Improving performance management in the public service in Uganda: Public servants' perspectives of the implementation of results oriented management
Wenene, M.T.

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This study examines the critical factors affecting the implementation of results oriented management (ROM) in the public service, and the subsequent effect on public service delivery in Uganda, from the perspective of public servants. Theoretical and empirical findings point to evidence that efforts to inculcate ROM in Uganda are being made. There are, however, a number of critical issues that affect its implementation. These issues sustain a vicious circle of underperformance and undermine the implementation of ROM. Of primary importance are: (i) the commitment of leadership and transformational capacity to drive a result oriented performance management reform; (ii) the efficient generation and use of scarce resources; (iii) clarifying the results and services that institutions are expected to provide and enabling them to perform; (iv) placing human resources at the forefront of performance management reform; and (v) meaningfully engaging citizens in co-production of public services. To address these critical factors, it is necessary that a common vision for performance and service delivery is built, and that performance information is used in decision making, learning, and improvement. Aside from the critical challenges above, ROM is expected to consistently and systematically enhance the development of individual, institutional, and state capacity, and subsequently the sustainability of improvements in service delivery. ROM can go a long way to enhancing accountability for results and building confidence and trust in public service delivery, and subsequently to transforming Uganda’s economy and society.
IMPROVING PERFORMANCE MANAGEMENT IN THE PUBLIC SERVICE IN UGANDA
IMPROVING PERFORMANCE MANAGEMENT IN THE PUBLIC SERVICE IN UGANDA: PUBLIC SERVANTS' PERSPECTIVES OF THE IMPLEMENTATION OF RESULTS ORIENTED MANAGEMENT

ACADEMISCH PROEFSCHRIFT

ter verkrijging van de graad van doctor
aan de Universiteit van Amsterdam
op gezag van de Rector Magnificus
prof. dr. ir. K.I.J. Maex
ten overstaan van een door het College voor Promoties ingestelde commissie,
in het openbaar te verdedigen in de Agnietenkapel
op woensdag 7 september 2016, te 10:00.uur
door
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Geboren te Kabwangasi, Oeganda
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Faculteit der Maatschappij – en Gedragswetenschappen
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<td>APRM</td>
<td>African Peer Review Mechanism</td>
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<td>BPMS</td>
<td>Botswana Performance Management Systems</td>
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<tr>
<td>CBS</td>
<td>Centraal Bureau voor de Statistiek (Central Bureau of Statistics)</td>
</tr>
<tr>
<td>CCS</td>
<td>Commitment Control System</td>
</tr>
<tr>
<td>CEMR</td>
<td>Council of European Municipalities and Regions</td>
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<td>CIDA</td>
<td>Canadian International Development Agency</td>
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<tr>
<td>CLGF</td>
<td>Common Wealth Local Government Forum</td>
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<td>DSC</td>
<td>District Service Commission</td>
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<tr>
<td>EMIS</td>
<td>Education Management Information System</td>
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<tr>
<td>ESAMI</td>
<td>East and Southern Africa Management Institute</td>
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<tr>
<td>ESC</td>
<td>Education Service Commission</td>
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<td>EU</td>
<td>European Union</td>
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<td>FDS</td>
<td>Fiscal Decentralization Strategy</td>
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<td>FGD</td>
<td>Focus Group Discussion</td>
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<td>GDP</td>
<td>Gross Domestic Product</td>
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<td>GEC</td>
<td>Global Economic Crisis</td>
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<td>GoU</td>
<td>Government of Uganda</td>
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<tr>
<td>HDPG</td>
<td>Health Development Partners Group</td>
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<td>HIPC</td>
<td>Highly Indebted Poor Countries</td>
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<tr>
<td>HM</td>
<td>Her Majesty</td>
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<td>HMIS</td>
<td>Health Management Information System</td>
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<td>HRM</td>
<td>Human Resource Management</td>
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<td>HSC</td>
<td>Health Service Commission</td>
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<td>ICT</td>
<td>Information, Communication Technology</td>
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<td>IFMIS</td>
<td>Integrated Financial Management Information System</td>
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<td>INFOC</td>
<td>Interfaith Based Action for Ethics and Integrity</td>
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<td>IGOs</td>
<td>International governing organizations</td>
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<td>IMF</td>
<td>International Monetary Fund</td>
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<tr>
<td>IPPS</td>
<td>Integrated Personnel and Payroll System</td>
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<td>LGs</td>
<td>Local Governments</td>
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<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
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<td>MBO</td>
<td>Management by Objectives</td>
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<td>MDAs</td>
<td>Ministries, Departments, Agencies</td>
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<td>MDGs</td>
<td>Millennium Development Goals</td>
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<td>MoES</td>
<td>Ministry of Education and Sports</td>
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<td>Ministry of Health</td>
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<td>MoLG</td>
<td>Ministry of Local Government</td>
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<td>MoPED</td>
<td>Ministry of Finance, Planning and Economic Development</td>
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<td>MoPS</td>
<td>Ministry of Public Service</td>
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<td>MTEF</td>
<td>Medium Term Expenditure Framework</td>
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<td>NDP</td>
<td>National Development Plan</td>
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<td>NGO</td>
<td>Non-Governmental Organization</td>
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<td>NHS</td>
<td>National Health Service</td>
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<td>NPG</td>
<td>New Public Governance</td>
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<td>NPM</td>
<td>New Public Management</td>
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<td>NSA</td>
<td>Next Steps Agencies</td>
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<td>Abbreviation</td>
<td>Full Form</td>
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<td>NSDS</td>
<td>National Service Delivery Survey</td>
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<td>OBT</td>
<td>Output Budgeting Tool</td>
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<tr>
<td>OECD</td>
<td>Organization of Economic Co-operation and Development</td>
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<tr>
<td>OOB</td>
<td>Output Oriented Budgeting</td>
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<tr>
<td>OPRAS</td>
<td>Open Performance Review and Appraisal System</td>
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<tr>
<td>PEAP</td>
<td>Poverty Eradication Action Plan</td>
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<tr>
<td>PHC</td>
<td>Primary Health Care</td>
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<td>PIF</td>
<td>Performance Improvement Fund (PIF)</td>
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<td>PIM</td>
<td>Performance Improvement Model</td>
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<td>PIU</td>
<td>Project Implementation Unit</td>
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<td>PNFP</td>
<td>Private Not For Profit</td>
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<td>PPP</td>
<td>Public Private Partnership</td>
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<td>PRP</td>
<td>Performance Related Pay</td>
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<td>PRSC</td>
<td>Poverty Reduction Support Credit</td>
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<td>PSA</td>
<td>Public Service Agreements</td>
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<td>PSRP</td>
<td>Public Service Reform Programme</td>
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<td>PSRRC</td>
<td>Public Service Review and Re-Organization Commission</td>
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<td>RBM</td>
<td>Results Based Management</td>
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<td>RDP</td>
<td>Reconstruction and Development Programme</td>
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<td>ROM</td>
<td>Results Oriented Management</td>
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<td>ROMA</td>
<td>Results Oriented Management and Accountability</td>
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<td>RRH</td>
<td>Regional Referral Hospital</td>
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<td>RRI</td>
<td>Rapid Results Initiative</td>
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<tr>
<td>SAP</td>
<td>Structural Adjustment Programme</td>
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<td>SASE</td>
<td>Selective, Accelerated Salary Enhancement Scheme</td>
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<tr>
<td>SDC</td>
<td>Swedish Agency for Development and Cooperation</td>
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<td>SSA</td>
<td>Sub-Saharan Africa</td>
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<tr>
<td>SSPS</td>
<td>Statistical Package for Social Scientists</td>
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<tr>
<td>SWAP</td>
<td>Sector Wide Approach</td>
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<tr>
<td>TPC</td>
<td>The Performance Centre</td>
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<tr>
<td>UK</td>
<td>United Kingdom</td>
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<tr>
<td>UN</td>
<td>United Nations</td>
</tr>
<tr>
<td>UNDP</td>
<td>United Nations Development Programme</td>
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<tr>
<td>UNESCO</td>
<td>United Nations Education, Scientific and Cultural Organization</td>
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<tr>
<td>UPE</td>
<td>Universal Primary Education</td>
</tr>
<tr>
<td>US</td>
<td>United States</td>
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<td>USAID</td>
<td>U.S. Agency for International Development</td>
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<tr>
<td>USh</td>
<td>Uganda Shilling</td>
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<tr>
<td>VAT</td>
<td>Value Added Tax</td>
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<tr>
<td>VBTB</td>
<td>Van Beleidsbegroting Tot Beleidsverantwoording (From Budget to Balance Sheet)</td>
</tr>
<tr>
<td>VNG</td>
<td>Vereniging van Nederlandse Gemeenten (Association of Netherlands Municipalities)</td>
</tr>
<tr>
<td>WITs</td>
<td>Work Improvement Teams</td>
</tr>
<tr>
<td>ZBOs</td>
<td>Zelfstandige bestuursorganen (self-accounting public organization)</td>
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Dedication

To the memory of my most dear loving mother Mary Marcella Suswan Olaki, who gave me all the encouragement and support but could not live to see this work completed,
to all members of my family and my friends,
and
to all public servants who work very hard to make a difference in service delivery and the well-being of the citizens of Uganda.
Acknowledgments

Firstly, I wish to extend my sincere appreciation to my Promoter, Prof. dr. Mark Rutgers and Co-Promoter, Associate Prof. dr. Trui Steen without whom it would not have been possible to undertake this research. You set aside time to read my draft scripts and provided appropriate guidance, coaching and mentoring that has enabled me reach this level. I also wish to thank all the academic staff, PhD students and other staff at the Universities of Leiden and Amsterdam that I have interacted with. Your contribution to my research is appreciated.

Secondly, I wish to thank the Ministry of Public Service, and the National Planning Authority for the various forms of support provided to me to undertake this study. I thank my work supervisors and colleagues at the Ministry, and staff at the Uganda Management Institute who have given me a lot of encouragement. It is not possible to list all your names here. I wish to thank all the respondents and those that have participated in this research in one way or another, by accepting an interview, completing a questionnaire or participating in a focus group discussion. I thank the staff who helped to coordinate these events in the sample ministries and local governments. I extend my appreciation to the informants in Ghana who accepted to meet with me at very short notice and to the expert informants from Zambia.

Finally, I wish to thank all my children, brothers and sisters, my father, my late mother and friends for being there for me. I had to spend long hours on the computer. You understood the task at hand and gave me your support. Thank you very much.
CHAPTER ONE
INTRODUCTION

1.1 Introduction

This is a research study on public sector performance management practices and public service delivery in Uganda. Like many other countries, Uganda has implemented a public service reform programme. As part of the implementation of the reform programme, new approaches to performance management are being introduced in the public service. The new practices that are being implemented include, amongst others, results oriented management (ROM), output oriented budgeting (OOB), performance agreements, open staff performance appraisals, and client charters. The objective of implementing these strategies is to enhance efficiency and effectiveness in public service delivery and promote value for public resources (Ministry of Public Service, 1997; 2005). These interventions are, however, perceived as being influenced by a number of external factors, including funding from development partners. Implementation, furthermore, has not been informed by appropriate local research, which would provide a basis for modification and adaptation of these Western performance management models and practices to suit the situation in Sub-Saharan Africa (SSA). As a result, a number of questions have emerged regarding what performance management is, what it is intended to achieve, who is responsible for it, and how it is expected to be implemented.

The purpose of this study is to examine the perceptions of public servants regarding the implementation of results oriented management (ROM) in the public service in Uganda, and to analyse the critical factors that affect its implementation. The specific objectives of the study are to:

i) Examine the perceptions of public servants regarding the implementation of ROM and its effect on public service delivery.

ii) Examine the critical internal factors that affect the implementation of ROM.

iii) Analyse the extent to which external factors affect the adaptation of ROM in a SSA context and propose a performance management model for Uganda.

The study proposes a theoretical model for performance management as a contribution to the development and implementation of performance management and service delivery practices in Uganda and SSA at large. While the main focus of the empirical study is Uganda, a comparative analysis of practices in selected Western and SSA countries is provided, based on available literature and own research. This comparison further supports the analysis and appreciation of the findings in Uganda. The study aims to establish the missing links that hamper the efficient and effective delivery of public services in SSA and subsequently the realization of the desired service delivery results. A number of issues that affect performance management and service delivery are analysed.
and recommendations for addressing them are made. In so doing, the study contributes to bridging the gap in the theoretical and empirical approach to public service performance management practices and public service delivery in Uganda specifically and in SSA more generally.

1.2 Background to the study
Pressure to provide quality social services in many Western countries has led to the search for results oriented performance management practices. This focus on performance management has contributed to the transformation of Western economies. Innovations and reforms in performance management have provided leverage for better public service delivery (OECD, 1997; 2005) and subsequent improvement in the quality of life of people living in Western countries.

At the same time, countries in SSA are still faced with a number of common challenges that impact the way in which public services are organized and managed. In most SSA countries, the challenges include, but are not limited to, conflict over power and leadership, war, instability, and breakdown of service delivery infrastructure (in Uganda for example, Ochieng, 1991; Kiyaga-Nsubuga,1999; African Peer Review Mechanism, 2009). SSA countries are also characterized by a diversity of ethnic groups and cultural values that have differently shaped their response to external interventions in public management and service delivery (for example, Karugire, 1980; Dia, 1996).

Most of the countries in SSA attained independence in the 1960s. Uganda attained independence in 1962. Some years afterwards, Uganda, like many of the other countries in SSA, experienced political instability that affected the way in which public services were organized and managed and the resultant quality of the services provided. The Public Service Review and Re-organization Commission (PSRRC) established that at the start of the 1990s, the civil service of Uganda had deteriorated and was in disarray. It was “over-centralized, ill-equipped, over-sized, grossly underpaid, and demoralized and demotivated” and had become “uncommitted and unresponsive to public needs” (Ministry of Public Service and Cabinet Affairs, 1990, p.16). The commission further indicates that nothing hardly got done in the public service contrary to “the view that the Uganda Civil Service at independence was hailed as one of the best civil services in Africa south of the Sahara” (Ibid., 1990, p.16).

The causes of inefficiency in the public service were perceived to arise from institutional weaknesses that led to “poor corporate organization characterised by bad division of labour and poor work arrangements for operational efficiency; unstreamlined organizational structures with improper or confused inter-relationships”(Ministry of Public Service and Cabinet Affairs, 1990, p.17). Worse still the over-establishment of the public service heightened “a vicious circle of low productivity, under-employment, inefficiency, idleness and vagrancy (moonlighting), waste of human and physical resources and existence of virtual sinecure appointments without corresponding responsibilities, repetitive
duplication of work related processes” and subsequently indiscipline and unresponsiveness (Ibid., 1990, p.18). The PSRRC attributed other causes of inefficiency in the public service to human resource management challenges that included “(i) attitude- bad leadership, nepotism, tribalism, ethnicity/sectarianism, insensitiveness and inaccessibility, boss-ism manifested in a master-rather-than servant ethos, and sheer laziness; and (ii) corruption- bribes, grafts, and gratifications for carrying out lawful duties” (Ibid., 1990, p.18).

The recommendations of the PSRRC resulted in the implementation of various strategies aimed at reforming the Ugandan public service. The initial focus of the reform programme (1991-1997) was on the rationalization and restructuring of ministries and departments, divestiture of some functions formerly performed by government to the private sector, the removal of excess staff from the public service, and the decentralization of some functions to local governments (Ministry of Public Service, 1997). ROM was piloted in some ministries and local governments in 1996, and introduced under the second phase of the Public Service Reform Programme (1997-2002). The objective of introducing ROM was to change the management culture and enhance efficiency and effectiveness in the public service (Ibid., 1997).

At the same time, and as in many other countries in SSA, Uganda was implementing Structural Adjustment Programmes (SAPs) under the Poverty Reduction Support Credit (PRSC) supported by international funding agencies (Kiragu, 2002). An initial Poverty Eradication Action Plan (PEAP) 1997/98-1999/2000 to reduce poverty and ensure economic growth was designed and implemented (Ministry of Finance, Planning and Economic Development, 2004). The PEAP became the national framework for the promotion of economic growth and poverty reduction in Uganda. This necessitated the alignment of the Public Service Reform Programme to the objectives of the PEAP. The PEAP and the administrative reforms became the springboard for strengthening the implementation of various sector specific reforms, including reforms in education and health (Ibid, 2004; Ministry of Public Service, 2005). As part of the PEAP, and in line with the requirements of the declarations on education for all and the Millennium Development Goals (MDGs), and the requirement for application of funds arising from interest savings from heavily indebted poor countries (HIPC), the government prioritised the policies for universal primary education (UPE) and primary health care (PHC) (Oxford Policy Management, 2008).

According to the PEAP Review that was led by the Office of the Prime Minister and undertaken by a consultancy firm, Oxford Policy Management, in 2008, the interventions under the PEAP led to some improvements in public service delivery, although service delivery levels and the quality of available services generally remained low. As evidenced in the National Service Delivery Survey 2008, 20% of the population had not attained formal education, while 30% of
the pupils enrolling in school did not complete primary education. The survey also established that the average distance to a government health facility was six kilometres; the average water collection time in rural areas was one hour; and 96% of households depended on wood fuel for cooking (Ministry of Public Service and Uganda Bureau of Statistics, 2009). These indicators reflect performance gaps in the public sector in a country that is well endowed with natural resources and point to the challenges that are encountered in public sector performance management and service delivery.

1.3 Statement of the problem

There is much debate in Uganda about the efficiency and effectiveness of performance management in the public service and about the quality of public service delivery, from both political and administrative perspectives. Although there are established public service institutions, the extent to which they meet their intended objectives and the needs of service recipients and citizens at large is being called into question. Public sector performance management is critical to ensure that administrative and sector reforms are efficiently and effectively implemented in order to provide public services that improve the well-being of the citizens of Uganda (Ministry of Public Service, 2005). The National Development Plan (2010/11-2015/16) recognized that “weak public sector management and administration” was one of the key “binding constraints” to public service delivery and economic growth and development (National Planning Authority, 2010, p.27). A better performing public service is expected not only to provide quality services and promote the well-being of citizens, but also to promote a better performing economy. Addressing performance management challenges is therefore regarded as one of the main avenues through which sustainable development and transformation of the economy can be promoted (National Planning Authority, 2010).

ROM was introduced in the public service in Uganda as part of its Public Service Reform Programme, in order to change the management culture and enhance efficiency and effectiveness in public service delivery (Ministry of Public Service, 1997). Notwithstanding this effort, a review of the implementation of the reform programme observed that there was inadequate support from permanent secretaries for the introduction of ROM. The review also documented a prevailing perception that ROM involves extra work for already underpaid staff, leading to some slackness in implementation in some ministries. In addition, as there were a number of sectoral reforms being implemented simultaneously ROM was not viewed as directly relevant to the strategies of the ministries (Ministry of Public Service, 2001).

The public service reform strategic framework 2005/06-2009/10 emphasized that ROM was expected to strengthen the performance and accountability of public service organizations. It specifically indicated that:
there have been difficulties in ensuring the effectiveness of the initiative. Among the constraints to the effective introduction of ROM include: a failure from the outset to synchronise it with public service management processes, especially the planning and budgeting processes; poor appreciation of, and commitment to, ROM across the public service; the absence of an incentive framework to support the initiative (Ministry of Public Service, 2005, p.6).

In addition, other constraints that affected the implementation of the overall reform programme were identified, including “(a) skills gap and weak management, b) weak performance and accountability, c) inefficient and over extended organization, d) a disenabling work environment, e) poor pay, (f) sustained support for reform among political and technocratic leadership” (Ibid., 2005, p.4-5). Other reports on the implementation of ROM echoed similar challenges (Ministry of Public Service, 2003; Atos Consulting, 2008, a review on behalf of Ministry of Public Service; Sevic, 2010, a review on behalf of Ministry of Public Service; KPMG, 2012, a review on behalf of Ministry of Public Service). Arising from the above, although strategic plans and operational plans articulate what needs to be done, there is a wide discrepancy between what is actually planned and what happens on the ground (Oxford Policy Management, 2008, on behalf of the Office of the Prime Minister).

The National Development Plan (NDP) 2010/11-2014/15 specifically indicates that the public service performance measurement and management framework is still weak. The NDP also indicates that:

- weak institutions, structures, and systems take the form of inappropriate organizational structures, inadequate systems, understaffing, limited strategic oversight, overlapping and duplication of roles, protracted institutional infancy, weak client responsiveness, and inefficient bureaucracy (National Planning Authority, 2010, p.27-28).

In addition, “there are no organized processes amongst the central control agencies for ensuring that government objectives are properly financed and implemented; and that the problems in policy management and service delivery are identified and fixed” (Ibid., 2010, p.341). Furthermore, there is concern that the ROM initiative needs to be complemented by the institution of better compliance and control measures (Ibid., 2010). At the same time, the PEAP Review Report (2008) indicated that “major national policies are launched (e.g. in education) without sufficient attention or commitment to the level of sustained funding necessary for their effective operation”(Oxford Policy Management, 2008, p.60). In the light of such contradictory policy decisions, doubt prevailed about the degree of government awareness and effective responsiveness to the problems at hand. Furthermore,

- the preparation of annual work plans- which should be a critical part of the system, providing the detailed expression of the sequence of
practical activities needed to make progress towards strategic objectives—seems to receive relatively little attention at sector or ministry level (though it is clearly a reality at district level). In consequence, a major link between intended policy outcomes and the day-to-day work of the public service is weaker than it might be, and the capacity of top management to drive forward implementation in line with policy priorities and to monitor progress is undermined (Oxford Policy Management, 2008, p.65).

The PEAP Implementation Review Report of May 2008 further indicated that the goal of performance should be “to move beyond the traditional bureaucratic focus on conformance or compliance with laws, rules and regulations, to the creation of a culture in which public servants are conscientiously focused on providing citizens with good services” (Ibid., 2008, p.66). Considering that compliance, however, is regarded as a basic requirement for performance improvement, the report also emphasized that:

strengthening legal and regulatory compliance and financial and professional accountability of public servants requires better management control within ministries. Improving such control is not just a matter of new or improved instruments. It requires a cultural change and this is difficult. It requires a determined, joined-up and persistent effort utilizing the full range of formal and informal influences on staff behaviour, attitudes and values (Ibid, 2008, p.64).

This requires a high level of commitment to reform of the performance and service delivery mechanisms; a commitment that has been questioned in the Ugandan context. Subsequently, there is a gap between the goal of performance management and the level of basic compliance to regulations and procedures (Ibid., 2008). This affects the quality of public service delivery and is also a confirmation of weak public sector management and administration, as highlighted in the NDP 2010/11-2014/15 (National Planning Authority, 2010).

The above observations, which arise from the rationale for the Public Service Reform Programme 2005/06-2009/10, the assessments of the PEAP 2008, the NDP 2010/11-2014/15, and the reviews of the implementation of ROM, are an indication that the current reforms aimed at strengthening performance management and service delivery are not producing the desired results. The reforms need to be reviewed if performance management is to lead to a cultural change in work methods and subsequent improvement in service delivery. For the service delivery objectives and aspirations of citizens to be met in Uganda, appropriate research interventions aimed at contributing to the establishment and implementation of a robust performance management and service delivery model are necessary.
As indicated above, one of the strategies being implemented under the Public Service Reform Programme to enhance efficiency and effectiveness in public service delivery is results oriented management (ROM). ROM has been designed as a critical component of performance management reform that aims to provide clarity in terms of the vision and objectives of public service organizations, and thus subsequently support the efficient and effective implementation of government policies and programmes (Ministry of Public Service, 1997; 2005). However, as highlighted in the problem statement, the implementation of a results oriented performance management system has faced wide ranging criticism that it is unable to meet the desired expectations of improved accountability for performance and responsiveness in public service delivery. Public servants are at the centre of the implementation of ROM and are well suited to assess the internal operations of the public service, as well as their effect on the public services that are delivered to citizens. This study therefore focuses on the perceptions of public servants regarding the strengths and weaknesses of ROM implementation. Arising from that, it is important to establish whether public servants consider ROM to be a performance management practice that can work in the Ugandan public service and to investigate what they consider to be critical pre-conditions for its implementation. This raises a number of questions.

