

Researcher

Aklilu Gebreselassie Gebru

UNISA-DEd student

Cell phone no. xxxxx

Appendix G1: Support letter

Appendix-F1

በኢትዮጵያ ፌዴራላዊ ዲሞክራሲያዊ ሪፐብሊክ
የትምህርት ሚኒስቴር
The Federal Democratic Republic of Ethiopia
Ministry of Education

☎ 0111 55 11 33
✉ 1367
ቁጥር ኮ/ት/ሚ - 259/2324/07
No.
ቀን 13/8/07
Date
አዲስ አበባ

ለሚመለከተው ሁሉ

ጉዳዩ፡- ለምርምር ሥራ የሚያስፈልግ መረጃ እንዲሰጥ ስለመጠየቅ

አቶ አክሊሉ ገ/ስላሴ ገብሩ በUNISA የPhD ትምህርታቸውን በመከታተል ላይ መሆናቸውን በመግለጽ "Performance Management system at public universities in Ethiopia: An assessment of the practices and challenges" በሚል የምርምር ሥራቸውን የሚያከናውኑ በመሆኑ ለዚሁ የምርምር ሥራቸው አጋዥ የሚሆኑ መረጃዎች በዩኒቨርስቲያችሁ ማግኘት የሚችሉበት ሁኔታ እንዲመቻችላቸው በ07/08/2007 በተጻፈ ማመልከቻ ጠይቀዋል።

ስለሆነም ተጠቃሽ የምርምር ሥራቸውን በአግባቡ ማከናወን እንዲችሉ በዩኒቨርስቲያችሁ የጠየቁትን መረጃዎች እንዲያገኙ አስፈላጊው ትብብር እንዲደረግላቸው እናሳስባለን።

ከሰላምታ ጋር

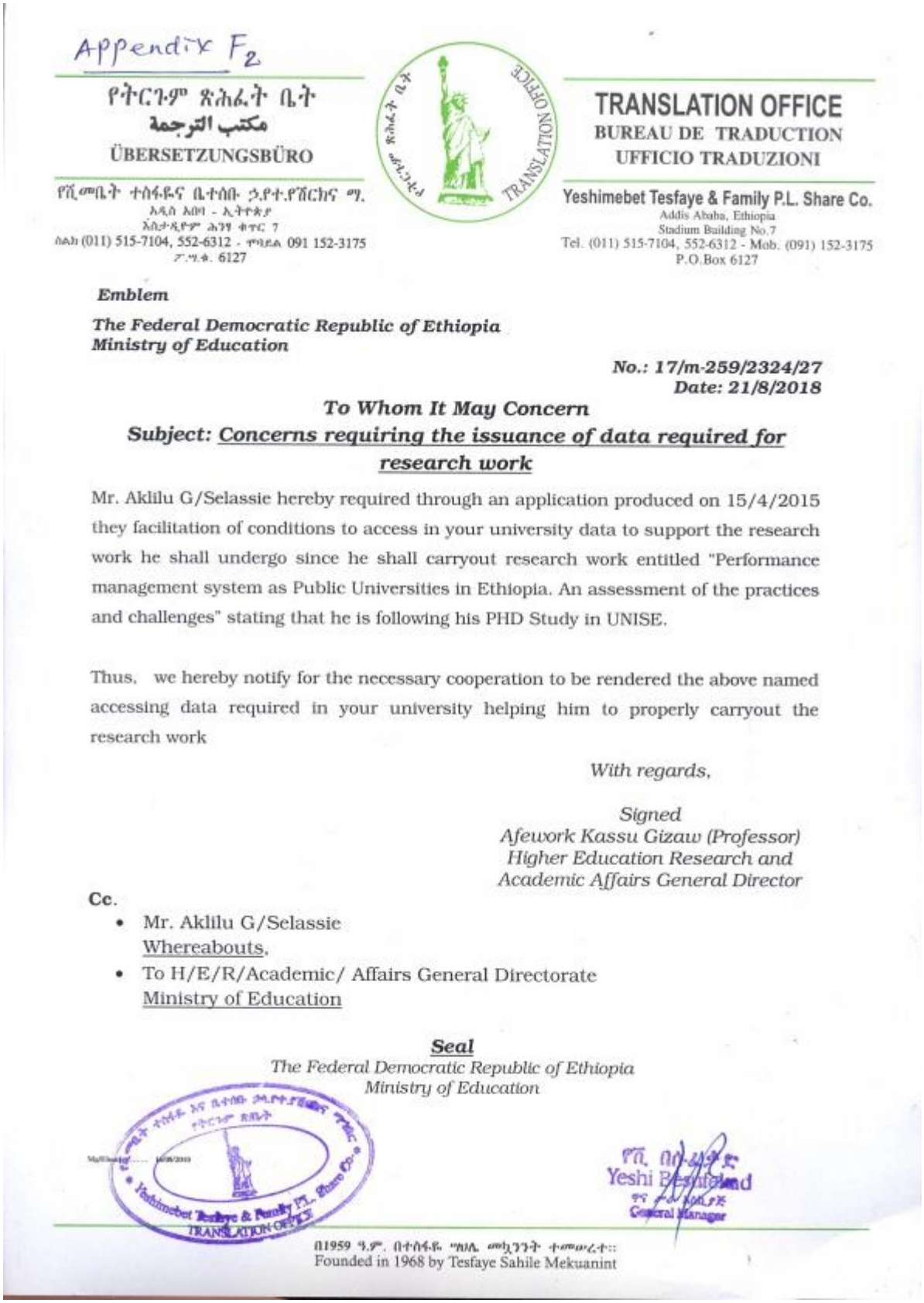
አፈወርቅ ካሱ ግዛው (ፕ/ር)
የሠብታኛ ትም/ የምርምርና አካዳሚክ
ጉዳዮች ጀኔራል ዳይሬክተር