The overall research question that this study seeks to address is:

*What are the critical factors affecting the implementation of results oriented management in Uganda from the perspective of public servants?*

The specific questions are:

**What is results oriented management?** Different perceptions of what ROM actually is are likely to affect the extent to which it is appreciated and institutionalized. If public servants are not very clear about what is expected of them, most probably their performance will fall short of expectations. This question will seek to address that concern. Firstly, a theoretical perspective is discussed, and thereafter the question of how ROM is perceived and practiced in Uganda is considered. Within the question of what ROM is, is the concern of whether ROM can be applied in the same way throughout the public sector or whether it requires adaptation depending on the requirements of specific public sector policy institutions. This is a very important issue as it relates to the perception that different institutions in the public service may adopt different performance management systems that may be found more suitable for their sectors. The issue is addressed by comparing two policy sectors of health and education in Uganda, as will be discussed later.

**What are the critical factors affecting the implementation of ROM and subsequent improvement in public service delivery in the Ugandan setting?** There is concern about whether ROM is a system that can work
irrespective of the prevailing conditions in an organization. Where it does not work, this raises concerns about whether ROM in itself is at fault. This question seeks to examine whether there are pre-conditions for successful implementation of ROM. As indicated earlier, this question focuses on the perception of public servants regarding the factors that they consider to be critical. This focus is chosen because it is public servants who are at the centre of ROM implementation.

**What are the factors that affect the transfer of ROM from a Western setting to a SSA situation like Uganda?** This question is important to the extent that ROM is perceived as a Western management approach. Within Western countries where performance management is considered more institutionalized, there may be challenges that have implications for the transfer of practices to other settings. This question seeks to address the extent to which ROM needs to be and can be adapted to a local SSA environment. This is of specific importance as ROM has been introduced mainly through donor support and technical assistance, which may include possibilities for imposition by funding agencies or voluntary adaptation. In this regard, the study aims to outline a normative model for ROM to address the concern of how results orientation can be modelled in the Ugandan context.

### 1.5 Methodology of the study

Considering that a detailed methodology is discussed in Chapter Three, the aim of this section is to provide a highlight of the study's key methodological issues. Firstly, the research methods and techniques of the study are outlined. In addition, the countries where the study was undertaken are presented. Thereafter, specific policy areas of study and the limitations of the study are discussed.

#### 1.5.1 Research methods and techniques

The research design that informed the study methodology was that of a case study of Uganda. The focus on the experiences and perceptions of public servants also informed the methodology. In order to address the first research question, ‘What is ROM?’, a review of secondary information on Western and SSA experiences of performance management reforms was undertaken so as to appreciate the diversity and commonality of the contexts in which ROM has been developed and implemented. In addition, and as indicated earlier, the concerns about whether ROM can be uniformly applied to the different sectors of the public service was considered within the same research question.

In order to address the question within the Ugandan context, interviews with informants using an interview guide were conducted, and focus group discussions with selected participants from ministries and local governments were held. Participants were specifically requested to indicate what practices they could identify that provide leverage for the implementation of ROM within the two sectors studied: health and education. Furthermore, a self-administered
questionnaire was applied that required respondents to indicate areas where ROM was being applied within their organization.

The second question on the critical factors affecting the implementation of ROM and the subsequent improvement in public service delivery required an analysis of whether there are certain preconditions for ROM implementation. In order to address this question, a theoretical analysis was undertaken to inform the study regarding the critical issues affecting ROM implementation. Following that, responses were sought through interviews with informants with an informed view and experience of public sector management issues, especially those within their organization. Specific questions were also raised during focus group discussions with selected participants from ministries and local governments. In addition, through the self-administered questionnaire, respondents were specifically requested to indicate the factors that they thought impacted the implementation of ROM.

Regarding the third question on the external factors affecting the transfer of ROM from a Western setting to SSA, a review of secondary literature was undertaken, supplemented by information from interviews and focus group discussions. The question is intended to address the extent to which ROM can be adapted to a SSA country like Uganda. Therefore, secondary data on practical experiences in the countries of comparison was mainly applied to inform the study. For all three questions, participant observation at the workplace and at service delivery points was undertaken.

The study also involved comparative analysis, including specific analysis of practices in Ghana and Zambia. Reference to the two countries of comparative study was mainly based on available literature and website materials. A single visit to Ghana to meet key informants and validate information was undertaken. Aside from comparison with Ghana and Zambia, (good) practices were drawn from the United Kingdom and the Netherlands, mainly through the review of available literature. In the case of the Netherlands, the researcher had the opportunity to share knowledge and experiences with academics in Public Administration Studies at the University of Leiden and in Public Administration and Anthropology at the University of Amsterdam.

The public service in Uganda, and in many SSA countries, was modelled along the historical experiences with the United Kingdom. Uganda, Ghana, and Zambia are all former British colonies. Both the United Kingdom and the Netherlands have generated management ideas and adopted service delivery frameworks from which Uganda and SSA can generally benefit. In addition, the two are among the leading countries that provide financial and technical aid to countries in SSA. A wide range of literature and information regarding the reforms in these countries is available. The literature that was selected, however, was limited to the areas of performance management reform. Therefore, for each of the questions above, comparative analysis was undertaken mainly
1.5.2 Countries as object of study

The study was undertaken in Uganda, a country that was proclaimed the Pearl of Africa by British World War II Prime Minister Sir Winston Churchill (Uganda the Pearl, 2007). Uganda is a landlocked country with an area of 236,040 square kilometres. The terrain is mostly plateau with a rim of mountains. It has a tropical climate, though the north-east of Uganda is semi-arid. The country is generally very fertile with many lakes and rivers (http://www.newworldencyclopedia.org/entry/uganda accessed 08.13.2015).

Shortly after independence, Uganda descended into a situation of political and economic instability. Over the last twenty-five years, however, Uganda has experienced relative peace and stability in most parts of the country, though some areas were affected by war and insecurity for longer periods of time. According to the interim national census results 2014, the population of Uganda is 34.9m people (Uganda Bureau of Statistics, 2014). The Uganda National Household Survey 2009/10 (Uganda Bureau of Statistics, 2010) indicates that about 51% of the population is in the age bracket 1-15 years. Most of the population (about 85%) resides in rural areas. The literacy rate is estimated at 73%. Poverty was reported to have reduced from 31.1% in 2006 to 24.5% in 2010. The average monthly national household income is estimated at USh. 303,700. In some regions, however, the average estimate is about USh. 130,000.

According to the Ministry of Finance, Planning and Economic Development (MoFPED) (2010), the Ugandan economy grew by 5.8% during the financial year 2009/10, 1.4% less than had been achieved in FY 2008/09. While collection of domestic revenue is reported to have increased, the budget of Uganda is still dependent on support from development partners. According to the MoFPED, this accounts for 18.2% of the budget (MoFPED, 2014). The effects that are however, usually felt by the sectors whenever donor aid is withheld seem to indicate that the donor contribution is more than 18%. Overall, the above performance indicators have implications for performance management and the provision of public services where the public sector is still the key player. On the one hand, they are indicators of the performance of the public service, while on the other hand they may contribute to the maintenance of its non-responsive state if not systematically addressed.

The study involved comparison with a selection of two other countries in Africa, namely Zambia and Ghana. These are among the SSA countries that now experience stability and are at various stages of implementation of public sector reforms. The comparison is provided in the table below.
<table>
<thead>
<tr>
<th>Issue</th>
<th>Uganda</th>
<th>Ghana</th>
<th>Zambia</th>
</tr>
</thead>
<tbody>
<tr>
<td>Independence</td>
<td>9th October 1962</td>
<td>6th March 1957</td>
<td>24th October 1964</td>
</tr>
<tr>
<td>Total area size</td>
<td>241,038 km²</td>
<td>238,533 km²</td>
<td>752,618 km²</td>
</tr>
<tr>
<td>Climate</td>
<td>Tropical, generally rainy with two dry seasons (December to February and June to August), semi-arid in north-east</td>
<td>Tropical, warm and comparatively dry along south-east coast, hot and humid in south-west, hot and dry in north</td>
<td>Tropical, modified by altitude, rainy season October to April</td>
</tr>
<tr>
<td>Terrain</td>
<td>Mostly plateau with rim of mountains</td>
<td>Mostly low plains with dissected plateau in south-central area</td>
<td>Mostly high plateau with some hills and mountains</td>
</tr>
<tr>
<td>Natural resources</td>
<td>Copper, cobalt, hydropower, limestone, salt, arable land, gold</td>
<td>Gold, timber, industrial diamonds, bauxite, manganese, fish, rubber, hydropower, petroleum, silver, salt, limestone</td>
<td>Copper, cobalt, zinc, lead, coal, emeralds, gold, silver, uranium, hydropower</td>
</tr>
<tr>
<td>Ethnic groups</td>
<td>Various</td>
<td>Various</td>
<td>Various</td>
</tr>
<tr>
<td>Population</td>
<td>35,918,915 (July 2014 est.)</td>
<td>25,758,108 (July 2014 est.)</td>
<td>14,638,505 (July 2014 est.)</td>
</tr>
<tr>
<td>Dependency ratio</td>
<td>Youth – 98.4% Elderly – 4.9%</td>
<td>Youth – 66.2% Elderly – 6%</td>
<td>Youth – 91.8% Elderly – 5.2%</td>
</tr>
<tr>
<td>Population growth rate</td>
<td>3.24% (2014 est.)</td>
<td>2.19% (2014 est.)</td>
<td>2.88% (2014 est.)</td>
</tr>
<tr>
<td>Urbanization</td>
<td>15.6% *</td>
<td>51.9% (2011)</td>
<td>39.2% (2011)</td>
</tr>
<tr>
<td>Maternal mortality rate</td>
<td>310 deaths/100,000 live births *</td>
<td>350 deaths/100,000 live births (2010)</td>
<td>440 deaths/100,000 live births (2010)</td>
</tr>
<tr>
<td>Infant mortality rate</td>
<td>60.82 deaths/1000 live births</td>
<td>38.52 deaths/1000 live births</td>
<td>66.62 deaths/1000 live births</td>
</tr>
<tr>
<td>Life expectancy at birth</td>
<td>54.46 years</td>
<td>65.75 years</td>
<td>51.83 years</td>
</tr>
<tr>
<td>Health expenditure</td>
<td>9.5% of GDP (2011)</td>
<td>4.8% of GDP (2011)</td>
<td>6.1% of GDP (2011)</td>
</tr>
<tr>
<td>Physicians density</td>
<td>0.12 physicians/1000 population (2005)</td>
<td>0.09 physicians/1000 population (2009)</td>
<td>0.07 physicians/1000 population (2010)</td>
</tr>
<tr>
<td>Hospital bed density</td>
<td>0.5 beds/1000 population (2010)</td>
<td>0.9 beds/1000 population (2011)</td>
<td>2 beds/1000 population (2010)</td>
</tr>
<tr>
<td>Education expenditure</td>
<td>3.3% of GDP (2012)</td>
<td>8.1% of GDP (2011)</td>
<td>1.3% of GDP (2008)</td>
</tr>
<tr>
<td>Literacy rate</td>
<td>73.2%</td>
<td>71.5%</td>
<td>61.4%</td>
</tr>
<tr>
<td>School life expectancy (primary to tertiary education)</td>
<td>11 years</td>
<td>12 years</td>
<td>14 years</td>
</tr>
<tr>
<td>Issue</td>
<td>Uganda</td>
<td>Ghana</td>
<td>Zambia</td>
</tr>
<tr>
<td>------------------------------</td>
<td>----------------------</td>
<td>---------------------</td>
<td>---------------------</td>
</tr>
<tr>
<td>GDP real growth rate</td>
<td>5.6% (2013 est.)</td>
<td>7.7% (2013 est.)</td>
<td>6% (2013 est.)</td>
</tr>
<tr>
<td>GDP composition by sector</td>
<td>Agriculture – 23.1%</td>
<td>Agriculture – 21.5%</td>
<td>Agriculture – 19.8%</td>
</tr>
<tr>
<td></td>
<td>Industry – 26.9%</td>
<td>Industry – 28.7%</td>
<td>Industry – 33.8%</td>
</tr>
<tr>
<td></td>
<td>Services – 50%</td>
<td>Services – 49.8%</td>
<td>Services – 46.5%</td>
</tr>
<tr>
<td></td>
<td>(2013 est.)</td>
<td>(2013 est.)</td>
<td>(2013 est.)</td>
</tr>
<tr>
<td></td>
<td>**</td>
<td>11% (2000 est.)</td>
<td>14% (2006 est.)</td>
</tr>
<tr>
<td>Labour force by occupation</td>
<td>Agriculture – 82%</td>
<td>Agriculture – 56%</td>
<td>Agriculture – 85%</td>
</tr>
<tr>
<td></td>
<td>Industry – 5%</td>
<td>Industry – 15%</td>
<td>Industry – 6%</td>
</tr>
<tr>
<td></td>
<td>Services – 13%</td>
<td>Services – 29%</td>
<td>Services – 9%</td>
</tr>
<tr>
<td></td>
<td>**</td>
<td>24.5% (2009 est.)</td>
<td>28.5% (2007 est.)</td>
</tr>
<tr>
<td>Population below poverty</td>
<td>24.5% (2009 est.)</td>
<td>28.5% (2007 est.)</td>
<td>64% (2006)</td>
</tr>
<tr>
<td>line</td>
<td>**</td>
<td>(2013 est.)</td>
<td>(2013 est.)</td>
</tr>
<tr>
<td></td>
<td>**</td>
<td>14.2% of GDP</td>
<td>23.2% of GDP</td>
</tr>
<tr>
<td>Taxes</td>
<td>14.2% of GDP (2013 est.)</td>
<td>23.2% of GDP (2013 est.)</td>
<td>21.6% of GDP (2013 est.)</td>
</tr>
<tr>
<td>Inflation rate</td>
<td>6.2% (2013 est.)</td>
<td>11% (2013 est.)</td>
<td>7.1% (2013 est.)</td>
</tr>
</tbody>
</table>

* Data regarding date not provided in the original source
**Data not provided in the original source

These indicators demonstrate that the three countries have similar characteristics in terms of history, climate, natural resources, demography, and economy, and this is taken into account in the analysis in the subsequent chapters. Geographical maps of the three countries are provided in Figure 1.1 below.

Figure 1.1 Maps of Uganda, Ghana, and Zambia from World Fact Book

![Uganda](Uganda.png)
![Ghana](Ghana.png)
![Zambia](Zambia.png)

Having provided information regarding the social and economic characteristics of the SSA countries under study, it is appropriate that similar information for the United Kingdom and the Netherlands is also provided; see table below.

Table 1.2. Common characteristics of the Netherlands and the United Kingdom

<table>
<thead>
<tr>
<th>Issue</th>
<th>Netherlands</th>
<th>United Kingdom</th>
</tr>
</thead>
<tbody>
<tr>
<td>Location</td>
<td>Western Europe, bordering the North Sea, between Belgium and Germany; the Netherlands includes Sint Maarten, Curacao and Aruba, Bonaire, Sint Eustatius, and Saba as special administrative units</td>
<td>Western Europe, islands between the North Atlantic Ocean and the North Sea, north-west of France; the UK includes England, Wales, Scotland, and Northern Ireland</td>
</tr>
<tr>
<td>Independence</td>
<td>1579</td>
<td>12th April 1927 – establishment of the United Kingdom of Great Britain and Northern Ireland*</td>
</tr>
<tr>
<td>Total area size</td>
<td>41,543 km²</td>
<td>241,610 km²</td>
</tr>
<tr>
<td>Climate</td>
<td>Temperate, marine, cool summers and mild winters</td>
<td>Temperate, moderated by prevailing south-east winds over the north Atlantic current, more than one-half of days are overcast</td>
</tr>
<tr>
<td>Terrain</td>
<td>Mostly coastal lowland and reclaimed land (polders), with some hills in the south-east</td>
<td>Mostly rugged hills and low mountains; level to rolling plains in east and south-east</td>
</tr>
<tr>
<td>Natural resources</td>
<td>Natural gas, petroleum, peat, limestone, salt, sand and gravel, arable land</td>
<td>Coal, petroleum, natural gas, iron ore, lead, zinc, gold, tin, limestone, salt, clay, chalk, gypsum, potash, silica sand, slate</td>
</tr>
<tr>
<td>Ethnic group</td>
<td>80.7% Dutch; 19.3% others</td>
<td>87.2% white, 12.8% others</td>
</tr>
<tr>
<td>Population</td>
<td>16, 877,351 (July 2014 est.)</td>
<td>63,742,977 (July 2014 est.)</td>
</tr>
<tr>
<td>Dependency ratio</td>
<td>Youth – 25.9%</td>
<td>Youth – 27.1%</td>
</tr>
<tr>
<td>Population growth rate</td>
<td>0.42% (2014 est.)</td>
<td>0.54% (2014 est.)</td>
</tr>
<tr>
<td>Urbanization</td>
<td>83% of total population (2010)</td>
<td>80% of total population (2010)</td>
</tr>
<tr>
<td>Maternal mortality rate</td>
<td>6 deaths/100,000 live births (2010)</td>
<td>12 deaths/100,000 live births **</td>
</tr>
<tr>
<td>Infant mortality rate</td>
<td>3.66 deaths/1000 live births</td>
<td>4.44 deaths/1000 live births</td>
</tr>
<tr>
<td>Life expectancy at birth</td>
<td>81.12 years</td>
<td>80.42 years</td>
</tr>
<tr>
<td>Health expenditure</td>
<td>12% of GDP (2011)</td>
<td>9.3% of GDP (2011)</td>
</tr>
<tr>
<td>Physicians density</td>
<td>3.92 physicians/1000 population (2007)</td>
<td>2.77 physicians/1000 population (2011)</td>
</tr>
<tr>
<td>Education expenditure</td>
<td>5.9% of GDP (2011)</td>
<td>6.2% of GDP **</td>
</tr>
<tr>
<td>Literacy rate</td>
<td>99% (2003 est.)</td>
<td>99% **</td>
</tr>
<tr>
<td>School life expectancy (primary to tertiary)</td>
<td>18 years</td>
<td>16 years</td>
</tr>
</tbody>
</table>
These indicators provide some glaring differences between the Netherlands and the United Kingdom and the countries in SSA, which are applied in the analysis in the subsequent chapters. There are also some marginal differences between the two Western countries, for example allocation to the health sector, maternal mortality rate, and the population living below the poverty line.

1.5.3 Policy sectors as objects of study
Having highlighted the research methods used to address the distinct research questions and having identified the countries of study, it is now appropriate to provide a brief overview regarding the specific policy areas of study. This is important in order to demonstrate that implementation of ROM does not take place in a vacuum but is related to specific service provision.

The study targeted the sectors of education and health, as a number of reforms are being implemented in these sectors that have a substantial contribution to make to the attainment of the requirements of the declaration of education for all (UNESCO, 1990), and the United Nations declaration on MDGs (United Nations, 2000), re-launched as the sustainable development goals (SDGs) (United Nations, nd); and are also expected to provide a leading contribution to economic growth and the development of the nation. In addition, the education and health sectors are of strategic importance to the lives of almost all people in Uganda. All citizens are directly or indirectly affected by these services on a regular basis. Within the education sector, the study focused on the provision of universal primary education. In the health sector, the study focused on primary health care.
In Uganda, the education sector is led by the Ministry of Education and Sports. It is responsible for higher education (universities and tertiary institutions), continuing education (in different professional areas), senior secondary education, secondary education, vocational education, primary education, and pre-primary education. The scope of the study in the education sector specifically focuses on the primary sub-sector. Under this sub-sector, universal primary education (UPE) is the key policy priority driving performance and service delivery. The study therefore focused on the provision of primary education. This involves pupils of school going age between 6 and 18 years. According to the National Service Delivery Survey 2008, they represent 66.5% of the population. In addition, teachers in primary schools account for about 50% of public sector employees (size of the public service, July 2014 at annex 2 (i), excluding those that are employed in the private sector. Primary education service is provided through the decentralized service delivery system. Its objectives are to: “(i) increase and improve equitable access to quality education; (ii) improve the quality and relevance of primary education; (iii) improve the effectiveness and efficiency in the delivery of primary education” (Ministry of Education and Sports, 2007, pp.21-22).

The health sector is led by the Ministry of Health. The services in this sector provided by the government include referral hospital services in the national referral and regional referral hospitals, district level medical services provided by a district hospital, and primary health care services provided at health centres. The policy priority for the health sector is the delivery of a primary health care package. The study therefore focuses on primary health care. The minimum health care package in Uganda comprises “the most cost-effective priority healthcare interventions and services addressing the high disease burden that are acceptable and affordable within the total resource envelope of the sector” (Ministry of Health, 2010a, p.16). It covers:

a) Health promotion, environmental health, disease prevention and community health initiatives, including epidemic and disaster preparedness and response; (b) Maternal and Child Health; (c) Prevention, management and control of communicable diseases; (d) Prevention, management and control of non-communicable diseases (Ibid., 2010a, p.16).

Although not a direct target for this study, the issues of performance management and service delivery are at the core of public sector management that, amongst others, involves the key policy and coordinating institutions that include the Ministry of Public Service, the Ministry of Local Government, and the Ministry of Finance, Planning and Economic Development. These ministries have overall responsibility for policy management relating to restructuring, human resources, decentralization, and planning and budgeting. The key reforms currently being spearheaded by the respective ministries are the public service administrative reform programme, decentralization reforms, and financial
management reforms. The key policy drivers of the reforms are results orientation within the public service (Ministry of Public Service, 2005), bringing public services nearer to the citizens through the policy of decentralization (Ministry of Local Government, 2006), and accountability and value for public resources (Budget Act, 2001; Wynne, 2005; Public Finance Management Act, 2015).

The study was undertaken in four regions of Uganda, namely the north, east, west, and central, to take into account the decentralized service delivery system. Gulu district represented the northern region, Tororo district the eastern region, Kabarole district the western region, and Luweero district the central region. This is in line with the unique dimensions of the study population, the different socio-economic environments, and the rural and urban dimensions of service provision.

1.5.4 Limitations of the study
The study encountered some limitations. Firstly, as described earlier, the study focuses on the perceptions that public servants hold regarding ROM (e.g. as a system that either works or does not work), and not on the actual outcomes of its implementation. A specific study on the outcomes of the implementation of ROM is an area where further research can be undertaken. Secondly, only two sectors (health and education) and four local government districts (Gulu, Tororo, Kabarole, and Luweero) were selected for the study. It would be of additional value to conduct such a detailed study in a broad range of sectors and local governments in the public service in Uganda. Thirdly, a number of critical issues that affect the implementation of performance management reforms were identified and analysed. The issues that were identified were very broad in scope, but at the same time, there may be many other issues that were not explained. Both the scope and the depth of the issues covered generate areas for future research. At the end of this study, some suggestions will be made for areas of further study.

1.6 Significance of the study
As indicated earlier, the study examines performance management in the public service and service delivery practices, and identifies a number of challenges that contribute to the maintenance of the status quo. There is a general view that the public service is unresponsive to the expectations and needs of citizens, yet within the available resource envelope there is room to achieve better results. There is also room to exploit available natural resources in order to improve the provision of public services and, subsequently, citizen welfare. This is an indication for the requirement of good governance in public service delivery and the creation of public value for citizens.

This study contributes to the body of knowledge on public service performance management and public service delivery in Uganda and in SSA generally. It
generates new information and recommendations that can be applied in the promotion of the Public Service Reform Programme, with particular regard to the design of public sector performance management models and service delivery initiatives. In addition, a performance and service delivery model is proposed that may be applied to promote a common results oriented performance management model for Uganda. The study intends to increase awareness and knowledge among the respondents within the research regarding what performance management is; the possibilities they have to influence the way in which public service performance is managed, and their individual and collective role in public service delivery. Furthermore, the study provides insights into the transfer of performance management practices to a non-Western context, which are critical for the implementation of public performance management reforms specifically, and public sector reforms more generally, within individual organizations in Uganda, the public service as a whole, and within the region of SSA.

1.7 Structure of the thesis

In this first chapter of the thesis, an introduction and background, the study problem, and the significance of the study have been identified. The second chapter provides the theoretical framework, both from the experience of some Western countries and from a SSA perspective, on the development of public administration, the emergence of public sector reforms, and the growing focus on performance management and service delivery reforms. The methodology of the study is presented in the Third Chapter. In Chapter Four, both the theoretical and empirical findings on the research question regarding what ROM is are presented and analysed. In Chapters Five to Nine, both theoretical and empirical findings regarding the question about the critical factors affecting the implementation of ROM are discussed. The comparative analysis of the experiences in Ghana and Zambia, and in the Netherlands and the UK, that form the basis for the discussion of the transfer of Western performance management reforms and practices to the SSA setting is considered in Chapter Ten. In Chapter Eleven, the emerging observations and recommendations from the study are discussed, and finally, a proposed model for ROM in Uganda is presented.
CHAPTER TWO
THEORETICAL FRAMEWORK FOR THE STUDY OF RESULTS ORIENTED PERFORMANCE MANAGEMENT AND SERVICE DELIVERY IN THE PUBLIC SERVICE IN UGANDA

2.1 Introduction to the theoretical framework
In this chapter, the overall theoretical framework guiding this study of the experiences of implementing results oriented performance management reforms in the Ugandan public service is examined. Firstly, theoretical approaches to performance management are discussed. Within that discussion, working definitions of performance management and public service delivery are derived. Secondly, an overview of the theories of organization and management, the development of public administration, and the emergence of public sector performance management reforms in Western countries is discussed. The objective of this discussion is to highlight the context in which results oriented performance management approaches have been developed and implemented. A performance management model for Western countries is presented and later applied in the analysis of both theoretical and empirical findings. Having discussed the developments from a Western perspective, an overview of the development of public administration and performance management in a SSA setting is given. Within this discussion, a brief history of the development of the public service in Uganda is presented to set the stage for a detailed discussion of performance management practices. Finally, to conclude the chapter, emerging theoretical issues and the theoretical framework for the empirical study are highlighted.

2.2 Theoretical approaches to performance management and service delivery
According to Dijkstra (2007, p. 218), “administrative history studies and official contemporary reports make it abundantly clear that performance has been a main concern since the inception of modern government some 200 years ago”. Farazmand (2001, p. 11) too contends that “development was a constant variable in all major civilization powers and others because all strived for improvement in human conditions in governance, military, the economy and society”. This section highlights the theoretical approaches that have shaped developments in performance management and service delivery. It also proposes the definitions that will be applied in the context of this research.

2.2.1 Performance management
Recognising that performance management is a specific approach to management, it is imperative that the concepts of both management and performance are appreciated separately, before a working definition of
performance management is derived. Drucker (1973, p. 6) defines management as “a function, a discipline, a task to be done”, and makes a distinction between the function (management) and the people who perform the function (managers). With his notion of “management by objectives (MBO)”, Drucker further asserts that, “performance requires that each job be directed towards the objectives of the whole organization” (Ibid., 1973, p. 430). According to the author, this involves clarification of how managers and their respective department or unit contribute to other departments and units to support the mutual attainment of organizational objectives (Ibid., 1973). Team work and results are implied in this definition. In addition, the definition provides a distinction between what the manager does and the results she/he achieves, an issue of great interest for this study.

In addition to the definition offered by Drucker; Gordon, Mondy, Sharplin and Premaeux (1990, p. 4) contend that “management is the process of getting things done through the efforts of other people. This often involves the allocation and control of money and physical resources”. Besides teamwork and results, this definition highlights the issue of resources. According to Hughes (1998, p.5) “management involves: first, the achievement of results, and secondly, personal responsibility by the manager for results being achieved”. These definitions reaffirm the expectations of management both as a function that must be done and the process through which it is undertaken to achieve results. The issues of economy, efficiency, and effectiveness that are fundamental for performance management are implicit in these definitions.

The first issue is that of economy. Pollitt and Bouckaert (2011, p. 135) contend that economy is “the saving of inputs (which could be actual cash, or materials used, or staff needed—all of which can be translated into monetary terms)”. In the same vein, Flynn (1997, p. 174) indicates that economy is about “staying within the budget”. Both of these definitions point to the limited availability of resources, and the necessity to minimize or save their usage in the production of a specific output. According to Mullins (2010, p. 475), managerial efficiency is “concerned with doing things right and relates to inputs and what the manager does. ... To be efficient the manager must attend therefore to the input requirements of the job”. Similarly, Gordon et al. (1990, p. 14) assert that efficiency is “the proportional relationship between the quality and quantity of inputs, and the quantity and quality of outputs produced”. Furthermore, Mullins (2010, p. 475) contends that “effectiveness is concerned with ‘doing the right things’ and relates to outputs of the job and what the manager actually achieves”. To Gordon et al. (1990, p. 14), effectiveness is “the degree to which the process produces the intended outputs”. These definitions imply that economy, efficiency, and effectiveness are mutually interdependent.

In addition to being mutually interdependent, the definitions above appear to assume that it is feasible to balance managerial efficiency and effectiveness. The
questions of equity and the distribution of services however, arise. Peters and Gordon (2008, p.382) argue that:

there are two standard dimensions of equity: horizontal and vertical. Vertical equity is defined as fairness in the treatment of people in differing social positions (usually different levels of income or consumption). Horizontal equity is defined as the fairness in the treatment of people at the same levels.

These definitions of equity presuppose a well functioning market system. In this regard, Hughes (1998, p.97) points out that “there are some circumstances where markets may not provide all the goods and services that are desired, or may do so in ways which adversely affect society as a whole”. This influences decisions about the allocation of resources and subsequently, performance management and service delivery. In addition to the above challenges, Pollitt and Bouckaert (2011, p. 200) point out that:

when managers are enjoined to concentrate on concrete outputs (licences issued, grants given, training courses completed) they tend to lose sight of outcomes and, therefore, to stress efficiency rather than effectiveness. When, alternatively, managers are asked to concentrate on outcomes and effectiveness, it is hard to hold them responsible and accountable, for several reasons.

This discussion indicates the intricacies and complexity of management theory and practice. Overall, the different definitions above imply that management: (i) is an organizational function; (ii) involves providing direction and coordinating individuals, teams, and other resources; (iii) focuses on economy, efficiency, effectiveness, and equity; and (iv) is directed towards the achievement of results.

Having outlined what management is, a discussion of performance is imperative before defining performance management. According to Armstrong (2006, pp. 497-498), “performance is often defined simply in output terms - the achievement of quantified objectives.” In that regard, “performance is a matter not only of what people achieve but how they achieve it. ...both inputs (behavior) and outputs (results) need to be considered” (Ibid., 2006, p.498). Performance (both positive and negative) is, therefore, a product of management. The process or manner of performing – that is, the direction or course of action – should be seen to lead to, or be in tandem with, the attainment of an objective. Therefore, according to Holloway (1999, p. 240), “performance is managerial work needed to ensure that the organization’s top-level aims (sometimes expressed as vision and mission statements) and objectives are attained”. Similarly, van Dooren, Bouckaert and Halligan (2010, p. 2) contend that “performance is about intentional behaviour, which can be individual or organizational”. This understanding of performance involves deliberate action and capacity to take such action that produces results (Ibid., 2010). According to Bouckaert and Halligan (2008, pp. 15-26), therefore, “there
is a span of performance and a depth of performance”. While the span ranges from input to trust, the depth is from individual to organizational (Ibid., 2008).

Having discussed both performance and management individually, it is now appropriate to discuss the concept of performance management. Armstrong (2006, p. 495) defines performance management as:

a systematic process for improving organizational performance by developing the performance of individuals and teams. It is a means of getting better results by understanding and managing performance within an agreed framework of planned goals, standards and competency requirements. Processes exist for establishing shared understanding about what is to be achieved.

The author further explains that performance management:

is about aligning individual objectives to organizational objectives and ensuring that individuals uphold corporate core values. It provides for expectations to be defined and agreed in terms of role responsibilities and accountabilities (expected to do), skills (expected to have) and behaviours (expected to be) (Ibid., 2006, p. 496).

This conforms to the different aspects of management as earlier identified and also highlights human resources as a critical factor of performance management. Specifically, the issue of corporate values emerges. Bouckaert and Halligan (2008, p. 50) propose a criteria of performance management that includes:

an identifiable framework that must be sustained over time and formally supported by key actors (e.g. central agencies and cabinet); and the presence of attributes identified with performance management which must be comprehensive, integrated, coherent and consistently applied across agencies.

This alludes to the issues of leadership for performance, the strategic nature of performance management and the requirement for sustainability of performance management strategies. For that reason, according to Armstrong (2006, pp. 508-509), performance management is “a framework within which managers, individuals, and teams work together in whatever ways best suit them to gain better understanding of what is to be done, how it is to be done, and what is to be achieved”. This in effect implies accountability for both resources and results. Accordingly, Flynn (1997, p.170) asserts that:

public sector organizations are in principle accountable to the public for three things: that money has been spent as agreed and in accordance with procedures; that resources have been used efficiently; that resources have been used to achieve the intended result.
An issue that emerges and is implicit in the definitions of both Armstrong and Flynn is that of transparency and accountability for decisions and results, and for developing institutional capacity. In this regard, “the objective of public management reform is not just to make the state organization more efficient, but to build state capacity” (Bresser-Pereira, 2004, p. 187). This approach has been largely referred to as “results based management” (OECD, 2002, p.34).

Taking into account the separate definitions of management and performance, and of performance management, discussed above, it can be observed that performance management involves intentional effort to produce better results and services through: (i) deliberate action based on clear objectives; (ii) well defined results to be achieved; (iii) the process of achieving the results, including inputs and systems; (iv) individual, team, and institutional capacity to achieve results; (v) accountability for the results that are achieved or not achieved; (vi) learning and improvement; (vii) sustainability of results; and (viii) common values and trust among the providers and recipients of results.

### 2.2.2 Public service delivery

Although performance management can be applied to all kinds of organizations, this study is specifically concerned with performance management in the public sector. In the previous section, the meaning of performance management was discussed. Among others, an indication that performance implies results (Bouckaert and Halligan, 2008; Armstrong, 2006; Ministry of Public Service, 2010a) has emerged. In this vein, performance encompasses public service delivery. In order to come up with a definition of public service delivery, it is important to first make a distinction between public management and private management. The most fundamental “difference is that the overall mission of public administration is service to the public” whereas the “bottom line” of private administration is profits (Kernaghan and Siegel, 1987, p.5). Further to that, public administration has two major characteristics that differentiate it from private (or business) administration, namely “(1) the vast scope and complexity of government activities, and (2) the political environment within which these activities are conducted” (Ibid., 1987, p.5). These definitions pose some challenges considering that the demands and expectations of citizens may be beyond what is realistic for a government to provide.

According to Oyugi (1994, p. 72), “public service refers to the organization of central government including its field administration, parastatal organizations and local government”. Perry and Wise (1990, p. 368), however, assert that “public service is often used as a synonym for government service embracing all those who work in the public sector. But public service signifies much more than one’s locus of employment”. The term public service, therefore, has three distinct meanings: public service is a service that is provided, it is a structure, and it encompasses public servants who work in the public service. In this study, the term public service delivery is applied to refer to public services that are
provided. Each time the term public service is used to refer to an organizational system – a ministry, department, or agency (MDA) or local government (LG) – or to the people working in such an organization – i.e. the employees (public servants) – this is specifically indicated.

With regard to public services as services that are provided, they are defined here as “public goods” (Flynn, 1997, p. 14). According to Hughes (1998, p. 97), “public goods are quite different as they benefit all users whether or not they have paid the price. They are non-excludable, that is, if provided to one, are available to all”. The author further observes, however, that “the dividing line between public and private goods is often rather blurred” (Ibid., 1998, p. 98), because a wide range of public services provided by government are indeed exclusive. In addition, the changing role of government, the position of non-government actors in providing public services, and the expectations of citizens have to be taken into account. This implies that public service includes a dimension of public value (Moore, 2013). In that regard, Benington (2009, p. 233) is of the view that “public value can be thought of in two main ways: first, what the public values; second, what adds value to the public sphere”.

The discussions above reveal that governments are no longer the sole providers of public services; private providers have an increasing role to play. Thus analysis of the public service requires taking into account the changing role of government with regard to service delivery responsibilities. The limited capacity of governments to provide adequate levels of a service in a universal manner necessitates the participation of non-state actors. It is now appropriate to derive working definitions of performance management and service delivery.

2.2.3 Operational definition of performance management and service delivery

An operational definition of performance management is premised on the emerging issues from the discussion of performance management and public service delivery in sections 2.2.1 and 2.2.2 above. For the purposes of this study, performance management is defined as the process of influencing the manner in which results are achieved (through policies, structures, human and financial resources, and other resources like state power, tools, and equipment) and the results themselves (in terms of quantity, quality, accessibility, responsiveness, and cost) for the benefit of citizens and other service users. In the context of the public sector, which is the main focus of this study, performance management is an aggregate of different levels of performance. In effect, it is about managing individual performance (of individual public servants/workers), team performance (of departments and units within or across organizations), and organizational performance (of both the institutions of central and local government), using inputs (financial resources, human resource skills and behaviour, tools, and equipment) and processes to deliver results (goods and services) to service users (citizens and other stakeholders) in an economical, efficient, effective, equitable, transparent, accountable, and responsive manner;
and building the capacity (of individuals, teams, and organizations) to achieve sustainable service delivery.

As mentioned in the theoretical definition of public service discussed above, governments are not the sole providers of public services. For the purposes of the operational definition of public service delivery used in this research, therefore, three dimensions of public service provision will apply: (i) provision of public services either free of charge or at a user fee, which are directly funded by the national budget and administered by central government institutions and local governments; (ii) provision of public services by non-profit organizations through subventions provided by government or at a user fee; and (iii) provision of public services by private providers for profit. This study focuses on the provision of public services funded by government and provided by the central government institutions and local governments. Public service delivery, therefore, implies that the public service is available, accessible, and affordable in terms of economy, efficiency, effectiveness, and equity.

Having derived working definitions of performance management and service delivery, it is now appropriate to discuss the development of public administration in a Western setting. This sets the stage for the discussion of performance management in both Western and SSA contexts.

2.3 Theoretical development of public administration in Western countries

2.3.1 Introduction

As indicated earlier by Dijkstra (2007) and Farazmand (2001), since the inception of modern government, the objective of improving the life of citizens has made performance a central focus. Specifically, the industrialization and post-World War I and II periods contributed to the development of management theory and practices that further shaped the development of the public sector and the provision of public services (Gordon et al., 1990; Cole, 2000). Management theory and practice have developed alongside the development of politics, economics, and public administration (Heady, 2001), influencing performance management and service delivery in both the public and private sectors.

2.3.2 Theoretical development of public administration and management

The theoretical development of administration and management is discussed in this section. The intention of this section is to provide a basic overview of these developments for the benefit of readers unfamiliar with this field. Administration and management theory have informed management practice. Likewise, management practice has informed theory. Some influential approaches to the development of public administration and management theory are the classical theories of organization, the human relations approach, systems theory, and
contingency theory (Mullins, 2010). This section provides basic highlights of emerging key theoretical issues that inform the development and practice of public administration and management, with particular regard to theories of organization, human resource management, and the systems and contingency approaches.

Regarding organizational theory, “classical writers thought of the organization in terms of its purpose and formal structure. They placed emphasis on the planning of work, the technical requirements of the organization, principles of management, and the assumption of rational and logical behaviour” (Mullins, 2010, p. 43). Classical theorists include Henri Fayol (1841-1925) and his principles of management, F.W. Taylor (1856-1915) and his ideas of scientific management, and Max Weber (1864-1920) with his theory of bureaucracy. The design and operation of structures of organizations, the division of labour, the level of authority, and the span of control are central to this approach (Cole, 2000). According to Weber, bureaucratic organizations would “operate more efficiently than alternative systems of administration” (Bendix, 1962, p. 427). It has to be appreciated that “Weber analysed bureaucracies not empirically but as an ideal type derived from the most characteristic features of all known organizations” (Mullins, 2010, p. 49). These features, however, inform the developments in formal organization structures based on well-defined roles, responsibilities, and processes, which are critical in managing performance and service delivery. These elements, both positive and negative, signify public bureaucracy, which is analysed later in this research (see also sections 2.3.3 and 2.4.2 on the principles of an ideal type bureaucracy and the bureaucratic model of administration).

In addition to structural aspects, human resources are a very important aspect of organizational performance and service delivery. The human relations and social-psychological theories that pay attention to social factors such as work groups, leadership, and the informal organization and behaviour of people are fundamental to this, contrary to the position of classical theorists. Human relations theorists include Elton Mayo and his Hawthorne experiments (1927-1936), which led to the appreciation of workers “as intelligent human beings, worthy of respect of their supervisors” (Cole, 2000, p. 69). In addition, James McGregor (1960, pp. 47-48) outlined his Theory Y, based on the assumption that “man will exercise self-direction and self-control in the service of objectives to which he is committed” and that “the average human being learns, under proper conditions, not only to accept but to seek responsibility”. McGregor outlined this as being in contrast with the then common belief that he named Theory X, which places emphasis on the use of rewards and punishments to induce desired behaviour (Cole, 2000). The assumptions that underlie this theory are that “the average human being has an inherent dislike of work and ...must be coerced, controlled, directed, threatened with punishment to get them put forth adequate effort toward the achievement of organizational objectives”
The human relations approach greatly informs this study, as human resources are at the core of what is done in the public service, how it is done, and what is achieved. Furthermore, since in the real world, performance management does involve a combination of both rewards and sanctions, it is important that attention is paid to both issues (Theory X and Theory Y), which are intricately connected, and to the diversity of incentives that can be provided.

Aside from the human relations approach, another aspect of organization is the systems approach to organization and management. This approach recognized the importance of taking into consideration both the internal and external environments of an organization. According to systems theory, “to understand fully the operation of an entity, the entity must be viewed as a system. This requires understanding the interdependence of its parts” (Certo, 2003, p. 36). In this regard, “the management system is an open system whose major parts are organization input, organization process and organization outputs” (Ibid., 2003, p. 37). As opposed to a mechanistic approach, Burns and Stalker (1961), and their concern for the management of innovations, for example, viewed organic systems of management as conducive to change because of “flexibility in command and control, and recognition of individual knowledge, skill and contribution” and “a greater sense of shared values” (Cole, 2000, p.41). Systems theory implies that a set of different factors (internal and external) collectively operate in order for performance management and service delivery to take place. This includes different political, economic, and cultural settings, civil society, and other countries in the “global village”, a notion first proposed by McLuhan (Walkosz, Jolls and Sund, 2008). This approach contributes to the analysis of the research question regarding the critical factors that influence performance management and service delivery.

In addition to systems theory is the contingent approach to management. Important contributors to this theoretical approach are Lawrence and Lorsch (1967) and Mintzberg (1979), who emphasize the relationship between an organization and the environment in which it operates (Cole, 2000). Accordingly, “a contingency approach to management is a management approach emphasising that what managers do in practice depends on a given set of circumstances” (Certo, 2003, p.35). Therefore, there is no best design for an organization. The form of structure, management system, and success of an organization are dependent on a range of situational variables and are contingent on the situation on the ground and the particular services provided (Ibid, 2003). Contingency theory discourages a one-size–fits-all approach to resolving performance management issues as it emphasizes the need to pay attention to the specific situation at hand (Mullins, 2010). Within this study, contingency theory contributes to the analysis of the transfer of performance management practices from a Western context to the SSA setting. Overall, the emerging issues from the organizational and management theories indicate that there is no single
theory that provides all the answers. Subsequently, no single approach may be used exclusively to resolve issues in a specific situation. These lessons inform both the theoretical and empirical study.

2.3.3 The development of public administration in Western countries

This section highlights the development of public administration in the Western context. It is not in any way intended to provide a detailed account of all historical developments, but rather aims to offer basic information regarding how the key phases have informed the current theory and practice of public administration and management. Accordingly, several historical phases in the development of the modern state and public administration are recognized. Some of the distinct phases that developed in different parts of the world include the ancient empires, the city states, the great empires, feudalism, absolute monarchy, the nation state, and constitutionalism (Heady, 2001).

It is specifically recognized that during the empire stage, some legal principles that have contributed to the development of the modern state emerged. These include that, the head of state exercised his powers on behalf of the people, that it was important to separate the private and public personality of the head of state and the personal resources from those of the state (Chapman, 1959). These principles paved the way for collecting tax revenue and providing common public services. The emergency of feudalism, however, caused the disappearance of the state and the provision of public services (Ibid., 1959). Under feudalism, “the relationship between officials was determined by the rewards they could distribute and the control one yielded”. Worse still officials “needed to constantly balance between the variety of demands of those above them” (Raadschelders, 1998, p.115).

In addition to feudalism are the absolute monarchies that emerged in the sixteenth to eighteenth centuries. Under monarchism, “public and private patrimonies were essentially fused; the state was conceived of as the sovereign’s property. Public office was often the property of bureaucrats” (Bresser-Pereira, 2004, p. 148). It was therefore, “common for those aspiring to employment by the state to resort to patronage or nepotism, relying on friends or relatives for employment, or by purchasing offices” (Hughes, 1998, pp. 23-24). Acquiring government employment was, therefore, mainly through relatives or family friends (Ibid., 1998). This analysis is very relevant for the situation in SSA, where the development of the public administrative system is still facing challenges, with seemingly no clear distinction among the different phases.

According to Heady (2001, p. 182) “at the end of the eighteenth and the beginning of the nineteenth centuries emerged the nation-state as the dominant form of political system and the modern public bureaucracy as the vehicle for conducting the nation’s business”. Important developments during this period include separation of the powers of the king from those of the state, increased
administrative activity, differentiation of functions of organizations, use of written documents and contractual agreements (Raadschelders, 1998, Heady, 2001). It is during this phase that “continental Europe, Great Britain, the United States, and Canada developed their distinct systems of public bureaucracy” (Kernighan and Siegel, 1987, p. 19). This meant that “administering public organizations became a professional occupation, which would be most efficiently carried out by a distinct merit-based public service” (Hughes, 1998, p. 22). The development of a “constitutional era with the establishment of sovereign parliaments” further strengthened the idea of “differentiation between politics and administration” (Rugge, 2007, p. 115). Under the “traditional model of public administration, the rules linking the political leadership with the bureaucracy” (Hughes, 1998, p. 30), were assumed to be clear notwithstanding that it was practically very difficult to draw a straight line between politics and administration (Ibid., 1998), an issue that is still outstanding in present day public administration and management.