ግልባጭ
- ለአቶ አክሊሉ ገብረስላሴ
  ባሉበት
- ለክፍ/ት/ም/ምር/ አካዳሚክ/ጉዳዮች ጀኔራል ዳይሬክቶሬት
  ትምህርት ሚኒስቴር

መልስ ሲጽፉልን በዚህ አድራሻም ያያይዙልን
e-mail- moe.heducation@gmail.com

91.

Appendix G2: To whom it may concern



Appendix F2

የትርጉም ጽሕፈት ቤት
مكتب الترجمة
ÜBERSETZUNGSBÜRO

የሺመቤት ተስፋዬና ቤተሰቡ ኃ.የተ.የግ/ማህበር ማ.
አዲስ አበባ - ኢትዮጵያ
እስታዲየም ሕንፃ ቁጥር 7
ስልክ (011) 515-7104, 552-6312 - ሞባይል 091 152-3175
ፖ.ሣ.ቁ. 6127

TRANSLATION OFFICE
BUREAU DE TRADUCTION
UFFICIO TRADUZIONI

Yeshimebet Tesfaye & Family P.L. Share Co.
Addis Ababa, Ethiopia
Stadium Building No.7
Tel. (011) 515-7104, 552-6312 - Mob. (091) 152-3175
P.O.Box 6127

Emblem

The Federal Democratic Republic of Ethiopia
Ministry of Education

No.: 17/m-259/2324/27
Date: 21/8/2018

To Whom It May Concern

Subject: Concerns requiring the issuance of data required for research work

Mr. Aklilu G/Selassie hereby required through an application produced on 15/4/2015 they facilitation of conditions to access in your university data to support the research work he shall undergo since he shall carryout research work entitled "Performance management system as Public Universities in Ethiopia. An assessment of the practices and challenges" stating that he is following his PHD Study in UNISE.