The practice of the traditional public administration system, commonly referred to as public bureaucracy, cannot be discussed in isolation of Weberian theory. Weber identified the principles of an ideal-type bureaucracy that assumed that official business was conducted: (i) continuously; (ii) within specified regulations; (iii) according to a hierarchy of responsibility and authority; (iv) for assigned functions and resources that had to be accounted for; (v) in recognition that public office was not personal property of individuals; and (vi) through use of written documents (Bendix, 1962). According to Heady (2001), this reflected developments in public administration that similarly reflected developments in politics and economics. The more developed a polity is (in terms of maturity and stability), the more likely it is that the bureaucracy will be better developed (in terms of scope and complexity of services and technical specialization of professionals). The analysis also indicates that the development of public administration and bureaucracy in the Western setting took a long period of time, with many ups and downs. It is, however, evident that bureaucracy became the instrument for providing public services, including organizational structures, processes, and styles of management and administration.

2.4 The development of performance management reforms in Western countries

2.4.1 Introduction

The previous section briefly discusses developments in public administration and public bureaucracy. In this section, a brief discussion of the emergence of public sector reform is given. Socio-economic challenges faced by different Western countries in the 1970s and 1980s were mainly attributed to challenges in public administration, and this explains the rationale for and emergence of public sector reforms (Hood, 1991; Osborne and Gaebler, 1992; Flynn, 1997; OECD, 1997). Most of the new ideas for public sector management reforms that have emerged
since the 1980s were generated within Western countries with developed political and bureaucratic systems. Borrowing and modification of ideas within each country between the private and public sectors, as well as between different countries and in some instances using economic and management theories, provided the basis for the reforms (Pollitt and Bouckaert, 2011). According to Bresser-Pereira (2004, pp. 151-152):

globalization and the crisis of the state challenged the legitimacy of state bureaucrats and bureaucratic public administration. A major reason for adoption of public management reform was voters’ pressure for two apparently contradictory objectives: smaller taxes and better-quality public services. The demand for more efficient ways of managing the state has been increasing in direct proportion to growing state expenditure and tax burden.

Three decades later, similar questions and demands still remain on the table, though some progress in the implementation of public sector reforms has been made.

2.4.2 Developments in public administrative systems and practices
A discussion of public management reform and specifically performance management reform is not complete without a discussion of developments in the public administrative system. Exclusion of such a discussion would omit the issues of economy, efficiency, and effectiveness, which are at the centre of performance management reforms. It is also recognized that developments in public administrative systems have shaped performance management reforms. A distinction, however, needs to be made between the developments in approaches to administration and management, and the public sector reforms that are implemented arising from the shifts in administrative approaches that are discussed in the paragraphs that follow. These include traditional public administration, new public management, public governance, and public value.

The traditional public administration system emerged from the Weberian model discussed above:

the first of Weber’s principles means that authority derives from the law and from the rules made according to the law. No other form of authority is to be followed. Following from this, the second principle is that of hierarchy. ... Strict hierarchy meant that rational/legal authority and power were maintained organizationally, not by any individual but by the position he or she held in the hierarchy (Hughes, 1998, p.27).

In line with the principles highlighted in section 2.3.3, the ideal-type bureaucracy thus meant: (i) a hierarchical organizational structure; (ii) recruitment against qualification; (iii) a formal impersonal system; and (iv) the use of records and previous experience in decision-making (Ibid., 1998). Under this system, “it was thought, as far as results were considered at all, that results would follow
naturally from organisation” (Hughes, 1998, p.44). According to this rationale, “it was assumed that if administration means carrying out instructions, it is the responsibility of the person issuing the instruction to monitor performance” (Ibid., 1998, p. 44). In this vein, “when tasks were administrative and relatively simple, when the environment was stable, the system worked and worked well” (Ibid., 1998, p. 40). The author however argues that:

- hierarchical structures are not necessarily the most efficient of organizations in the sense of comparing outputs with inputs.
- Bureaucracy may be ideal for control but not necessarily for management; it allows for certainty but is usually slow in moving; work may be standardized but at the cost of innovation;...it encourages administrators to be risk-averse rather than risk-taking, and to waste scarce resources instead of using them efficiently (Ibid., 1998, p. 40).

The demand for efficiency in the provision of better quality public services brought about changes in the traditional system, both in terms of the way it was perceived and how it was practiced. In the 1980s, this resulted in a set of management reforms that spread globally in the 1990s and became known as New Public Management (NPM) or (in the US) Re-inventing Government (Osborne and Gaebler, 1992; Denhardt and Denhardt, 2007; Pollitt and Bouckaert, 2011). According to Drechsler (2009, p.8):

- NPM constitutes the transfer of business and market principles and management techniques from the private into the public sector, symbiotic with and based on a neo-liberal understanding of state and economy. The goal, therefore, is a slim-lined, minimal state in which any public activity is decreased and, if at all, exercised according to business principles of efficiency.

The reform elements under NPM focused on: applying strategic management in setting objectives; reviewing organizational structures (including decentralization, and establishment of executive agencies); measuring performance; applying business styles in the public service; decentralizing human resource management; increasing the responsiveness of public services to citizens; and promoting the use of contracts (Hood, 1991; Farnham and Giles, 1996; Hughes, 1998; OECD, 2005). In the NPM, “public managers are challenged either to find new and innovative ways to achieve results or to privatize functions previously provided by government” (Denhardt and Denhardt, 2007, p. 13). Accordingly:

- NPM-type reforms embodied a strong emphasis on managerial accountability, which meant that just when governmental executives and managers were freed from the deadweight of bureaucratic excess they were at the same time made more directly and clearly accountable for their ability to produce results, to run their organizations efficiently, and to produce increasingly measurable and tangible public value (Wallis and Gregory (2009, p. 256).
Since the late 1990s in particular, there is increasing criticism against NPM. In this regard, Drechsler (2009, p. 9) is of the view that: “the use of business techniques within the public sphere therefore miscomprehends the most basic requirements of any state, particularly a democracy, seeing them as a liability; yet regularity, transparency, and due process are simply much more important than low costs and speed.”

To Drechsler (2009, p.10), expectations of NPM have not been attained. For example, designing suitable structures; appointing public servants on contract and increasing the participation of citizens. Similarly, Minogue (1998, p.30) argues that “efficiency is not the only value in government, which is also a mechanism for expressing and representing broader values, such as equity, community, democracy, citizenship, and constitutional protection”. Accordingly Denhardt and Denhardt (2007, p. 164) also contend that, “in the new public service, ideals such as fairness, equity, responsiveness, respect, empowerment, and commitment do not negate but outweigh the value of efficiency as the sole criterion for the operation of government”. Much as Pollitt and Dan (2011) argue that NPM does not necessarily lead to efficiency or effectiveness, and subsequently come to the conclusion that the general outcomes of NPM are very limited, they nevertheless acknowledge that different elements of NPM may work in different settings.

Aside from NPM, another approach to the study and practice of public administration and management that influences the current discussion of public management is the New Public Governance (NPG) (Osborne, 2006). According to the World Bank (2005, p. 276), “public sector governance refers to how the state acquires and exercises the authority to provide and manage public goods and services”. An elaborate explanation regarding how this authority is exercised through the relationships between politicians, the bureaucracy and citizens in their different respective roles of making policy, provision of public services and clients is provided by the World Bank (2004). In this regard, Denhardt and Denhardt (2007) emphasize that: “the primary role of government is not to direct the actions of the public through regulation and decree (though that may sometimes be appropriate), nor is the role of government to simply establish a set of rules and incentives (sticks or carrots). . . . Government acts, in concert with private and non-profit groups and organizations, to seek solutions to the problems communities face” (Ibid., 2007, pp. 83-84). Accordingly “performance governance covers a shift from the governing of performance to governing for performance” (Bouckaert and Halligan, 2008, p.184). It involves the linkage and interaction of public and private sector organisations, against common objectives and guiding principles (Ibid, 2008). Within the requirement for performance governance is the call for public value. According to Moore (2013, p.3),
what makes social outcomes valuable is not simply that particular individuals value them, but that the wider public that has tacitly agreed to be taxed and regulated to produce the desired social results, values them. This suggests that in the public sector, the relevant customer is a collective public (local, regional, or national) acting through the imperfect processes of representative democracy rather than an individual consumer making choices about what to buy for personal benefit.

To Moore (2013, p.42) therefore, the relevant question is not only “whether the organization has acted efficiently and effectively, but also whether it has acted justly and fairly”. This particular concern raises issues of the legitimacy of government and equity in the provision of public services, in line with the notion of public value, as indicated earlier in section 2.2.2. Subsequently, “one of the potential roles of government is to harness the powers and resources of all three sectors (the state, the market, and civil society) behind a common purpose and strategic priorities, in the pursuit of public value goals” (Benington, 2009, p.237). The author further argues that this requires that:

- public policymakers and managers have to work across the boundaries between state, market, and civil society in order to deliver public services. Public value may provide a conceptual framework to help shape both thinking and action across these boundaries (Ibid., 2009, p.242).

Arising from this discussion, it is evident that public governance poses its own challenges for performance management and service delivery, especially that of managing networks (Osborne, 2006). Overall, the above analysis indicates that public administrative systems have developed through traditional bureaucracy, NPM, and NPG, within which the current discussion includes public value. Each phase of development is associated with the search for solutions for governance and service delivery in a specific political, economic, and social context. There is, however, no predictable or neat transition regarding how reforms are implemented across the different public administrative systems (Pollitt and Bouckaert, 2011). A discussion of the rationale for performance management reform in Western countries is imperative at this stage.

### 2.4.3 The rationale for performance management reform in Western countries

Within Western countries, most reforms in performance management are associated with NPM, and with varying degrees of implementation and success, as discussed in various parts of this study. As outlined in the discussion above, the development in administrative systems from traditional administration, through NPM and NPG, to public value, in effect reflects reform in administration and management. According to Farnham and Horton (1996, p. 121):
as economic growth has wavered through the 1980s and 1990s, traditional public policy objectives have increasingly been replaced by the need to contain public expenditure, reduce the size of the public sector and create high quality, efficient, cost-effective and customer driven public services.

Arising from the above and the earlier discussion of what performance management entails clearly underpins the rationale for public management reform and the circumstances under which such reform has taken place. Public management reform,

not only involves new management practices and new managerial institutions, but it also assigns a major role to social accountability mechanisms and redefines the logic of the state organization and of the state functions. ...The objective of public management reform is not just to make state organization more efficient but to build state capacity (Bresser-Pereira, 2004, p. 187).

Performance management reforms can only be sustainable if there is adequate state capacity both for policy design and implementation. To this effect, Osborne (2007) compares reform to a battle involving politics, government institutions and the entire society. He further argues that reformers have a big challenge to incrementally apply limited resources to cause the much desired change that permeates through the whole system. As discussed earlier, at 2.2.1 performance management includes clarity on what is to be done, how it is to be done, what is to be achieved, and the intended beneficiary of what is achieved (Armstrong, 2006). All these point to the issue of leadership. In this regard, Pollitt and Bouckaert (2011, pp. 33) contend that:

public management reform—certainly in central governments—is a process that tends to begin in the upper, rather than the lower reaches of governance, and which allows for a measure of choice as to the specific instruments and techniques which are chosen.

The authors further argue that there are “occasions when management reforms are carried through with the aim of realizing some larger vision of how things should be in some imagined future world” (Ibid., 2011, p.149). According to Denhardt and Denhardt (2007, pp. 146), “the values, motivations, wants, needs, interests, and expectations of both leaders and followers must be represented in order for leadership to occur”. Furthermore, when public administrators take or fail to take decisions, the consequences largely fall on citizens not leaders (Ibid., 2007). A disconnect in political leadership and professional leadership to drive reform is, however, alluded to. In this regard, Caiden (1991, p. 162) contends that:

every administrator his own reformer is a good slogan but somewhat idealistic in that the administrators may be the cause of the inadequacy,
or they may not be competent reformers, or they may not have the time, energy, and will to devote to reforms.

This partly explains the top-down urgency and pressure for implementation of reforms, for example in the UK (Pollitt and Bouckaert, 2011). The collective capacity and commitment of both political and professional leadership to promote a common vision for performance management reform is thus inevitable.

Related to the issue of leadership is the management of public resources. As indicated earlier, concern for the proper management of public resources and value for taxpayers’ money drives the implementation of performance management reforms in Western countries. This requires that “result oriented organizations find that they ultimately need to develop budget systems that fund outcomes rather than inputs” (Osborne and Gaebler, 1992, p. 161). That recognition has resulted into reforms in the budget process and implementation of a “result/performance based budgeting” (OECD, 2005, p.59), that has been defined as “a form of budgeting that relates funds allocated to measurable results” (Ibid., 2005, p.59).

Although a shift towards results is recognised, the associated challenges cannot be ignored. For example, the OECD acknowledges that “in most cases the shift from an input-focused budget to a performance-oriented focus does not result in a mechanistic, cause-effect relationship between budget allocation and performance” (OECD, 1997, p.23). In addition, Pollitt and Bouckaert (2011, p.192), also argue that, there is an “apparent contradiction between improved performance and expenditure savings”. This arises because, “the reforms which have served the savings objective have not always fitted well with the reforms that would be required to encourage performance improvement” (Ibid., 2011, p.78).

As highlighted earlier, the pressure in the 1970s to 1990s to save taxpayers’ money meant that “government would have to be reduced in size, or made more efficient, or both: it could not be afforded in its existing form, nor would its rising costs be tolerated by taxpayers” (Minogue, 1998, p. 19). This brings attention to the structure of the public service. As discussed earlier under 2.3.3 the structural characteristics within the traditional public administrative system included a focus on hierarchy, differentiation or specialization, and competence or qualification (Hughes, 1998; Heady, 2001). The pressure to save taxpayers’ money necessitated a smaller state (Pollitt and Bouckaert, 2011). This was pursued through strategies such as privatization, de-bureaucratization and reorganization (Caiden, 2001). It is, however, now generally appreciated that an emphasis on downsizing and altering structures does not necessarily address performance issues or bring about cost savings (Stanzon, 1981; Caiden, 2001; United Nations, 2005; Pollitt and Bouckaert, 2011) but may instead undermine the capacity of the public service. In line with this argument, Hughes (1998, p.
In addition to the challenges of reforming public sector structures is the reform of human resource management. Under the traditional administrative system, state’s objectives were to: provide terms and conditions necessary to attract, retain and motivate the most skilled and professional staff; ensure harmonious and equitable employment practices across the public sector; and promote stable employment relations (Farnham and Giles, 1996, pp. 118-119).

The drive to contain public expenditure, however, did not spare human resource management and hence the interventions to downsize public services (United Nations, 2005). Farnham and Giles contend that the strategies of “strengthening the right to manage” involved “importing private sector management practices and techniques into public services” (Farnham and Giles, 1996, p. 121). These included individualized contracts, performance related pay (PRP) and rewarding performance (Ibid., 1996). According to Hughes (1998), managers were made more directly accountable for results: “If the manager is given the resources to carry out a specific job and is personally responsible for achieving it, it should then be obvious later whether or not the task has been achieved” (Ibid., 1996, p. 237. However, Pollitt and Bouckaert (2011, p. 196) also argue that “the contradiction here is the threat to public service jobs, security, and pay posed by expenditure cutbacks and management reforms.” The continued search for saving expenditure by maintaining a smaller public service is a contradiction regarding human resources as a priority for performance management (Ibid., 2011). This discussion demonstrates that reform of human resources is still faced with a number of challenges, also in Western countries.

The issues of leadership, value for public resources, organization structure, and human resource management reform in a way all relate to the concern for citizens. Caiden (1991, p. 164) contends that:

arising from the closed approach to reform, there is rarely any strong public movement in favour of administrative reform in any country. People who would like to see better public administration often do not know what to do or how to make their wishes known.

It follows from this that public participation contributes to implementation of administrative reform. According to Moore (2013, p. 2), increasingly:

the idea of focusing attention on customers did succeed in making many public agencies more attentive to the experience that individual citizens had in their individual encounters with government agencies. But many public managers and organizations remained uncertain about who their
customers were, how they might be best satisfied, and how important customer satisfaction was in their overall mission.

Therefore, service delivery should be in the public interest, based on the tenet of “serve citizens, not customers” Denhardt and Denhardt (2007, p.45), and that empowering citizens involves “access, choice, information, redress, and representation” (Ibid., 2007, p.62). Overall, the above discussion reveals the importance of leadership, concern for the appropriate use of public resources, and redefinition of the role of the state and structures for public service delivery, the position of human resources, and the involvement of citizens in public service delivery as important issues requiring further analysis. Prior to this discussion, however, an overview of the development of public administration and performance management in SSA is considered in the following section.

2.5 The development of public administration and performance management in SSA

2.5.1 Introduction
This section discusses the development of public administration and reforms in public management in SSA. The intention of the section is not to provide a detailed historical development of public administration and public service reform but to highlight basic issues that support the analysis of the empirical findings. The historical experience of the development of public administration in Uganda is presented to specifically map the general experiences in SSA to their relevance in the Ugandan context.

2.5.2 Development of public administration in SSA countries
The historical development of public administration in SSA countries is critical to the understanding of performance management and service delivery, as it continues to influence the manner in which it is shaped. The influence of colonial administration is central to this discussion, as “developing countries followed the traditional model of public administration both during and immediately following independence” (Hughes, 1998, p.206). According to Dia (1996, p.42), “lack of an indigenous foundation and related political and moral legitimacy also permeated the public administrations that were set up during that period”. The author further argues that “emphasis was more on extracting compliance and resources to meet the needs of the colonizing countries than on providing development-oriented services” (Ibid., 1996, p. 42). In that regard, administration served the metropolitan government and not the indigenous population, resulting in highly centralized public administration … public administration essentially consisted of layers at the top that never came to grips with the political, economic, and social realities and problems of the local community (Ibid., 1996, pp. 42-43).
This experience appears to have created a lasting effect on the public administrative systems in SSA. According to Yahaya (1999, p.36):

African governments agreed to a transplant of the colonial masters’ systems of government without any serious consideration for the peculiarities of the African situation. In the same vein immediately after independence the governments relentlessly pursued a programme of Africanization of their civil services. Literally overnight, Africans were catapulted from relatively junior posts to positions of high responsibility.

This raised contradictions between the expectations of the citizens and the capacity of the new administrators to provide public services within the established systems. Notwithstanding capacity constraints, the desire to meet the expectations of the people “led governments also to intervene in the industrial, agricultural, commercial, and other sectors of the economy” (Yahaya, 1999, p.37). In that regard:

particularly in the period following World War II, a single model of administration for developing countries was followed, termed development administration. ... The idea was to apply to developing countries the administrative theories and procedures derived from the former colonial countries to modernise their economies, accelerating development to be equivalent, eventually to the west (Hughes, 1998, p.213).

In effect, “this elitist intervention plan was also aimed at creating and supporting local elites in developing nations to promote such a grand strategic design and enhance the system in power. The masses of those nations were given little attention, however” (Farazmand, 2001, pp. 12-13). According to Hughes (1998, p. 209), “the bureaucratic model in developing countries can be argued to have largely failed with the roots of its failure most often found prior to independence”. This is mainly attributed to the fact that the objective of the model applied in SSA was to strengthen colonialism (Yahaya, 1999). For that matter, the concept of development administration that was pursued during the colonial period is also likely to have been set up for similar interests.

Overall, two main theories guided developments in administration in the non-Western setting: “internalization and indigenization” (Henderson, 2001, p.631). Administratively,

internalization involves a continued reliance on and further empowerment of Western-style (Northern-style) public administration in the developing world. Systems originally established by colonial rulers or copied from the West/North would be further integrated... into a global system without appreciable local (indigenous) content (Ibid., 2001, p.631).
The author further argues that “an internalizing of public administration in accordance with the above would require the promotion of Northern values and practices with administrators in all world areas performing in essentially the same fashion” (Ibid., 2001, p.632). It is, however, not practically possible for all administrators in the developing world to perform in the same fashion. The approach is likely to have collapsed because, aside from public administration, there were bound to be other intervening factors in SSA. Next to internalization is indigenization. Henderson (2001) defines indigenization as:

all those activities, processes, organizational structures, and target groups that are native to a geographical area and are relatively immune to outside forces. ...The Northern argument is that where there is internal origin, then localized customs and traditions distort proper administration (Ibid., 2001, p. 634).

This approach was premised against the assumption that traditional African structures and systems needed to be subdued in order to create the necessary conditions for modern bureaucracy. The assumption, however, did not hold as African bureaucrats were not shielded from politics or meeting personal interests (Hughes, 1998). In addition, every administrative system is to some extent a mix of exogenous and indigenous elements. The situation cannot remain the same once there is some form of exposure of local situations to external factors (for example, the traditional African administrative systems to colonial administration). In this regard, SSA traditional administrative systems did not remain truly African, and neither did they fully integrate the new administrative models. According to Heady (2001, pp.265-276), therefore:

despite their differences, all of these countries are caught up in a process of drastic and rapid social change, not just the continuous change that any society undergoes, but change that is critical and disruptive. ...they are moving from the tradition to the modern type. They are all in transition, no longer traditional, and not yet modern, either as they view themselves and as others view them.

Although SSA countries aspire to build nationhood, its attainment remains difficult because:

most of the developing states are artificial entities in the sense that they are the products of colonial activity rather than of pre-existing political loyalty. Their boundaries likewise were often drawn by imperial powers without regard to ethnic groupings, excluding people with close cultural ties and including minority groups opposed to assimilation (Ibid., 2001, p.277).

The effect of forced boundaries imposed during the colonial period and the rate of assimilation of different communities into different nations within SSA affects the growth of a harmonious and coherent public administration and management system. Cultural bonding and identification of common service
delivery and socio-economic priorities was undermined as the different groups resisted the rationale for such boundaries, shifting focus to ethnic survival and the struggle for power and resources. According to Adamolekun (2007, p. 83):

the clarity of the goal of independence and the shared commitment of political leaders, civil servants and the general population to that goal was not transferred to the other goal of assuring better living standards for the people. No sooner was independence won than political leaders began to articulate different paths to development: ‘socialist’, ‘capitalist’, ‘non-capitalist’ and ‘mixed economy’.

By the second half of the 1980s, the capability of the state to provide basic services was questioned (World Bank, 1997). While development in public administration in Western countries has reached a considerable level of stability, in SSA there appears to be some form of stagnation and in some instances oscillation. For example, the role of traditional leaders in public management is not resolved, colonial administration is still blamed for most of the things that do not go well, the benefits of independence are not yet fully realized, and political stability is still questionable. These have implications for the development of public administration, public management reform, and service delivery.

2.5.3 Reform in SSA public management

As highlighted above, the African civil service was “largely responsible for the continuity in administrative traditions and practices inherited from the colonial era which, however, were unsuitable for some of the major tasks of development after independence” (Dlamini, 2000, p.29). The author further argues that “while Africanization as an integral part of the post-independence reform initiative was pursued with vigour by most African countries, there exists a wide gap between promise and performance” (Ibid., 2000, p.35). Soon after independence, political interference in public administration “took various forms – ranging from the outright politicisation of the senior cadres of the public service to the dilution of the merit principles with political loyalty criteria in the process of staff selection and promotion” (Wamalwa and Balogun, 2000, p. 3). This contributed to “the erosion of confidence in African public services as evidenced by the increases in reported cases of corruption, ineptitude and maladministration, and the resistance, or perceived resistance, of the public services to reform” (Ibid., 2000, p. 2). This explains the pace of implementation or non-implementation of public sector reforms in SSA.

Three distinct phases of reforms in Africa are identified by Ayee (2005). The first phase reforms were undertaken against the background of the structural adjustment programme (SAP). The SAP reforms of the 1980s compelled countries in SSA to examine their role in the development process (Wamalwa and Balogun, 2000; Kiragu, 2002). The SAPs, however, brought about mixed feelings regarding their success (Kiragu, 2002; United Nations, 2005). The critics
argue that SAPs brought more problems and hardships to the people of Africa and worsened the already terrible situation of poverty (Mugaju and Langseth, 1996; Yahaya, 1999; Kiragu, 2002; United Nations, 2005; Oberdaberning, 2010). The World Bank (1997, p. 24), a promoter of SAPs also specifically notes that: countries sometimes tended to overshoot the mark. Efforts to rebalance government spending and borrowing were uncoordinated, and the good was as often cut as the bad. To meet their interest obligations, countries mired in debt squeezed critically important programs in education, health, and infrastructure.

Arising from the above, these reforms were generally viewed:
as an externally inspired imposition rather than a genuine home grown attempt to address the long standing problems of the public service. The negative attitude was escalated by the fact that the civil service reformers often bombarded their colleagues with fait accompli decisions, instructions and deadlines to provide this or that piece of information, causing resentment to the reform programme (Mugaju and Langseth, 1996, p. 113).

That notwithstanding, the World Bank (2005), feels that there have been some gains, despite the social costs of implementation of these reforms. Examples of benefits attributed to SAPs are macro-economic stability, privatisation, liberalization and economic growth.

According to Ayee (2005) the second phase reforms that were associated to NPM focused on improving management systems. Hughes (1998), however, identifies some difficulties facing developing economies in the implementation of new public management as: markets that are dysfunctional, weak administrative capacity, a bureaucratic system that is corrupt, application of a single management model across different countries and circumstances, political interference in the public service and increased citizen expectations. Aside from these dilemmas, in developing countries, there is a considerable gap between reform ideas and implementation results (Pollitt and Bouckaert, 2004). This is an important lesson regarding the mechanisms for the transfer of reforms to SSA. Ayee (2005) argues that third phase reforms focused on creating a linkage between administrative reform to strategies to reduce poverty. The strategies include modalities for involving citizens in the delivery of public services that in turn require the definition of service delivery standards. Service delivery surveys, client charters and strengthening of public complaints mechanisms constitute part of these reform strategies (Thirkildsen, 2001). In general, the level of success of reform initiatives in SSA appears to be limited. In this regard, Dlamini (2000, p. 35) contends that:
like its predecessor, the post-independence public service remains an institution largely devoted to the maintenance of the status quo and the
preservation of order rather than the planning and implementation of change. This explains the poor record of administrative reform.

The author further argues that “until local institutions are sufficiently strong to exert pressure on governments, the will to implement far reaching reforms will tend to be lacking” (Ibid., 2000, p.37). Minogue (1998, p. 22) re-iterates the same position when he contends that:

public enterprise sector is clearly in need of reform, but the very characteristics which make reform of these enterprises necessary (excessive staffing, large financial subsidies, corruption, inept management) also constitute the basis for resistance to reform, for they are often integral to local political structures and relationships.

The extent to which sustainable public management reform is taking place is therefore doubtful. According to Doodo (1999), the top-down imposition of reforms resulted in narrow terms of reference that were not linked to the overall policy framework. This resulted in the failure to address the underlying issues in government institutions. Doodo emphasizes that “the attention of reforms focused mainly on the reduction of costs (inputs) with little or no attempt at identifying output constraints, e.g., outdated missions, centralized and elongated processes of decision-making, and negative work attitudes”. The gap between the actual implementation of reforms against the promises of leaders and the consistence of the reforms to the principles of NPM are still outstanding (Polidano, 1999). Worse still, donor influence is still recognised as a key factor, considering that the reforms are largely funded by them.

2.5.4 Public administration and public sector reform in Uganda

Having discussed the development of public administration and the emergence of public service reform in SSA, it is important to have a similar discussion of the specific experience in Uganda, in order to create a link between the theoretical issues and the empirical study. It is evident that the experience of Uganda can be directly mapped to that of SSA discussed above. First, a discussion of the colonial administration is made. Thereafter, the period after independence is examined, with specific focus on the issues of the administrative machinery, generation of revenue, human resource management, and the provision of public services.

As indicated in the above discussion, as in the whole of SSA, the development of public administration in Uganda is based on the experience of colonialism. Prior to colonization, “the different societies of Uganda had developed diverse political institutions” (Gakwandi, 1999, p. 12). According to Mutibwa (1992, p.1):

some of the people of Uganda, for centuries had been welded into centralised states with highly sophisticated political systems. These states not only had kings but also nkiikos (parliaments), a hierarchy of chiefs, and laws that governed the relationship between the rulers and the ruled.
While some kingdoms were highly centralized, other systems included clan heads, a council of elders and chiefs through which political decisions, leadership and security was provided to communities (Gakwandu, 1999). According to Karugire (1980, p. 18), “in these communities the idea of decentralised democracy prevailed so that authoritarian leadership did not evolve”. The author attributes this to some practices like negotiation and collective leadership. The author further argues that the British colonial administration incorporated British elements into the Buganda model of local government and exported it to all parts of the country, in a bid to “establish a uniform system of administration over the whole Protectorate” (Ibid., 1980, p.122). This strategy however, did not work well and may explain the internal conflict that the country has experienced since independence. A question that emerges is the extent to which the administrative system was British or African, or a combination of many aspects of both. A discussion of a purely traditional administrative system in Uganda is therefore difficult.

Further to the single administrative system, the colonial administrators established local governments based on tribes, with one dominant ethnic group in a district (Karugire, 1980). Under this system, “the different regions of Uganda were not encouraged to make contact with one another” (Mutibwa, 1992, p. 10). This indicated that, “the reluctance to foster the growth of territorial or national organs of government and the promotion of parochial ones by the colonial administration was not accidental” (Karugire, 1980, p.128). Further to that, “colonial governments used bureaucratic means to administer their colonies, often by using indigenous civil servants at least at lower levels” (Hughes, 1998, p. 209). According to Karugire (1980, p.125), “the system ultimately worked not because it was initially acceptable or understandable but because the British had the physical force to back up their appointees”. Subsequently, “the Uganda Protectorate continued to exist on the law books and maps of the land office but hardly in the minds of the Ugandan Africans for who the Protectorate was supposed to exist” (Ibid., 1980, p. 142). The contradiction is that national boundaries were imposed to create a nation, yet at the same time, local government district boundaries were demarcated along ethnic groupings to limit cultural bonding, creating mixed feelings regarding the essence of the nation.

In addition to the administrative machinery is the position of human resources in the socio-economic development of Uganda. Following the end of the colonial period, as was common to the experience of many SSA governments, Uganda pursued a programme of Africanization and Ugandanization of its civil service through which Ugandan public servants received accelerated promotion to high positions of responsibility previously held by expatriates. Notwithstanding the dilemmas, the civil service at that time met the challenges imposed upon it by the political changes since independence in 1962 and withstood many of their
daunting effects (Ministry of Public Service and Cabinet Affairs, 1974). Karugire (1980), however, contends that during the colonial period, access to economic opportunities, jobs, public services, especially education and health, was largely based on affiliation with one of the main religious groupings, Protestant or Catholic, and region or tribe. He further argues that such imbalances continued during the period shortly after independence, based on structures that the colonial administrators had put in place, contrary to the aspirations for independence. These imbalances and other shortcomings appear to have fuelled the political, social, and economic crises that resulted in prolonged periods of instability and war in the country, which experiences are articulated in Mutibwa (1992). The anticipated Africanization programme was therefore not totally completed.

Notwithstanding the fact that many distinct groups in the country were being denied access to economic and political power, during colonization, “by the 1915/16 financial year”, the Protectorate sustained itself, mainly as a result of the export of cotton grown by Uganda peasants (Karugire, 1980, p.130), a confirmation of the good economic potential of Uganda. According to Ochieng (1991, p.43), by the time of independence and thereafter:

before 1971, Uganda had a very healthy economy in all respects but the socio-economic and political policies during the 1970-80 period quickly led to the deepest depression the country had ever experienced. There were acute shortages of goods and services, rampant unemployment, galloping inflation, acute balance of payments difficulties, huge external debts, widespread smuggling and black-marketeering, and ever increasing government deficits.

Ochieng (1991) further argues that following the overthrow of the military regime, programmes of economic stabilization with the guidance and assistance of the IMF were instituted, but subsequently, the civil war of the period (1981-1986) “ransacked the rural areas and laid many parts of the country to waste” (Ibid.,1991, p.49) and the collapse of the social services system. The author further argues that “an examination of the adjustment programmes implemented in Uganda since 1981 indicates”, amongst others, that “they are only capable of producing temporary bouts of positive change” (Ibid., 1991, p.59).

Available information indicates that each of the Ugandan governments after independence set up an inquiry or commissioned an evaluation to address the administrative challenges in the public service. Examples of these include the Ani Commission (1963); the Public Service Salaries Commission (1973-1974); and the Public Service Salaries Review Commission (1980-1982) (Ministry of Public Service and Cabinet Affairs, 1982). A comprehensive review of the public service was also undertaken in 1989-90, by the Public Service Review and Reorganization Commission (PSRRC), (Ministry of Public Service and Cabinet Affairs, 1990), culminating in the implementation of public service reforms. All
of these commissions produced reports containing recommendations that have not been fully implemented, even though most of them still appear valid. In this context, Karugire (1980) contends that “it was in fact during the colonial period that Uganda acquired a technique, which has since become something of a national habit, of solving thorny problems by simply ignoring the fact that such problems existed” (Karugire, 1980, p.142). This is not a good indicator for a country that aspires to establish a robust performance management and service delivery system.

The issues that emerge from the above discussions include: questions regarding the extent to which the Ugandan public service is based on the British system; the effects of the abrupt Ugandanization of the public service and the resultant leadership and human resource management challenges; the creation of local governments based on tribal groups; and the challenging economic situation of a country that previously contributed to financing the colonial administrative system; and the non-implementation of various recommendations, made by several commissions, intended to improve public service performance and delivery. These issues inform the emerging framework for the empirical analysis of the implementation of ROM in Uganda discussed in detail in section 2.7. Prior to that discussion, however, it is important to analyse specifically the meaning of ROM from both a Western and SSA perspective.

2.6 The meaning of ROM in Western and SSA contexts

This section provides the theoretical analysis of the meaning of ROM in both Western and SSA countries. As indicated earlier in this chapter, the growth and development of results oriented performance management practices cut across the broad spectrum of developments and reforms in public administration. The beginning of the 1990s witnessed a call for a results oriented government that “funds outcomes and not inputs” (Osborne and Gaebler, 1992, p.161). In addition, public officials were expected to “work harder and smarter, and do more with less” (Ibid., 1992, p.19), demonstrating the link between results and resources. These developments provide the basis for discussions of the meaning of ROM.

2.6.1 Appreciating the meaning of ROM in Western countries

In this section, the meaning of ROM from a Western perspective is discussed. Before arriving at an appreciation of what ROM is, other management concepts such as results based management (RBM) and results management are first discussed. The OECD (2002, p. 34) defines RBM as “a management strategy focusing on performance and achievement of outputs, outcomes and impacts”. This definition of RBM makes a distinction between performance as a process and the different sets of results, namely outputs, outcomes, and impacts. In effect, the definition implies that outputs cause a change in the environment, in the form of outcomes or impacts. In their definition of RBM, Bastoe and Henderson (2006) place emphasis first on what it is not and subsequently on
what it is. Accordingly, RBM is neither management by objectives or programme evaluation nor is it a design tool or log frame. “Results management is simultaneously (i) a management approach and (ii) a set of tools for strategic planning, monitoring, and evaluating performance, reporting, and organizational improvement and learning” (Ibid., 2006, p.6). This definition provides a comprehensive perception of what RBM is. Specifically, it makes an important distinction of RBM as a management approach and also as a set of tools.

The Canadian International Development Agency (CIDA, 2008, p.3) also provides a definition of RBM as “a life-cycle approach to management that integrates strategy, people, resources, processes, and measurements to improve decision making, transparency, and accountability”. The aspects of results management that this definition highlights include the integration of different resources, the achievement of results, transparency, and accountability, performance measurement and reporting, and learning and adaptation. This in effect implies that something needs to be done when results do not turn out as expected. According to UNESCO (2008, p.6):

results-based management is a participatory and team-based approach to programme planning and focuses on achieving defined and measurable results and impact. It is designed to improve programme delivery and strengthen management effectiveness, efficiency, and accountability.

It is important to note that this particular definition acknowledges the issues of participation and team approach in the production of results, most likely for two reasons: firstly, because the production of results, as indicated earlier, requires an integration of issues; and secondly, it requires that the beneficiaries of services are taken into account.

Arising from the discussion of RBM and results management, two experiences specifically help to locate ROM as a results-based concept and practice. In the United States of America, ROM is commonly referred to as results oriented management and accountability (ROMA). It is “a performance-based initiative designed to preserve the anti-poverty focus of community action and to promote greater effectiveness among state and local agencies” (National Association for State Community Services Programme, 2014, p.1). In that regard, ROMA focuses on: (i) implementing appropriate strategies for improving the conditions of low income communities, and (ii) using results information to inform short-term and long-run planning. It is evidenced that this approach promotes direct focus on communities, a participatory approach in terms of delivering community results, and accountability for results through performance measurement and use of performance information across all states and sectors in the United States of America (National Association for State Community Services Programme, 2014). This may be mainly attributed to the legal requirement under the Government Performance and Results Act 1993 of the
United States, which places emphasis on a strategic leadership focus on results for citizens.

An addition to the example of the experience in the United States (US) is that of the Netherlands. According to Van der Knaap (2001, p.361):

The objective of the results-oriented management model, hence, is not just to save money but foremost to improve government performance by clarifying the relation between the deployment of resources, products and services and the outcomes to be attained, and to take this as a starting point in (1) policy-making, (2) policy-implementation, and (3) policy-evaluation.

This is being implemented through “accountable budgeting” (de Jong, van Beek and Posthumus, 2013, p. 20). These examples make it evident that ROM is both a strategic and tactical approach, as it involves policy direction and implementation at service delivery level to improve effectiveness. The analysis indicates that ROM involves a set of terminologies, some of which are provided in the table below.

Table 2.1: Definition of common terminologies in results oriented management

<table>
<thead>
<tr>
<th>Terminology</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Activity</td>
<td>“Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs” (OECD, 2002, p.15).</td>
</tr>
<tr>
<td>Effectiveness</td>
<td>“The extent to which the development intervention’s objectives were achieved, or are expected to be achieved, taking into account their relative importance” (OECD, 2002, p.20). “Doing the right things” (Mullins (2010, p. 475).</td>
</tr>
<tr>
<td>Efficiency</td>
<td>“A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results” (OECD, 2002, p.21). “Doing things right” (Mullins, 2010, p.475)</td>
</tr>
<tr>
<td>Indicator</td>
<td>“Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention” (OECD, 2002, P.25). “A proxy measure” (MoPS, 2010a).</td>
</tr>
<tr>
<td>Input</td>
<td>“The financial, human, material, and information resources used to produce outputs through activities and accomplish outcomes” (CIDA, 2008, p.4).</td>
</tr>
<tr>
<td>Mission statement</td>
<td>“The purpose or reason for existence of an organization” (MoPS, 2010a).</td>
</tr>
<tr>
<td>Objective</td>
<td>“A statement of what is planned to be achieved” (MoPS, 2010a).</td>
</tr>
<tr>
<td>Performance</td>
<td>“The degree to which a development intervention or a development partner operates according to specific criteria/standards/guidelines or achieves results in accordance with stated goals or plans” (OECD, 2002, p.29). “The result of activities of an organization over a given period of time. It is that which is accomplished or achieved. It is a result” (MoPS, 2010a).</td>
</tr>
<tr>
<td>Terminology</td>
<td>Definition</td>
</tr>
<tr>
<td>------------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Performance indicator</td>
<td>“A variable that allows the verification of changes in the development intervention or shows results relative to what was planned” (OECD, 2002, p.29).</td>
</tr>
<tr>
<td>Results</td>
<td>“The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention” (OECD, p.33).</td>
</tr>
<tr>
<td>Results chain</td>
<td>“The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback. In some agencies, reach is part of the results chain” (OECD, 2002, p.33).</td>
</tr>
<tr>
<td>Results framework</td>
<td>“The program logic that explains how the development objective is to be achieved, including causal relationships and underlying assumptions” (OECD, 2002, p.33).</td>
</tr>
<tr>
<td>Results based management</td>
<td>“A management strategy focusing on performance and achievement of outputs, outcomes and impacts” (OECD, 2002, p.34).</td>
</tr>
<tr>
<td>Sustainability</td>
<td>“The continuation of benefits from a development intervention after major development assistance has been completed” (OECD, 2002, p.36).</td>
</tr>
<tr>
<td>Target</td>
<td>“Quantitative or qualitative output to be delivered over a given period of time” (MoPS, 2010a).</td>
</tr>
</tbody>
</table>

Source: Compiled from OECD (2002), CIDA (2008), the Ministry of Public Service (2010a)

The analysis within this chapter indicates that although these terminologies may be applied differently in Western countries, the concern for efficiency, effectiveness, and the different hierarchy of results (i.e., from inputs to outputs, outcomes, and impacts) cuts across the board. An example of a typical results oriented performance management model within the context of Western theories and experiences is reflected in Figure 2.1 below.

**Figure 2.1 Performance: A conceptual framework**

![Performance: A conceptual framework](source)

Source: Pollitt and Bouckaert (2011, p. 16)

According to Pollitt and Bouckaert (2011), the above model can be applied at various levels. It can be applied at the very highest level of generality, taking
public administration as the unit of analysis. It can also be applied to individual institutions or organizations, as well as to programmes:

the model assumes that institutions and/or programmes are set up to address some specific socio-economic need(s). They establish objectives concerned with these needs, and acquire inputs (staff, buildings, resources) with which to conduct activities in pursuit of objectives. Processes are then those activities which take place inside institutions, in order to generate outputs. ... The outputs are the products of these processes—what the institution delivers to the outside world. ... The outputs then interact with the environment (especially with those individuals and groups at whom they are specifically aimed) leading to intermediate and then final outcomes (Ibid., 2011, p. 134).

The model therefore places emphasis on the hierarchy of results. Pollitt and Bouckaert (2011) apply this model at the very highest level of administration, to assess the performance of public service reforms more generally. Aside from the model by Pollitt and Bouckaert (2011), Bouckaert and Halligan (2008, p. 15) point out that:

the assumption of a direct link between input, activities and outputs suggests a mechanistic relationship that is founded on a machine-based, routine-featured production function that is linear if possible. Reality is more complex, especially in the public sector. Within the ‘black box’, the chain between resources, activities and outputs is full of disconnections, disruptions and disjunctions, in other words, with inefficiencies.

This observation highlights challenges of implementing ROM even in Western countries that have more developed administrative systems and performance management models compared to countries in SSA. In this research, the model is applied in the theoretical and empirical analysis of the achievements, challenges, and lessons learnt in performance management and service delivery reform in both Western and SSA countries. An overview of the meaning of ROM in SSA is first discussed.

2.6.2 Tracing the meaning and implementation of ROM in SSA

In this section, a number of approaches to the application of ROM in SSA are analysed. The analysis takes into account the transfer of ROM from Western countries to SSA, through both voluntary and compulsory mechanisms. As in Western countries, the initiative has taken on different names and focuses in SSA. Earlier research indicates a number of challenges for the introduction and implementation of ROM in SSA. Wamalwa and Balogun (2000, p.6) contend that “while a development-oriented administration thrives on performance and results, the rules stifled individual initiative and provided a shield behind which foot-dragging or corrupt officials could hide”. This poses challenges for the implementation of ROM.
The level of development of public administrative systems on the one hand and the concern for responsive governance on the other make it difficult to pinpoint the focus of ROM. A performance and service delivery model specifically designed for SSA countries would help to analyse performance management in this context. Such a model is, however, still lacking. Nevertheless, recognition that ROM practices have been introduced in a number of countries in SSA, under public service reform programmes, is highlighted using some examples. For this particular purpose, examples are drawn from Tanzania, Kenya, Botswana, and South Africa, mainly because information on these countries regarding the implementation of performance management reforms is accessible from internet sources.

2.6.2.1 The approach to ROM implementation in Tanzania

The first example regarding the implementation of a results based approach is drawn from Tanzania whereby; “Results Based Management (RBM) was introduced using a home grown rubric referred to as Performance Improvement Model (PIM)” (Bana and Shitindi, 2009, p.6). This model:
requires all public service institutions to plan, implement, monitor, evaluate, and report on performance, and finally carry out performance reviews. ...The specific tools for performance management include strategic and operational planning, client service charters, service delivery surveys, self-assessment programmes, performance budgets, the introduction of Open Performance Review and Appraisal System (OPRAS) and comprehensive monitoring and evaluation (M&E) system (Ibid, 2009, p.6).

This development notwithstanding, a number of challenges in the implementation of performance management initiatives have been identified, including that, “sufficient time is required before they are internalized, fully understood, accepted, used and used with sufficient quality” (Bana and Shitindi, 2009, p.11). Specifically, a review of the OPRAS and the Selective Accelerated Salary Enhancement Scheme (SASE), which was undertaken in the context of a collaborative research venture by the Research Council of Norway and the government of Tanzania between 2007 to 2010, indicates, for example that:
the principle of using numbers of patients as an indicator for performing well was hence met with scepticism. Health workers repeatedly pointed out the optimal situation should be a low number of patients receiving treatment (Songstad et al., 2012, p.7).

In addition, “OPRAS is intended to evaluate performance and provide feedback to the employee. In practice however, OPRAS appeared not to be used for feedback” (Ibid., 2012, p.7). The experience from Tanzania indicates that there has been effort to include most of the elements of a results oriented system. The question remains, however, over the extent to which they are applied and are leading to improved results.
2.6.2.2 Rapid Results Initiative as a model for ROM in Kenya

Next to the PIM in Tanzania is the experience of implementing a Rapid Results Initiative (RRI) in Kenya. RRI is regarded as a tool that “provides a structured methodology for building and practicing Results Based Management (RBM)” (Obong’o, nd, p.1). It is further argued that RRI:
- accelerates implementation of plans and priorities; builds support for large-scale change efforts by overcoming inertia and resistance to change;
- helps leaders adapt and refine implementation strategies;
- accelerates learning and discovery; reduces hidden risks inherent in long-term strategies (Ibid., nd, pp.1-2).