Thus, we hereby notify for the necessary cooperation to be rendered the above named accessing data required in your university helping him to properly carryout the research work

With regards,

Signed
Afework Kassu Gizaw (Professor)
Higher Education Research and
Academic Affairs General Director

Cc.

- Mr. Aklilu G/Selassie
  Whereabouts,
- To H/E/R/Academic/ Affairs General Directorate
  Ministry of Education

Seal
The Federal Democratic Republic of Ethiopia
Ministry of Education

Yeshi Bestfaland
General Manager

በ1959 ዓ.ም. በተስፋዬ ሳህሌ መኩንንት ተመሠረተ።
Founded in 1968 by Tesfaye Sahile Mekuanint

Appendix H: Research ethics approval letter

Appendix-G

UNISA university of south africa

COLLEGE OF EDUCATION RESEARCH ETHICS REVIEW COMMITTEE

17 February 2016

Ref : **2016/02/17/51887452/27/MC**
Student : Mr AG Gebru
Student Number : 51887452

Dear Mr Gebru

Decision: Ethics Approval

Researcher
Mr AG Gebru
Tel: +2519 1168 4389
Email: aklilugs@gmail.com

Supervisor
Prof SA Coetzee
College of Education
Department of Educational Leadership and Management
Tel: +2712 361 0392
Email: coetzeesa@unisa.ac.za

Proposal: Performance management systems at public universities in Ethiopia: An assessment of practices and challenges

Qualification: D Ed in Educational Leadership and Management

Thank you for the application for research ethics clearance by the College of Education Research Ethics Review Committee for the above mentioned research. Final approval is granted for the duration of the research.

The application was reviewed in compliance with the Unisa Policy on Research Ethics by the College of Education Research Ethics Review Committee on 17 February 2017.
The proposed research may now commence with the proviso that:

1) *The researcher/s will ensure that the research project adheres to the values and principles expressed in the UNISA Policy on Research Ethics.*
2) *Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study, as well as changes in the methodology, should be communicated in writing to the College of Education Ethics Review Committee. An amended application could be requested if there are substantial changes from the*

University of South Africa
Preller Street, Muckleneuk Ridge, City of Tshwane
PO Box 392 UNISA 0003 South Africa
Telephone: +27 12 429 3111 Facsimile: +27 12 429 4150
www.unisa.ac.za

existing proposal, especially if those changes affect any of the study-related risks for the research participants.

3) *The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study.*

Note:

The reference number **2016/02/17/51887452/27/MC** *should be clearly indicated on all forms of communication [e.g. Webmail, E-mail messages, letters] with the intended research participants, as well as with the College of Education RERC.*

Kind regards,

Dr M Claassens
CHAIRPERSON: CEDU RERC
mcdtc@netactive.co.za

Prof VI McKay
EXECUTIVE DEAN

Appendix I: Turnitin report

Turnitin Originality Report

Towards institutional success: An assessment of the practices and challenges of performance management systems in public universities in Ethiopia by AG Gebru

From Revision 2 (M & D Students 2018)

- Processed on 13-Oct-2018 12:06 SAST
- ID: 1019166442
- Word Count: 64673

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Appendix J: Submission of research recommendation report

To: Ministry of Education

Federal Democratic Republic of Ethiopia

Addis Ababa

Date:

Re: Submission of research recommendation report

I the undersigned person engaged in the partial fulfilment research in the title of "Towards institutional success: An assessment of the practices and challenges of performance management systems in public universities in Ethiopia", which had got a permission from your good office to conduct the research.

The participant universities have responded the questions regarding the practices and challenges of performance management systems. The sample respondents were College deans, department heads, administrative heads and academic and administrative staff members have been requested to answer the attached questionnaires. In addition, three officials of the Ministry of Education have also been interviewed.

Therefore, it is the researcher's pleasure to share the research findings and recommendations of the study. Please, kindly find the attached document of the study.

With regards!

Aklilu Gebreselassie Gebru