Under RRI, targets in terms of specific deliverables and timelines are set that are linked to the strategic plan. Priorities under RRI are informed by institutional client charters and performance contracts that are in turn linked to strategic plans. It is highly recognized that leadership and teamwork are very important for RRI to work, in addressing a specific results area. This is supported by a functional monitoring and evaluation system through which performance is assessed and institutional performance rewarded and recognized. Lessons drawn from implementation inform a continuous performance improvement process and identification of priorities to be addressed (Obong’o, nd; Rushda, 2012). Taking into consideration the general characteristics of a results oriented approach, RRI specifically places emphasis on identification of strategic challenges and a team approach to addressing performance issues within a specified period of time.

2.6.2.3 The Botswana results oriented performance management system

Botswana’s national vision 2016, reflects the priority attached to the “Botswana Performance Management Systems (BPMS)”, whose implementation plan is a central part of the process “to build a competitive, innovative, and creative society at all levels of national and economic generation”(Henderson and Hacker, 2002, p.1). In that regard, “The BPMS approach calls for all government ministries to develop and implement strategic plans, as well as employ measurement systems to track progress and outcomes” (Ibid., 2002,p.1). Amongst others, leadership development and strategic management are prioritized as strategies for improving performance. The performance management system focuses on the elements of:
- vision (where do you want to go), a burning platform (why must you leave the current situation), leadership (who will guide you there), a change plan (how will you get there), and a political plan (how will you enrol others to go there too) (Henderson and Hacker, 2002, p.2).

These elements integrate the results, with the requirements for leadership and ownership of the process. A National Productivity Centre was created as part of the framework for performance improvement (Ibid., 2002). In addition, Work
Improvement Teams (WITs) are also used to promote leadership for the reforms (Kempe, 2003). The role of leadership, the focus on strategic planning and the importance of teamwork stand out as the driving focus of the performance management system. The above notwithstanding, some challenges have also been found to impact the implementation of performance management reforms, namely a mindset problem among some staff, the questioned commitment of leadership, and inconsistent management competencies (Ibid., 2003). Institutionalising a result oriented performance system therefore, requires continuous and sustained effort.

2.6.2.4 Results orientation in South Africa

The foundation for performance management and accountability in South Africa is the Reconstruction and Development Programme (RDP), of 1994 that sought to mobilize all citizens and resources towards a common vision for the transformation of the lives of the people of South Africa (RDP White Paper, 1994). It provides “an integrated, coherent socio-economic policy framework” (Ibid., 1994, p.6). Of importance is the ‘Batho Pele’ (People First) initiative (1997), which provides the framework for improving performance and service delivery (Department of Public Service and Administration, 1997).

The main principles of Batho Pele are consultation, service standards, access, courtesy, information, openness and transparency, redress and value for money (Ibid, 1997). It is emphasised that as individuals, managers should be held responsible for the delivery of specified results against specific resources and that value for resources should be taken into account. “Service to the public” should be the primary objective of public servants, who should perceive themselves “as servants of the citizens of South Africa” (Ibid., 1997, p.8).

It is acknowledged that the institutionalization of a performance management system takes time, and that implementation is not usually perfect but provides room for learning and continuous improvement (Kambuwa and Wallis, 2002). The focus on results oriented performance management is driven by the commitment to continuously improve performance and attain outcomes that are most valuable to the citizens. The instruments being applied include performance agreements at the highest level between the President and Ministers (The Presidency, 2009), linking planning and budgeting to performance targets (National Treasury, 2010) and performance reporting and use of performance information (National Treasury, 2007).

The above analysis indicates that some countries in SSA, in one way or another, are implementing some form of results oriented management system, that there are various tools for performance management, and that although some effort has been made, a number of challenges are being encountered. This provides the basis for designing a theoretical framework for the study of ROM in Uganda.
2.7 A theoretical framework for the study of ROM and service delivery in Uganda

Arising from the previous discussions in this chapter, an analysis of a performance and service delivery model for Uganda and SSA cannot be detached from global theory and practices in Western countries. Of specific consideration is that in some countries, political instability arising from conflict and war has weakened the public administrative systems whose development has either stalled or even reversed (United Nations, 2005). The key question is whether the public service in Uganda and SSA at large should focus on perfecting traditional public administration, on introducing new management techniques, or both, and whether reforms can take effect in underdeveloped administrative systems. These are some of the key issues that the empirical analysis seeks to delve into. Arising from the above, a performance and service delivery model is proposed for the empirical analysis of performance management and service delivery in Uganda and SSA as a whole. The proposed model takes into account the theoretical discussions in this chapter, some of the experiences of reforms in Western countries, the Performance Conceptual Framework (see Figure 2.1) of Pollitt and Bouckaert (2011, p. 133), and the efforts made towards introducing results oriented reforms in SSA.

**Figure 2.2 Framework for the study of ROM and service delivery in Uganda**

The Performance Conceptual Framework model of Pollitt and Bouckaert (2011), shown in Figure 2.1, is designed for an environment where administrative systems and processes are relatively more developed and stable than they are in SSA. The model that I specifically designed for the analysis in this research, Figure 2.2, takes into consideration the internally underdeveloped systems and
processes, and the external environment within which results oriented performance management reforms are implemented. It emphasizes the fact that public service delivery should be efficient, effective, equitable, responsive, and sustainable in terms of the needs and expectations of citizens and stakeholders, and that this is supported when a results oriented systems approach to performance and service delivery is in place. A results oriented management system approach to performance management depends on: the quality of leadership (shared vision for the public good); cost efficient generation and use of public resources (accountability and value for public money against policy priorities); institutional structures (appropriate levels of centralization, decentralization, and private provision); human resource capacity (in terms of numbers, skill, and attitude); and the capacity of service recipients to demand public services.

The key lessons drawn from the theoretical discussion of both the Western and SSA experiences of performance management reform that inform the model used in this study are hereby highlighted. The first key lesson is that the definition and tools for results oriented performance management depend on the unique circumstances for implementation in each region or country. Theoretical analysis indicates that performance management includes the manager (who undertakes management), the process of management (how management is undertaken, which involves economy and efficiency), the results of management (effectiveness and equity), and the tools that are applied in management (e.g. performance contracting). Management also involves a broad spectrum, from the individual to the organizational level; from the operational to the strategic level; and from the micro to the macro level. These emerging issues regarding the definition of management provide leverage for answering the question of what ROM is, and the critical factors affecting its implementation. Overall, a result oriented performance management system needs to be comprehensive and internally consistent.

The second key issue is that results oriented performance management and service delivery reforms are better implemented in a developed and stable framework where basics are in place. As indicated earlier in the discussion, there is a relationship between the development of political administration, public administration, and bureaucracy, and subsequently public sector reform. Managerial public administration should be built on bureaucratic public administration, based on the existence of sound political leadership and a professional and competent civil service. In Western countries, there is evidence of a gradual theoretical and practical development of administration and management over a long period of time, and an emerging focus on performance management. This approach is likely to influence the modification of reform initiatives and the development of capacity for sustainability in implementation in the SSA setting.

The third key lesson is that leadership for public sector reform and result oriented performance management is critical. As indicated earlier in the analysis, clarity of
leadership vision and an appropriate focus on public services that are beneficial to citizens is a prerequisite for performance management. “The values, motivations, wants, needs, interests, and expectations of both leaders and followers must be represented in order for leadership to occur” (Denhardt and Denhardt, 2007, p.146). When public administrators take risks, they do so at the potential expense of citizens, because the consequences of risks arising from decisions or actions taken or not taken are experienced by citizens (Ibid., 2007). An appropriate balance between top-down and bottom-up approaches to performance management reform thus needs to be taken into consideration. Theoretical analysis of the experience in SSA demonstrates a contradiction between leadership focus and citizen expectations, as well as between top-down and bottom-up approaches, which requires deeper analysis.

The fourth key lesson is that there is need to provide value for public resources. As indicated earlier, the central theme behind most reform interventions has been that government does not provide enough value for money. A number of reform strategies, for example restructuring, decentralization, privatization, and changing public servants’ terms of service, may improve government performance and service delivery. However, accountability for resources against results to minimize wastage of public resources requires more intricate incentives in order to sustainably save public money. Theoretical analysis indicates that even in Western countries, resources will always be limited and must therefore be managed in an efficient, effective, equitable, and accountable manner. While there is dire scarcity of resources in SSA, there is also doubt that an appropriate incentive framework to minimize wastage and promote value for resources is in place.

The fifth key lesson is that restructuring is not an automatic solution to performance problems. Redefining the role of the state through privatization and decentralization has resulted in challenges in Western countries. In the SSA setting, the extent to which markets can be left to function as the main mechanism for public service delivery is highly doubtful. Furthermore, the challenges of creating a nation and the decentralization of functions to local governments that are established along tribal lines may actually create more challenges than such endeavours are intended to solve. Making bureaucracy in SSA functional is a challenge that includes the historical experience of colonialism, cultural aspects, leadership capacity challenges, and the continuing intervention of international funding institutions.

The sixth key lesson is the need to build and maintain adequate human resource capacity for the implementation of performance management reforms and service delivery programmes. New human resource management practices, for example performance contracting or performance related pay, are not easy solutions to implement. The focus should not only be on numbers, but more on skills and
attitude. Overall, prioritization of human resources should be reflected in investment in human resource management.

The seventh key lesson is that there is need to listen to citizens, to communicate with them and engage them in genuine participation. As highlighted earlier, “people who would like to see better public administration often do not know what to do or how to make their wishes known” (Caiden, 1991, p.164). It would appear that “representative democracy has largely confined the role of the citizen to voting every few years and occasionally communicating with elected officials” (Denhardt and Denhardt, 2007, p.94). Successful administrative reform should allow for public participation. Furthermore, citizens’ contribution to performance and service delivery needs to be valued.

The eighth key lesson is that external influence, within the region or at the global level, affects the transfer of reforms. International funding agencies also have a role to play in the transfer of reforms, whether on a compulsory or voluntary basis. The most outstanding emerging issues that are employed in this study are the questions of how performance and service delivery reform can be implemented in SSA in view of its position with regard to the development of a public bureaucracy, the extent of implementation of NPM reforms, and the concerns surrounding public governance and public value reforms.

The issues that have emerged, as highlighted in the eight key lessons outlined above, require further theoretical and empirical analysis. Before doing so, however, the methodology used for the study is first presented in the following chapter.
CHAPTER THREE
METHODOLOGY FOR THE STUDY

3.1 Introduction to the research methodology
As part of the research process, empirical evidence was collected to ascertain the situation on the ground and provide empirical answers to the research questions. This chapter discusses the research design, research methodologies, sampling, data collection, data analysis and ethical issues. The study methodology placed emphasis on the need to ensure the consistency, reliability, validity, and credibility of the research findings. The research questions for the study are first highlighted.

3.2 Research questions
The research questions for this study were presented in the introduction. It is, however, imperative to highlight them once again here in order to link the research methods and data collection techniques to the specific research questions that guided the study. The overall research question for the study was: What are the critical factors affecting the implementation of results oriented management in Uganda from the perspective of public servants?

This question seeks to explain the different perspectives and experiences in the management of performance and service delivery. It also seeks to identify and provide areas of convergence and contradiction in terms of opinions on the relationships between organizations, public servants, and service recipients.

The specific research questions were:
a) What is results oriented management? As discussed earlier in the introduction, this question helps to establish the perceptions of public servants with regard to what ROM is and how it is implemented in different policy sectors. The more public servants appreciate ROM, the more it is likely to be applied.
b) What are the critical factors affecting the implementation of ROM and subsequent improvement in public service delivery in the Ugandan setting? The purpose of this question is to establish the perceptions of public servants regarding the factors that affect the implementation of ROM and to analyse whether the challenges in implementation arise from the ROM model itself or are external to it.
c) What are the factors that affect the transfer of ROM from a Western setting to a SSA situation like Uganda? This question is important to the extent that ROM is a Western management approach. It is therefore useful to analyse the conditions under which it is (or should be) adapted to the Ugandan situation.

Taking into account these research questions, a discussion of the research design, methods, and techniques that were applied in this study is offered below.
3.3 Research design

3.3.1 Case study of ROM in Uganda

It was imperative to develop an appropriate design for the study. For that reason, the research design was based on a case study of Uganda. This design addressed the purpose of the study, which, amongst others, was to generate theoretical and empirical knowledge on performance management in a Sub-Saharan African setting, and to propose a model for performance and service delivery based on the Ugandan experience. According to Amin (2005, p.195):

"case studies make an intensive investigation on the complex factors that contribute to the individuality of a social unit. They emphasize detailed contextual analysis of a limited number of events or conditions and their relationships....In particular, social scientists have used this qualitative method to examine real-life situations and provide the basis for the application of ideas and extension of methods."

In addition to the argument by Amin (2005), Jreisat (2002, p. 69) further emphasizes that:

"close analysis of a manageable number of these observations within a small number of cases is the best avenue to achieve reliable and useful results. Relevance and reliability are usually significantly elevated by field research on specific systems elaborately described in case studies."

This arises from the fact that “case studies provide a comprehensiveness that is hard to reach through other methods without sacrificing specificity and relevance” (Ibid., 2002, p.69). Considering the limitations that would be involved in undertaking a study on most Sub-Saharan African countries, a case study of the Ugandan situation provided an opportunity for a detailed study of the concepts and practices related to results oriented performance management and service delivery. The design enabled the collection of appropriate evidence to answer the research questions as precisely and comprehensively as possible.

In accordance with the research design, a model was designed to support the empirical analysis (see Figure 2.2 in Chapter Two). The issues that constitute the working model were drawn from the key lessons highlighted in the theoretical chapter (Chapter Two). The model provided a logical structure for the empirical study and enabled collection of the appropriate evidence required to answer the research questions in a comprehensive manner. It also enabled responsiveness to emerging theoretical issues affecting performance management and service delivery. The research design and model used offered the opportunity to explain relationships among the key concepts and variables.

3.3.2 Comparative analysis

A comparative analysis with Ghana and Zambia, which have similar characteristics to Uganda and are at various stages of implementation of public sector reforms, was made. Comparison with the Netherlands and the United...
Kingdom was also undertaken to identify commonalities and good practices. According to Jreisat (2002, p. 65): “the right comparative method provides a vehicle for processing diverse, extensive information and distinguishing what is important and what is not”. The author further argues that “in addition to issues of feasibility, practicality, and concern for substance, a practicable comparative method provides an opportunity to bring together and integrate fragmented knowledge into a coherent, unified whole” (Ibid., 2002, p.66). Peters (1998, p.4) also contends that “the virtue of comparative analysis, especially when analysis is limited to a single case or a few cases, is that it forces greater specificity on the researcher”. This provides leverage for the application of comparative analysis.

The intention of the comparative analysis was not to study the whole situation in the identified countries, but to derive examples of differences and similarities, and subsequently good practices, in a broader context of issues. The analysis was based primarily on secondary information. The comparative analysis was very relevant for understanding what ROM is, and also for examining the critical factors that affect the transfer of results oriented performance management reforms. Considering that the study focused on two policy areas in Uganda, more comparative information was required to address the research question. Consideration was therefore made to apply comparison in order to generate answers that have a more universal outlook. Finally, comparison also provided an additional avenue for triangulation, in order to assess the meanings of findings and determine whether they are unique to Uganda or also common to other countries.

3.3.3 Analysing civil servants’ perceptions of ROM

Although largely qualitative, the study includes aspects of a quantitative approach. It takes into consideration how public servants working in ministries, departments, local governments, and service delivery facilities perceive the implementation of ROM. The experiences of individual informants and focus group discussions are used to emphasize issues of convergence or contradiction. The intention of this research was not to study the outcome of ROM, but rather to address whether public servants in Uganda are knowledgeable about it, and to obtain insight into their perceptions of the extent to which it is applied and the issues that affect its application. As discussed earlier in the theoretical chapter, human resources are a very important aspect of organizational performance. In this regard, human relations theories have paid special attention to the social factors in work groups and the behaviour of people at work. McGregor’s (1960, pp.47-48) Theory Y – which assumes that human beings “will exercise self-direction and self-control” if they are committed to their objectives, and will accept and even seek responsibility and be creative at work – is a very important basis for this research, as it helps to explain the perceptions of public servants regarding why ROM does or does not work, and to generate appropriate recommendations for it to work.
3.3.4 Education and health sector
The study targeted the sectors of education and health. All citizens are directly or indirectly affected by these services on a regular basis. Effective performance management and service delivery in these sectors is likely to result in a high quality national human resource base, which can be a driver for transformation of the economy (National Planning Authority, 2010). Within the education sector, the study focused on the provision of universal primary education. Within the health sector, the study focused on primary health care. Both of these policy priorities have provided opportunities and challenges for government action or inaction to be felt by citizens, collectively or as individual service recipients (Ministry of Public Service and Uganda Bureau of Statistics, 2009; Uganda Bureau of Statistics, 2010). In addition, these two sectors account for a reasonable share of the budget, structures, and human resources of the nation (Ministry of Education and Sports, 2013; Ministry of Health, 2013).

3.4 Research methods and data collection techniques
The main principle underlying the research design was triangulation. Peters (1998, pp. 98-99) explains that triangulation involves “the use of various types of obtrusive measures, each designed to check the validity of the others, or to elicit different forms of information from the research subjects”. Amin (2005, p.65) indicates that triangulation “uses more than one research method or data collection technique because each taps different dimensions of the problem”. In this research, triangulation was applied to analyse the findings within SSA and from the study of the experiences of the UK and the Netherlands. This involved collection of data using different methods in order to increase the level of comprehensiveness, comparability, and validity.

In order to obtain a balanced view of the research findings and to propose a performance management and service delivery model for the public service, the specific research questions required each of the approaches – qualitative, quantitative, and comparative – to be applied. The research methods were applied using an interactive approach, to the extent that a combination of methods was applied for each of the research questions. An inventory regarding the issues on which data was collected was prepared and is attached as Annex 3. The inventory was applied to separately identify the type of information that was collected using a particular data collection technique, for example, interview, focus group discussion, or survey instrument.

An example of another such study is Kempe (2003), who researched employee perceptions of leadership and performance management in the public service in Botswana. The data collection techniques that were applied took into account the need to collect data using both primary sources (such as interviews and focus group discussions) and secondary data (mainly from government reports).

Appropriate analysis considerations that took into account the different policy sectors and local governments, the different grades of public servants, and the
analysis tools available were very important for the design of relevant data collection instruments. Analysis and interpretation helped to generate data and information in order to observe emerging issues. Triangulation of the methods explained above was also very useful in this regard, as it provides a basis for the analysis of perceptions that are not otherwise obvious. For both the qualitative and quantitative approaches, analysis helped to link data to the concepts. For the quantitative approach, an ordinal ranking measurement (Amin, 2005) was applied to produce quantitative measures that were analysed. In order to enhance the credibility and consistency of findings, effort was made to operationalize and define precise levels of ranking and use multiple indicators against the variables. The instruments were piloted to promote the level of authenticity and appropriate responses from participants. The research instruments are attached as Annexes 4 to 6.

3.4.1 Qualitative methods and techniques
The qualitative methodology enabled the identification of intangible factors that impact performance and service delivery. This approach involved:

a) An extensive review of literature and secondary information, which was undertaken from both a Western and SSA perspective, in order to gain a wide appreciation of the research problem and the diversity and commonality of the contexts in which performance management models are developed and implemented. The literature included studies of public administration, public sector reforms, leadership, planning and budgeting, policy management, institutional reviews, human resource management, and citizen engagement. Content analysis of official documents and reports to generate data and information for the study was also made. This included analysis of strategic plans, evaluation reports, and surveys. To this effect, Sekaran (2003, p. 222) contends that “secondary data are indispensable for most organizational research. ...Such data can be internal or external to the organization and accessed through the internet or via perusal of recorded or published information.” The review of literature was applied across all sub-questions.

b) Participant observation took place mainly at service delivery points (schools and health units) in order to capture data as events naturally occurred in the work and service delivery environment. This enriched both the knowledge of the researcher and the quality of empirical evidence generated. In this regard, Amin (2005, p.170) asserts that observations “make it possible for the researcher to obtain first-hand information about the objects of research”, and may also provide “unexpected but useful information”. Furthermore, Sekaran (2003, p.255) argues that “observational studies can provide rich data and insight into the nature of phenomenon to observe. They have offered much understanding of interpersonal and group dynamics”.

c) In-depth interviews with key informants were undertaken to obtain insight into different perspectives and experiences. Heads of policy and technical
departments, heads of service delivery units, and other key informants were identified and interviewed in the selected ministries, departments, local governments, and service delivery facilities. These also included political leaders, and non-governmental and civil society organizations. According to Sekaran (2003, p.227), “structured interviews are those conducted when it is known at the outset what information is needed”. A structured interview guide was therefore applied. An example of the interview guide used is attached as Annex 4, though it should be appreciated that for each interview there was focus on the particular issues that had emerged in the literature review and focus group discussions. In addition, respondents were provided the opportunity to raise issues that they considered critical. The context of individual interviews provided confidence among respondents to participate in the study and allowed the opportunity to probe issues that would otherwise be difficult to discuss in an open environment. Finally, interviews with key informants using an interview guide were applied in order to complement theoretical findings with actual practice and generate data on all sub-questions.

d) Through focus group discussions, a wider range of ideas on a series of open ended questions was obtained. Sekaran (2003, p. 220) explains that: focus sessions are aimed at obtaining respondents’ impressions, interpretations, and opinions, as the members talk about the event, concept, product, or service. ...Focus group discussions on a specific topic at a particular location and at a specified time provide the opportunity for a flexible, free-flowing format for the members. The unstructured and spontaneous responses are expected to reflect genuine opinions, ideas, and feelings of the members about the topic under discussion.

Accordingly, focus group discussions were conducted both at central government level and in the four local district governments. In each of the selected local governments, at least two focus group discussions were held. Participants were selected to meet sampling criteria; the target participants were public servants at the district administrative level and service delivery facilities (including schools and health units). At the central government level, four focus group discussions were held on the basis of the sectors concerned, namely health, education, and public sector management. Although the focus of the study was on two service delivery sectors, it was very important to include a discussion on public sector management issues, within which the implementation of ROM was of primary interest. In this latter discussion, participants from sectors other than health and education were included.

Holding focus group discussions provided an opportunity for the participants to respond more elaborately and in greater detail, and using words of their choice, than is usually the case with questionnaires. It also provided a two-way learning possibility for the clarification of issues raised by participants. For the researcher,
it provided opportunity to probe answers and generate otherwise unanticipated responses with more rich and explanatory meaning. The discussions provided opportunity for participants to open up and discuss issues freely. They generated valuable information that would otherwise have been skipped in a structured setting and enabled participants to think together on the key issues that affect performance and service delivery. Experiences were documented for ease of reference. Questions that guided focus group discussions are attached as Annex 5. Focus group discussions were applied most specifically for the question of whether ROM can be uniformly applied in different sectors, and the critical factors that affect its implementation. For example, participants were specifically requested to indicate what practices they could identify within the two sectors of health and education that provide leverage for the implementation of ROM.

3.4.2 Quantitative techniques

In addition to qualitative techniques, quantitative approaches were also applied to collect empirical data in terms of numbers. According to Amin (2005, p. 147), the instruments used when conducting a study significantly impact the type of data collected, the analyses, and subsequently the study findings. It was therefore considered appropriate to apply a self-administered questionnaire to a select number of respondents at three levels, namely central government level, local government level, and service facility level. Available relevant statistical data and information in reports and other documents were also analysed. The self-administered questionnaire enabled coverage of a wider sample of the study population and provided feedback on critical aspects of the study. The advantage of a standard questionnaire is “that it allows for meaningful comparison of responses across participants and study sites. However, it requires a thorough understanding of the important questions to ask, the best way to ask them, and the range of possible responses” (Mack, Woodsong, Macqueen, Guest and Nancy, 2005, p.3). Separate questionnaires were developed for the different strata of respondents, who were expected to respond to matters within their more familiar area of operation. The questionnaires are attached as Annexes 6a-6c as follows:

ii) Annex 6b: Self-administered questionnaire for public servants in local government administration.
iii) Annex 6c: Self-administered questionnaire for public servants at the education or health facility level.

Respondents were specifically requested to indicate the factors that they thought impacted the implementation of ROM. The questionnaire covered all sub-questions, with the exception of the sub-question regarding the transferability of ROM.
3.4.3 Comparative analysis
As indicated earlier, a comparative analysis of similar practices in Ghana and Zambia was undertaken. Furthermore, comparison with practices from the United Kingdom and the Netherlands was made. The comparative analysis mainly involved use of secondary literature and website materials, as indicated in the detailed explanation already provided in Chapter One. Content analysis of data and information contained in documents and reports was undertaken and culminated in the research thesis. Overall, the methodology prioritized adequate coverage, comprehensiveness, reliability, and validity of findings.

3.5 Study sample
Taking into account the challenges of time and cost, it was not possible to study every aspect of the population, and therefore sampling was undertaken. The objective of sampling is to obtain a representative sample of units from a much larger population. For this study, this made it possible to study a smaller group of ministries, departments, local governments, service delivery facilities, and public servants in order to produce generalizations about the larger population group. The focus was mainly on the target ministries responsible for health and education. The Education Service Commission and the Health Service Commission that are responsible for the appointments of staff in the two sectors were also targeted. In addition, the following ministries were included: the Ministry of Public Services that is in charge of restructuring and human resource management policy; the Ministry of Finance, Planning and Economic Development, which is responsible for revenue generation and planning and budgeting; and the Ministry of Local Government, which is responsible for local governments.

Four local governments were selected, namely Gulu, Kabarole, Tororo, and Luweero. Gulu District represents the northern region in Uganda. This region was affected by war and insecurity for a long period of time. Conflicts have implications for performance management and service delivery reforms, as they affect the resources that are available, infrastructure and human resources, and the citizens who receive the services. Kabarole District represents the western region of the country. This region has experienced relative peace and security, which should in theory promote harmony and preserve service delivery infrastructure. Luweero District represents the central region. This region has the unique characteristic of being home to a number of varied ethnic groups. This district provides characteristics of a rural local government that is not far from the nation’s capital city Kampala. Tororo District represents the eastern part of Uganda. This local government is on the border with Kenya, and provides an opportunity to raise questions regarding external regional factors that can influence performance and service delivery. Respondents were drawn from different departments at the four local government headquarters, as well as from health units and schools.
The selected countries for the comparative analysis were Ghana and Zambia within the Sub-Saharan African region, and the United Kingdom and the Netherlands as examples of Western practices. Ghana and Zambia were selected because of their historical, geographical, and socio-economic similarities with Uganda. The United Kingdom was selected because of its historical experiences with Sub-Saharan African countries. The Netherlands was included for two reasons, namely its support for the implementation of public sector reforms and as the country where the researcher undertook the PhD programme.

Sampling prioritized the need to produce a sample that would provide accurate findings that could be generalized. It involved an approach that would take into account the different methodologies. For the purposes of the qualitative survey, purposive sampling was undertaken. The sample mainly included key informants in leadership positions in ministries, local governments, departments, and service delivery facilities. Participants were selected based on their likelihood to generate useful data and information for the study. To promote credibility of the sample, the main interest groups in the sub-sectors were carefully identified and included. Regarding the sample for the quantitative component, four-stage stratified sampling was applied at: (i) national level institutions; (ii) local government administration level; (iii) the facility level within a local government; and (iv) the individual public officer level. The study population was divided into strata in order to ensure representation of the different aspects of the population in the sample. Thereafter, random sampling was done within each strata. The target population from which the sample for the quantitative survey was drawn included:

i) Public servants in the Ministries of Education and Health. These are responsible for policy formulation, setting performance standards and targets, and monitoring and evaluation of performance for the respective sectors. Their responses provided the focus for the quantitative research.

ii) Public servants in key coordinating ministries and departments in public sector management. As indicated earlier, ministries and departments responsible for structures, human resources management, recruitment, financial management, and local government, were included, from which participants for the interviews and focus group discussions were selected. The focus for the qualitative research was mainly on the ministries responsible for public service; finance, planning, and economic development; as well as local government and, public service, health service, and education service commissions.

iii) Public servants in the target service sub-sectors of primary education and primary health care services at the local government level, responsible for implementation of the sector policies, decentralization policy and for support supervision, monitoring, and evaluation of performance at that level.
iv) Public servants at the facility level responsible for primary education and primary health care, who are in direct contact with service recipients in schools and health units. This study focused on the perceptions of civil servants, and did not cover service recipients.

v) Managers of selected private facilities, to provide a basis for comparison with public sector practices.

3.6 General characteristics of the respondents
The key guiding issue in sampling was to ensure representativeness of the sample. The general characteristics of respondents are indicated in Annex 1. Below, an overview of the respondents’ characteristics is provided.

Seventy key informants from ministries and local governments were interviewed. Respondents who were interviewed across ministries and local governments included professionals in education and health (17 and 13 respectively), human resources (13), planners/economists and finance officers (9), administrators including permanent secretaries and chief administrative officers (11), political leaders (6), and a member of civil society (1).

Twelve focus group discussions were conducted, which were attended by a cross-section of participants. Eight of the focus group discussions were held at local government and four at central government level. Each focus group discussion was attended by nine participants on average. Some participants in the focus group discussions were also provided with a questionnaire to complete. Participants who attended the focus group discussions included, among other professional areas, health workers, teachers, human resource employees, administrators, and community development workers. A summary of the participants in focus group discussions is reflected in Annex 1 (d).

A total of 160 questionnaires were distributed. In total, 119 respondents completed the self-administered questionnaire, representing a 74% response rate. Of those who completed the questionnaire, 29% where from the two ministries of education and health, while 71% were from the local governments. Of all respondents, 35% were educators, while 36% were health professionals. General administration and other professions including human resources, finance, and planning, accounted for 29% of the respondents. Sixty-four percent of the respondents were in the salary scales U4-U1, while 36% were in the salary scales U5-U8, implying that the majority of respondents were middle managers. Fifty percent of respondents were female and 50% male. Of the female respondents, most fell in the lower salary bracket of U5-U8. Of all respondents, 84% had worked in the public service for a period exceeding 5 years. The detailed characteristics are indicated in Annex 1 (a).

3.7. Data analysis and interpretation
The data generated included field notes and other documented evidence. Data analysis was undertaken at four levels, namely the central government
institutional level, the local government level, the service delivery facility level, and the individual level. Regarding qualitative data, content analysis was undertaken to generate observations and recommendations. Records of all interviews and focus group discussions were well kept and were utilized to guide the analysis. Thematic analysis of issues was undertaken, thus common and recurrent issues and themes in the data were identified. Regarding quantitative data analysis, the responses generated from the questionnaires were coded and analysed using the statistical package for social scientists (SPSS).

### 3.8 Ethical issues

The ethical considerations that arose in the research were threefold, namely informed consent, professionalism, and confidentiality. Sekaran (2003) and Emin (2005) have identified ethical issues that define the relationship between researcher and respondent and the ethical conduct within a research process. Regarding informed consent, this was obtained informally during the interviews and focus group discussions. Participants were requested to state whether or not they accepted to participate. For the survey questionnaire, an explanation was provided regarding the objective of the study, and respondents who accepted to complete the questionnaires were regarded as having provided formal consent. For both the qualitative and quantitative approaches, respondents were informed about: (i) the purpose of the research; (ii) the name and contact information of the researcher; (iii) what was expected of the research participant, mainly in terms of time; (iv) the risks and benefits of participation (if any); (v) confidentiality; and (vi) the freedom to participate or not. Furthermore, data and information from other sources were acknowledged. Efforts to build up the confidentiality and trust of participants was made and maintained.

### 3.9 Study period and research challenges

The research was undertaken over the period 2010-2015 in accordance with the key steps outlined above. The main challenge encountered was the need for call backs. In the case of local governments outside of the researcher’s working place of Kampala, this was minimized by the researcher’s plan to spend a reasonable amount of time within the four districts. The other challenge was the lack of readily available reference materials on some of the emerging issues. The researcher made use of libraries in the Netherlands and website material.
CHAPTER FOUR

RESULTS ORIENTED MANAGEMENT IN THE PUBLIC SERVICE IN UGANDA

4.1 Introduction

This chapter addresses the key research question regarding what ROM is, and whether implementation can be uniformly applied in the policy sectors of education and health in the public service in Uganda. Prior to presentation of the empirical findings, issues emerging from the theoretical analysis and literature review in Chapter Two regarding what results oriented performance management is are first highlighted.

The theoretical analysis and literature review in Chapter Two indicate that the focus on ROM approaches has been progressive, from traditional public administration through to public value creation. In the early days under the public administration paradigm in the industrialization and post-World War I and II periods, the extent to which regulations, procedures, and processes were adhered to in the execution of duties was considered of paramount importance (Hughes, 1998; Heady, 2001; Farazmand, 2001). Drucker (1973), with his management by objectives (MBO) approach, brought into perspective a unique focus on meeting performance objectives, namely the intended results. The emergence of global economic challenges in the 1970s and 1980s and the concern for achieving value for public resources led to NPM reforms in the 1980s (Osborne and Gaebler, 1992; Denhardt and Denhardt, 2007), which increased the focus on efficiency and effectiveness in public services. The main question that NPM sought to address regarded the most cost efficient way of producing results. Efficiency and effectiveness, however, are not adequate for a results oriented focus (Osborne, 2006; Drechsler, 2005; Pollitt and Dan, 2011). Recognizing the limitations of efficiency and effectiveness, the search for a deeper focus on results led to the NPG approach (Osborne, 2006; Denhardt and Denhardt, 2007; Pollitt and Bouckaert, 2011; Bouckaert and Halligan, 2008), which seeks to answer the question of for whom the results are intended. This places citizens at the centre of the discussion on service delivery results. Currently, discussions on ROM approaches not only concern the question of for whom results are intended, but have gone a step further to inquire into ways of actively involving citizens in the co-production of public value.

The theoretical and literature review indicate a relationship between the concepts of performance and results. ROM exhibits a performance management systems approach. A results oriented performance management system includes the people who undertake management (managers), the process and tools of management, and the results (services) of management. The analysis in Chapter Two also indicates that different tools are applied, namely budgeting, performance contracts, and performance measurement (Pollitt and Bouckaert,
2011; OECD, 2005), which allude to a systems approach to performance management. Arising from the overview of examples of ROM implementation by country, the common lessons running through the country experiences are that implementation of ROM has: (i) increased the focus on results; (ii) led to the development of various tools to support implementation; (iii) emphasized the concern for citizens; and (iv) led to changes in the management of organizational structures and human resources. Theoretical analysis further indicates that different countries are at different stages of implementing results oriented performance management systems (OECD, 2006; 2007). Different challenges and unique circumstances inform the development and implementation of regional or country specific performance management systems.

In the United States, it has been demonstrated that ROM practices can be aligned to all policy sector strategies in order to achieve national objectives (US Government Accountability Office, 2009). Martinez and Martineau (2001) also demonstrate the importance of results oriented performance management in health care. In addition, Gwang-Chol (2006) provides detailed guidance for applying results oriented practices in education management. These theoretical issues inform the empirical research in Uganda, the findings from which are discussed in the remainder of this chapter.

4.2 Empirical findings on the ROM system in Uganda

4.2.1 The meaning of ROM in the public service in Uganda

The theoretical overview above indicates that ROM constitutes both a systems approach and a set of tools. It also indicates that different countries apply different tools and are at different levels of implementation. An empirical study was undertaken to establish the perceptions of public servants in Uganda regarding what ROM is and how it is applied. The findings are based on both secondary evidence mainly from strategic plans and reports and, primary evidence collected through interviews, focus group discussions (FGDs), and a questionnaire. Firstly, a discussion of the secondary sources is made, followed by discussion of the primary sources.

According to the secondary sources, the implementation of ROM in Uganda was executed under the recommendation of the Public Service Review and Reorganization Commission (PSRRC) 1989/90 (Ministry of Public Service and Cabinet Affairs, 1990). Prior to its introduction, ROM was first piloted in Uganda in 1996 during the first phase of the reform programme, which mainly focused on restructuring and rationalization of the public service (Ministry of Public Service, 1997; KPMG report for Government of Uganda, 1997). Thereafter, it was incorporated into the first comprehensive Public Service Reform Strategy 1997-2002, which in effect constituted the second phase of the Public Service Reform Programme (Ibid, 1997). The main objective of introducing ROM in the public service in Uganda was to transform the management culture in the public service and enhance efficiency and
effectiveness in the delivery of public services and value for public resources (Ministry of Public Service, 1997; 2002; 2005). A medium-term strategy to roll out the implementation of ROM in 2002-04 was developed (Ministry of Public Service, 2002). The Public Service Reform Programme Strategic Framework 2005/06-2009/10 specifically recognized that ROM would be a driver for the implementation of the entire reform programme, arising from the perception that restructuring alone – which had been the main focus of the reform up till then – was inadequate to transform the public service. The ultimate focus on service delivery would be results, instead of processes and inputs. The strategic objective to which ROM contributes is enhanced performance and accountability of public service organizations (Ministry of Public Service, 2005).

Regarding the definition of what ROM is in the context of the public service in Uganda, the ROM Implementation Strategy (2002-04) defines it as:

an approach to management, which seeks to make the best use of resources available by setting clear and attainable objectives for the main services delivered by public servants, and measuring performance in achieving those objectives, to serve as a basis for continuous improvements in service delivery (Ministry of Public Service, 2002, p.1).

Furthermore, according to the Uganda ROM Handbook (Ministry of Public Service, 2010a), the ROM approach was designed to integrate the objectives and outcomes defined within the national planning framework and sector plans with the results framework for each public sector organization. The framework, as indicated in the model below, is expected to support institutions to: (i) identify the national and sector outcomes that the organization contributes to; (ii) specify the purpose for which it exists; (iii) outline the objectives that it aims to achieve; (iv) specify the key outputs that must be delivered; and (v) define the performance indicators that will be used to measure how well the organization is performing and delivering the expected outputs.

Figure 4.1: The Uganda Public Service Results Oriented Management Framework

Source: ROM Handbook (Ministry of Public Service, 2010a)
The Uganda ROM model outlined above requires a focus on results in the planning, budgeting, implementation, and monitoring and evaluation of programmes, as well as the reward and recognition of performance and the publication of service delivery standards (Ministry of Public Service, 2010a). Furthermore, there is indication that a number of elements in the definition of common ROM terminologies provided in Table 2.1 in Chapter Two are applied in the ROM model in Uganda. Secondary sources also demonstrate that the conceptualization of ROM has changed over the implementation period and that the model is continuously being improved upon (KPMG, review on behalf of Ministry of Public Service, 2004; Atos Consulting, 2008, a review on behalf of Ministry of Public Service; Ministry of Public Service, 2010a; Sevic, 2010, a review on behalf of Ministry of Public Service). The most recent development is the strategic framework for integrating and strengthening ROM and Output Oriented Budgeting (OOB) jointly prepared and agreed upon between the Ministry of Public Service and the Ministry of Finance, Planning and Economic Development. The ROM and OOB framework is part of the requirement for the joint budget support framework agreed to between the Government of Uganda and development partners for implementation of national development strategies (Ministry of Public Service, 2010b).

Having presented the definition of ROM in Uganda from the secondary sources, it is now important to present the results from the primary sources regarding the perceptions of the respondents. The question of what ROM is was asked to the interviewed informants, to the participants in the FGDs, and to the respondents who completed the self-administered questionnaire. Most of the respondents stated that they were aware and knowledgeable about the results oriented performance management system. The responses of those who completed the questionnaire are indicated in the table below.

<table>
<thead>
<tr>
<th>Knowledge of ROM</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly Agree</td>
<td>13</td>
<td>10.9</td>
</tr>
<tr>
<td>Agree</td>
<td>75</td>
<td>63.0</td>
</tr>
<tr>
<td>Neither Agree or Disagree</td>
<td>14</td>
<td>11.8</td>
</tr>
<tr>
<td>Disagree</td>
<td>15</td>
<td>12.8</td>
</tr>
<tr>
<td>Strongly Disagree</td>
<td>2</td>
<td>1.7</td>
</tr>
<tr>
<td>Total</td>
<td>119</td>
<td>100.0</td>
</tr>
</tbody>
</table>

- **Ease of understanding ROM**

<table>
<thead>
<tr>
<th>Understanding ROM</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly Agree</td>
<td>13</td>
<td>10.9</td>
</tr>
<tr>
<td>Agree</td>
<td>58</td>
<td>48.7</td>
</tr>
<tr>
<td>Neither Agree or Disagree</td>
<td>22</td>
<td>18.5</td>
</tr>
<tr>
<td>Disagree</td>
<td>24</td>
<td>20.2</td>
</tr>
<tr>
<td>Strongly Disagree</td>
<td>2</td>
<td>1.7</td>
</tr>
<tr>
<td>Total</td>
<td>119</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Of the respondents who completed the questionnaire, 74% considered themselves to be knowledgeable about ROM, while 14% indicated that they were not, and 12% indicated a neutral position. To the question of whether the ROM performance management system is easy to understand, 59% of the respondents stated that it is, 18% maintained a neutral position, while 23% were of the view that it is not easy to understand.
The conceptualization of the concept of performance management and its relationship with ROM was identified as one of the challenges to its implementation. This is illustrated by the concern that performance management comprises two separate words, performance and management (Informant, Health Service Commission). These two terms were indeed discussed at length in Chapter Two. A dominant view that emerged is that ROM is a system and its application is evident in the various tools and instruments that have been developed to manage performance, for example the performance agreements and the revised staff performance appraisal form (FGD, MoPS). Some public servants, however, perceived ROM as a project that should have already come to an end, and on a few occasions, some even inquired whether ROM still actually existed. Specifically, some of the respondents acknowledged that they had come across the terminology ROM, but were not very conversant with its meaning (FGD, Gulu and Tororo). A different perception that also emerged, though it was not highly pronounced, was that ROM is a tool rather than a system. Related to this, there was also a perception that performance management is limited to individual staff performance appraisal as opposed to organizational performance (FGD, MoPS). According to the respondents, the introduction of ROM required continuous training and sensitization by MoPS. Respondents however acknowledged the effort by some training institutions like the ESAMI and the Uganda Management Institute to include ROM in some of their training programmes (FGDs, MoES, MoPS).

These findings are complemented by secondary information. Over the years, the implementation of ROM has been subject to a number of reviews. The review of ROM implementation of 2004 indicated that the level of understanding, ownership, and commitment among political leadership, accounting officers, and management was high in some ministries but very low in others. At the same time, the quality of the results framework and integration of the practice was good in some ministries but still low in others (KPMG, review for Ministry of Public Service, 2004). The public service reform strategic framework 2005/6-2009/10 also indicated that there were still gaps in the practical application of ROM (Ministry of Public Service, 2005). Another assessment of the implementation of ROM in MDAs and LGs that was undertaken in 2008 indicated that the gains from implementing ROM had not yet been fully realized because of: (i) the limitations of increasing the output focus of the budget through well defined outputs and performance indicators for MDAs and LGs; (ii) limited compliance to individual level staff appraisal; (iii) weak implementation at the local government level; and (iv) weaknesses in monitoring and evaluation, performance reporting, and use of performance information (Atos Consulting, 2008, review undertaken on behalf of MoPS). Similarly, a review undertaken in 2010 identified some implementation gaps including the linkage of ROM and OOB (Sevic, 2010, review undertaken on behalf of MoPS). A staff survey conducted in 2011 also indicated that there was a high awareness of ROM in the MDAs and LGs (Reev Consult International, 2011, survey...
undertake on behalf of MoPS). In addition, an impact assessment of the Public Service Reform Programme indicated that although there was evidence of implementation of ROM, the linkage between sector, institutional, and individual outputs was still a challenge (Pila Consultants, 2011, assessment undertaken on behalf of MoPS).

These findings are complemented by those regarding the application of ROM, as indicated in the paragraphs that follow. Overall, the majority of respondents considered themselves to be knowledgeable about ROM. Secondary sources also confirm the presence of ROM in MDAs and LGs, although gaps in implementation have also been identified. This position is complemented by ROM implementation reports that indicate that the ROM and OOB framework agreed to between the Ministry of Public Service and the Ministry of Finance, Planning and Economic Development was a significant milestone, as the integration of planning and budgeting processes into ROM had earlier been highlighted as crucial to realizing the intended improvements in performance and accountability, and would thus position ROM as an integrated performance management system. Furthermore, the reports observed that considerable knowledge and understanding of the requirements of ROM and OOB were now evident in many institutions (KPMG, 2012, on behalf of MoPS; Sevic, 2010, on behalf of MoPS).

4.2.2 Findings on the use of ROM in the public service in Uganda
As earlier indicated in the methodology chapter (Chapter Three), in order to ascertain the level of utilization of ROM in Uganda, examples have been drawn from the two sectors of education and health. Respondents were requested to indicate their perceptions about whether ROM was being applied in their organization, and the areas of application (if any). Secondary sources were also examined to augment the empirical findings. Responses from the questionnaire regarding the application of ROM are indicated in the table below.

<table>
<thead>
<tr>
<th>Table 4.2: Application of ROM</th>
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<tbody>
<tr>
<td>Frequency</td>
</tr>
<tr>
<td>Strongly agree</td>
</tr>
<tr>
<td>Agree</td>
</tr>
<tr>
<td>Neither agree nor disagree</td>
</tr>
<tr>
<td>Disagree</td>
</tr>
<tr>
<td>Strongly disagree</td>
</tr>
<tr>
<td>Total</td>
</tr>
</tbody>
</table>

Table 4.2 indicates that more than 70% of the respondents who completed the questionnaire indicated that some form of ROM was being applied in their organization, while 19% were neutral, and 11% indicated that ROM was not being applied. These figures are generally consistent with the responses regarding
knowledge of ROM and understanding of the system. Regarding the areas of application, respondents indicated that ROM was being applied in planning and budgeting, strategic plans, policy statements, staff performance appraisal, training and staff development, client charters, monitoring and evaluation, periodic reporting, target setting, performance agreements, and the assignment of duties.

From the FGDs, respondents indicated that ROM has enabled ministries and local governments to define their results framework, which includes mission statements, objectives, outcomes, and outputs. Respondents in the FGDs were, however, of the view that knowledge and application of ROM is more present at various levels within central ministries and higher local governments, but is limited at the lower local government and service delivery facility level where frontline workers are in touch with the majority of clients (FGD, MoPS). Although it was said that ROM was being applied, concern was generally raised regarding the limited appropriate focus on the different levels of the results chain, especially on outcomes. There is a need to ensure that “outputs produce desired results” (Informant, Health Service Commission). Specific examples of the application of ROM provided by respondents are indicated in the paragraphs that follow. For instance, an informant from the Ministry of Health in Kampala indicated that:

we use ROM in our day to day work, and also in preparation of the work plans and monitoring and reporting. The challenge, however, is that we do not necessarily apply the word ROM on a day to day basis. In addition, ROM is better appreciated at management level than by other staff.

Another respondent noted that:

ROM has helped us to link our outputs to planning and budgeting. It has also enabled us to improve participatory planning. However, budgets are presented in technical language and service recipients do not know how to interpret the figures. It will require additional sensitization to enable them to appreciate the link (FGD, MoPS).

An informant in Luweero DLG indicated that “ROM has supported us to develop commitments for the client charter that take into account expectations from our clients”. Furthermore, according to an informant at the Ministry of Finance, Planning and Economic Development, “ROM as a concept is very good. It has been the basis for the Ministry to develop the output oriented approach to budgeting, and the output budgeting tool to link financial resources to results. It forms the basis for the annual plans and implementation of activities”. An informant from the Public Service Commission was of the view that:

the ROM practice is now more streamlined into government processes. Accountability procedures and government reporting is now based on ROM. The auditing function is also focusing not only on expenditure
but outputs as well. Although the terminology is foreign, it does not really matter what it is called, be it ROM or performance management, as long as it helps us to focus on results.

Respondents also indicated that performance agreements have been introduced in accordance with ROM. For example, they have helped head teachers to define their outputs and targets. Furthermore, respondents indicated that ROM has led to improvements in the staff performance appraisal process. Identifying individual staff outputs against which appraisal should be done was, however, highlighted as a challenge (all FGDs). Respondents were of the view that the practice of staff performance appraisal is more embedded in the health sector than the education sector:

indicators in the education sector are still more activity- and process-based. On face value, based on statistical numbers, it may be interpreted that a lot of work is being done in the education sector compared to the health sector, which may not be necessarily the case. This is partly the reason the performance of the education sector cannot be directly comparable to that of the health sector, the way the members of parliament often do (FGD, MoH).

Secondary sources indicated similar application of ROM in planning, budgeting and staff appraisal (Atos Consulting, 2008; Wenene, 2009, Sevic, 2010). Secondary sources also indicated mixed results regarding the application of ROM in the public service, with variances in central government MDAs and LGs. For example, Tidemand and Sewankambo (2008, p.7) contend that “the initiatives aimed at improving focus on results are introduced to the MDAs and LGs separately. As a result, staff in the MDAs and LGs encounter challenges in establishing the links and relationships between the initiatives”. Arising from this shortcoming, “the anticipated link between ROM and Output Oriented Budgeting, the mandatory use of performance appraisal instrument and potential for the reward and recognition framework has not been maximally exploited” (Ibid., p.8). Worse still, “staff do not see staff development benefits within the current appraisal process” (Sevic, 2010, p.23). Overall, the findings indicate that a results oriented performance management system is being applied in the public service in Uganda, and that there are a number of challenges associated with its implementation.

4.3 Analysis and interpretation of findings on ROM in the Ugandan context

Findings on the question of what ROM is indicate that the concept of ‘results’ was well appreciated, and that most of the respondents were clear that different aspects of the model have been introduced for the same objective of strengthening the implementation of ROM. Key findings regarding what ROM is perceived to be in Uganda indicate that there is general appreciation of ROM as a performance management system. The existence of differing perceptions has
most probably arisen from the manner in which ROM was introduced and implemented, which was mainly through an incremental project approach. ROM in Uganda has been developed as a system to the extent that it includes different aspects of performance management, and it affects and is affected by the environment. For example, some of the sub-systems in the Ugandan context are performance agreements, open staff performance appraisals, output oriented budgeting, and client charters. In line with the theoretical discussion presented earlier in this chapter, a distinction can be made between ROM as an approach/system, the tools that are applied in the system (for example, the performance agreement templates, staff performance appraisal forms, output oriented budgeting, guidelines for client charters, policy statements), and the results that are achieved. The efforts being made to link up the implementation of ROM with OOB, which is being led by the Ministry of Public Service and the Ministry of Finance, Planning and Economic Development, also contribute to the appreciation of ROM as a system. The requirement for sustained leadership commitment to implement the ROM and OOB framework emerged, however, as a great concern. The incremental approach to ROM implementation may initially have contributed to limiting its appreciation as a system. Some respondents appreciated that ROM is not just a system, but they nevertheless thought that it ought to be seen and implemented as an integrated performance management system for meaningful results to be realized. This informs the proposed model for strengthening the implementation of ROM in Uganda, which is presented in Chapter Eleven.

Key findings about knowledge of ROM also indicate that there is general knowledge about ROM as a reform initiative. Knowledge and implementation varies among the MDAs, LGs, and individual public servants. It emerges clearly that ROM is not an obvious system to understand. In the Ugandan context, this most likely arises from the manner in which implementation of the system was cascaded. Respondents clearly highlighted that not all staff were trained and sensitized when ROM was introduced. Aside from that, training and sensitization is not undertaken on a continuous basis to take into account transfers, promotions, new leaders, and new appointments. This may explain the variance in the responses regarding knowledge of ROM. While knowledge of ROM may be assumed to trickle down to lower level staff, the study results show that this has not happened consistently. Lower level staff in both ministries and local governments had not been sensitized and trained about ROM, an indication that both top-down and bottom-up approaches to implementation have been inadequate. Furthermore, according to the respondents, the introduction of ROM required a comprehensive information, education, and communication strategy that had not been implemented.

As indicated above, key findings regarding how ROM is applied demonstrate that there is a wide range in terms of the application of the various instruments and practices. ROM has enabled the standardization of some of the instruments,
processes, and practices that have in turn served as a mechanism for re-enforcing its implementation. Responses obtained on the areas of application of ROM in the different sectors did not vary. According to respondents, this is mainly attributed to the standardization of the instruments, processes, and practices indicated above.

One key difference that was highlighted is the level of focus on reporting regarding outcomes, outputs, processes, and activities. For example, respondents from the health sector indicated that the level of reporting in the health sector goes beyond a focus on numbers, activities, and processes to looking at results using some defined indicators. An explanation for this is the level of alignment of health sector performance to the MDGs and other international standards. Another factor is that the health sector has more professional categories compared to the education sector. For this reason, more procedures and processes need to be taken into account.

An emerging observation is that the results focus of the reporting templates and formats can be used to support ROM. In a way, those obliged to complete the formats and those who use them gradually appreciate the results focus of the reports and the information that they generate. Respondents from the Ministry of Education and Sports in particular indicated that the use of results oriented formats was very instrumental in reorienting the sector to focus on results. Overall, both sectors have seen tangible results, according to the views and experiences of informants. However, they need to be systematically documented and analysed in order to make it easier to conceptualize ROM principles and practices. The study confirms that to a great extent, ROM can be applied in a uniform way, with minimal modification, across the two policy sectors of education and health. This observation forms the basis for recommendations regarding how to strengthen both the ROM model and its implementation.

Another observation regarding the implementation of ROM is similar to what was earlier indicated with respect to the definition of ROM and knowledge about it. ROM is applied more consistently at the higher levels of the public service compared to the lower levels. Staff at the operational level indicated that they still have difficulties in defining outputs, performance indicators, and targets. Respondents indicated that it is partly for this reason that they encounter problems in undertaking individual staff performance appraisal. This is a challenge because service delivery facilities are the areas where ROM is most needed. As evidenced from the FGDs, managers and supervisors seem not to make deliberate effort to ensure that lower level staff in both ministries and local governments are sensitized and coached about the application of ROM, especially through performance agreements and staff performance appraisal. It emerged from the FGDs that some of the respondents may have heard about the concept but did not have a comprehensive understanding of how it is applied. Some of the respondents emphasized the need for continuing sensitization and training, beyond what had taken place earlier during the initial
introduction of ROM, in order to be able to apply it. Other views expressed by respondents were that it is a good initiative, but that it cannot work within the current environment in the public service. This raises the crucial question about the environment in which ROM is implemented.

Secondary sources indicate that a number of reviews have been undertaken to assess the implementation of ROM in Uganda. These include specific different reviews of the implementation of ROM (KPMG for Ministry of Public Service, 2004; Atos Consulting, 2008; and Sevic, 2010), the review of the public service reforms generally (Tidemand and Sewankambo, 2008) and the review of the PEAP (Oxford Policy Management, 2008). Similar to the implementation challenges identified earlier with regard to other countries in SSA (see Chapter Two, section 2.6.2), the findings from these reviews all point to common problems, among which include: (i) the commitment of administrative/professional leadership of organizations; (ii) limited sensitization of political leaders; and (iii) cash-based implementation of budgets that is not in tandem with the commitments outlined in the plans. These findings are further applied in the analysis of the critical factors affecting the implementation of ROM, and the challenges faced in its adaptation. The outstanding issue is whether knowledge and application of ROM automatically translates into the desired results. In this regard, Dijkstra (2007) observes that:

> the output of a government organization, and with it the output of an individual civil servant, is often only measurable to a certain extent (x laws, y policy documents, and z individual decisions). The real effects (i.e., outcomes) of that output on society (effectiveness) are far more difficult to assess (Ibid., p. 225).

This partly explains the gap between knowledge, implementation, and results or services, as discussed in the following chapters.

### 4.4 Conclusion

From both the theoretical and empirical analyses above, common general characteristics that inform and constitute a results oriented performance management system are identified. Specifically, as discussed in Chapter Two, sections 2.2 and 2.6, and in section 4.1 above, the definition of ROM re-enforces the definition of performance management. ROM involves a number of aspects: (i) it is an approach to management; (ii) it involves the use of a set of tools; (iii) implementation of ROM requires the integration of a key set of factors/resources (financial resources, human resources, systems) in order for it to work; (iv) implementation of ROM leads to the production of desired/planned results; (v) it places emphasis on transparency and accountability for both resources and results; (vi) the intended beneficiaries of results have to be taken into account; and (vii) it places emphasis on learning and improvement to enhance performance. All of the above allude to a systems approach to performance management and to McGregor’s (1960) Theory Y that
highlights the need for staff commitment. In addition to these characteristics, a wide range of terminologies are applied in different countries, most probably reflecting the source of donor aid support and technical assistance. Furthermore, different countries are at different levels of implementing results oriented performance management systems.

The empirical research on ROM in Uganda indicates that some aspects of the general characteristics of results orientation appear well developed compared to others, for example the open appraisal instruments and output oriented budget systems compared to performance agreements and client charters. At the same time, the degree of implementation of ROM in the different institutions is at different stages, both in terms of the tools applied and the degree of effectiveness of the top-down cascade approach. It is acknowledged that some challenges still prevail in the application of some tools that are well developed, for example the individual staff performance appraisal. Based on these observations, common characteristics of a ROM performance management system are derived, as indicated in the table below.

Table 4.3: Common characteristics of results oriented performance management systems

<table>
<thead>
<tr>
<th>Results oriented performance issue</th>
<th>Results oriented performance management approach/practice</th>
<th>Results oriented performance management tool</th>
</tr>
</thead>
<tbody>
<tr>
<td>Development and definition of performance management concepts</td>
<td>Definition of inputs, activities/processes, outputs, outcomes, impacts (see detailed list in Chapter Two, Table 2.1)</td>
<td>Performance indicators and targets</td>
</tr>
<tr>
<td>Application of performance management concepts</td>
<td>Results oriented planning, budgeting, performance agreements, staff performance appraisals, service standards, client surveys, monitoring and evaluation</td>
<td>Strategic and operational plans, performance agreements, staff appraisal instruments, client charters</td>
</tr>
<tr>
<td>Level of performance</td>
<td>Individual, team, institutional, national</td>
<td>Strategic and operational plans, performance agreements, staff appraisal instruments, client charters</td>
</tr>
<tr>
<td>Defining standards for performance</td>
<td>Definition in terms of quantity, quality, cost, time, and responsiveness</td>
<td>Legislation, performance assessment/evaluation</td>
</tr>
<tr>
<td>Learning and improvement</td>
<td>Human resource capacity</td>
<td>Competencies, innovations</td>
</tr>
<tr>
<td>Accountability mechanisms</td>
<td>Accountability for both resources and results, performance reporting</td>
<td>Performance information, performance reports</td>
</tr>
</tbody>
</table>
### Results oriented performance issue

<table>
<thead>
<tr>
<th>Internal environmental factors affecting performance</th>
<th>Results oriented performance management approach/practice</th>
<th>Results oriented performance management tool</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leadership</td>
<td>Vision and mission</td>
<td></td>
</tr>
<tr>
<td>Budgets/financial resources</td>
<td>Tax revenue, expenditure frameworks, accountability frameworks</td>
<td></td>
</tr>
<tr>
<td>Organizational structures</td>
<td>Restructuring, privatization, decentralization, public-private partnerships (PPPs)</td>
<td></td>
</tr>
<tr>
<td>Human resource management</td>
<td>Appointment, contractual obligations, training and staff development, reward structure, values and principles</td>
<td></td>
</tr>
<tr>
<td>Service recipients, citizens, and stakeholders</td>
<td>Client charters, surveys, and other feedback tools, co-production, social capital</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>External environmental factors affecting performance</th>
<th>Results oriented performance management approach/practice</th>
<th>Results oriented performance management tool</th>
</tr>
</thead>
<tbody>
<tr>
<td>International aid, international cooperation, globalization, regional integration</td>
<td>Networking, borrowing, adaptation</td>
<td></td>
</tr>
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</table>

The issues, approaches, and tools indicated above inform a common ROM performance management system from which country specific strategies may be developed and implemented. Within the Ugandan context, this partly explains both the similarities and differences in focus across sectors, MDAs, and LGs.
CHAPTER FIVE
LEADERSHIP AS A KEY DRIVER FOR PERFORMANCE MANAGEMENT
AND SERVICE DELIVERY

5.1 Introduction
One of the key questions that this study seeks to address concerns the critical issues affecting the implementation of ROM in Uganda. The study aims to establish whether ROM is assumed by stakeholders to be a system that should and can work, irrespective of the prevailing conditions in an organization. In areas where it does not work, the question is asked of whether it should be assumed that ROM itself has failed. In the following chapters (Chapters Five to Nine), the presentation, analysis, and interpretation of critical factors that may constitute likely preconditions for the successful implementation of ROM is made. The analysis is based on the issues of leadership, financial resources, structures, human resources, and the role of service recipients, as indicated in the theoretical model in Chapter Two and the empirical findings in Chapter Four.

In the theoretical framework (Chapter Two, section 2.4.3), leadership is identified as one of the critical factors that affect performance management and service delivery. In Chapter 4, sections 4.2.1 and 4.3, leadership is also highlighted as a factor that influences a results oriented performance management approach. In addition to the analysis in Chapters Two and Four, this chapter thus discusses and compares the theoretical issues surrounding public service performance management leadership, both in Western countries and in SSA. Thereafter, empirical findings in the Ugandan context are presented.

5.2 Public sector leadership in Western countries
In this section, a theoretical discussion of leadership in the Western context is made. The discussion initially focuses on political leadership. Thereafter, developments in administrative/professional leadership are discussed. The link between political leadership and administrative/professional leadership, and how they both relate to citizens, are highlighted in the discussion. The analysis is undertaken against the importance of appreciating the meaning of leadership, the centrality of leadership vision, and the role of leadership in the management of public resources, the administration of public services, and the engagement of citizens in the delivery of public services.

5.2.1 Appreciating the meaning of leadership
A definition of leadership is the starting point for delineating its role with regard to results oriented performance management. Mullins (2010, p.373) defines leadership as “a relationship through which one person influences the behaviour or actions of other people”. According to Burns (2003, p.151) leadership is “a collective process, whose dynamic is more than the simple sum of individual
motivations and efficacies”. Burns argues that the collectivity of leadership represents a horizontal dimension of leadership, while the aspirations of those led indicates a vertical dimension (Ibid., 2003). Kouzes and Posner (2002, p.20) define leadership as “a relationship between those who aspire to lead and those who choose to follow”. They further argue that leadership is “a reciprocal process” (Ibid., 2002, p.23). Accordingly, “leadership is no longer seen as a prerogative of those in high public offices, but as a function that extends throughout groups, organizations, and societies” (Denhardt and Denhardt, 2007, p. 145).

These definitions of leadership underpin four main aspects of leadership namely; existence of a mutual relationship between the leader and those led; a purpose to be achieved; a process to be followed to achieve the purpose and common values to be observed. The process dimension of leadership indeed implies continuity, a requirement for leadership and also a search for higher collective purposes. The continuous process of leadership requires leaders to have the capacity to address the changing needs of citizens in an increasingly changing and complex environment (Burns, 2003). In this context, leaders must have the capacity to initiate and implement sustainable performance management reforms. These definitions and expectations apply both to political and administrative leadership.

5.2.2 The centrality of leadership vision
Available literature makes a distinction between traditional and modern leadership styles. According to Denhardt and Denhardt (2007, p. 140), “in the traditional top-down model of organizational leadership, the leader was the one who established the vision of the group, designed ways of achieving that vision, and inspired or coerced others into helping to realize that vision.” The authors further argue that under that system, leadership was enforced through structures, regulations and the established hierarchy of management, and that a similar style of leadership governed the relationship between government institutions and the citizens (Ibid., 2007). According to Burns (2003, p.29) “leaders are an inspiration and guide to people who pursue and seek to shape change, and they are the standards by which the realization of the highest intentions is measured”. This modern approach alludes to a shared vision for leadership. Contrary to this expectation and as discussed earlier at 2.4.3, leadership for performance management reform has mainly been top-down. The clarity of vision regarding the challenges to be addressed and the intended results that were anticipated by citizens however, sustained the reform efforts (Pollitt and Bouckaert, 2011).

The top-down leadership commitment for the implementation of reforms set the pace for the implementation of performance management reforms in Western countries. The experience of the UK and also of the Netherlands, though with varying degrees of focus illustrate that commitment (Pollitt and Bouckaert, 2011). Using an example from the Netherlands, it is indicated that the
orientation towards results has become a permanent issue on the agenda of the Dutch government” since the 1970s (Ehrenhard, Muntslag, Wilderom, 2005, p. 3). The authors further argue that “the Dutch parliament repeatedly demands the government to become more results-oriented” (Ibid., 2005, p.21). Similarly, in the UK, “setting Public Service Agreement targets to achieve specific ambitions for improvement in public services and to provide publicly available performance information” (Prime Minister’s Strategy Unit, 2006) is one of the strategies that provides evidence of the top down approach. Drawing on other experiences, in the United States, “congress can send strong messages to agencies that results matter by articulating expectations for individual agency performance and following up to ensure that performance goals are achieved” (US Government Accountability Office, 2009, p.16).

This confirms the primacy of leadership vision in result oriented reforms. Notwithstanding the clarity of leadership vision, some challenges are identified. Pollitt and Bouckaert (2011) contend that “governments are frequently keen to announce what they are going to do but are understandably less energetic in offering a blow- by- blow account of how things are going” (Ibid., 2011, p. 111). This in effect implies gaps in implementation of reforms even in Western countries. Van Meirlo, (1996, p.4) indicates similar challenges when he asserts that “in most public management reform attempts, formulating the right solutions for the stated problems (the remedies) appears to meet serious difficulties”. This implies that leadership vision in Western countries also encounters limitations.

5.2.3 Leadership role in applying public resources to deliver public results

In addition to providing a vision, leadership is confronted with the requirement of ensuring that resources are mobilized and well utilized to achieve the desired vision. In view of the persistent economic challenges, the concern of leadership in Western countries has been ensuring value for tax revenue. Subsequently, the increased focus of leadership on institutionalizing strategies for the efficient and effective use of public resources is paramount (Osborne and Gaebler, 1992; Moore, 2013). As a result, “tighter control of public expenditure has figured as one of the most frequent and most powerful motives for public management reform” (Pollitt and Bouckaert, 2011, p.191). Furthermore the authors argue that;

in many countries politicians, faced with the need to cut public expenditure in the aftermath of the GEC, are claiming that cuts can be made – or most of them can be made - without reducing the quality of basic public services. Indeed, some of them are claiming that the quality of services can continue to improve while major financial savings are nevertheless harvested (Ibid., 2011, p. 191).
Ultimately, however, the extent to which budgets can be cut or public services provided within the same budget is limited. Denhardt and Denhardt (2007, p.147) indeed argue that:

through the process of leadership people work together to make choices about the directions that they want to take; they make fundamental decisions about their futures. Such choices cannot be made simply on the basis of a rational calculation of costs and benefits.

This is a dilemma that contemporary leadership is faced with. That notwithstanding, in the face of the economic crisis, the requirement to demonstrate value for money within public programmes is being reinforced, further institutionalizing performance management reform (Van Dooren, Bouckaert and Halligan, 2010). To that effect, performance-based budgeting was introduced in the public sectors of Western economies (OECD 1997; 2005; 2007). This signifies leadership commitment to apply ROM to deliver the most desired results with the available resources.

5.2.4 Leadership role in administering the delivery of public services

The political concern over economic pressure discussed above trickles down to administrative leadership. This includes concern over the structure of public administration, the management of human resources, and the nature of the relationship between political leaders and public servants. Under political direction, the pressure to spend less and yet at the same time increase the quality of public services requires leadership to continuously (re-)examine the mission and vision of the public sector. As discussed earlier at 2.4.3, it became necessary either to cut the cost of the public sector or to increase its efficiency (Minogue, 1998). The search for better governance and performance resulted in the pursuit of strategies such as:

- strategic management;
- business planning;
- performance budgeting and management;
- devolved and delegated decision making;
- structural change such as the creation of executive agencies;
- the use of contracts;
- and the introduction of competition and market-type mechanisms in service provision (OECD, 2005, p.58).

One of the major challenges of these strategies is that they require more regulation and coordination (Pollitt and Bourckaert, 2011), a situation that has led to the renewed call for “integrated” or “joined-up” (Ibid., 2011, p. 152) approaches. Related to the concern for organizational structures and the management of human resources is the relationship between politics (political leaders) and administration (public servants). Caiden (1991, p. 160) warns that unless leaders demonstrate commitment to making administration attain national priorities, reform processes may be reduced to “technical exercises with little impact on administrative performance”.

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As discussed earlier at 5.2.2, this indicates a gap in leadership vision for performance management reform. In effect, disconnect between the priorities of political leadership and those of administrative/professional leadership create a gap between policy objectives and the translation of policies into services. Arising from this, political leadership is becoming increasingly interested in what takes place in administration. Providing some lessons from the Netherlands, Van der Meer and Raadschelders (2007, p. 106) assert that:

the Dutch politico-administrative system is characterized by a very close relationship between political and administrative office holders. Even though ministers and top civil servants might fulfil different roles (given their formal legal status) there is ample evidence of a fairly cohesive administrative elite.

This trend builds and sustains mutual trust and commitment for performance management. It also implies leadership that has the capacity to steer the actions of public servants. As indicated earlier, an administrative process should not only be concerned with issues of economy, efficiency, and effectiveness, but also with mutual trust and commitment that is essential for delivering public services in a fair and equitable manner. This notwithstanding, “under NPM, in practice, politicians seem to want more control rather than less – which threatens managerial autonomy rather than enhancing it” (Pollitt and Bouckaert 2011, p. 189). This is likely to create a collision of responsibilities between political leaders and administrative professionals. It also raises questions regarding the prioritization of public administration and the competence of public administrators and managers.

5.2.5 Leadership role in engaging citizens in public service delivery

In addition to the relationship between political and administrative leadership is the relationship of leaders with citizens. In this regard, Burns (2003, p. 25) contends that leaders “take the initiative in mobilizing people for participation in the process of change, encouraging a sense of collective identity and collective efficacy, which in turn brings stronger feelings of self-worth and self-efficacy”.

This confirms the requirements for a stakeholder approach to public service delivery that has emerged (Freeman, 2010) and the role of citizens in co-production of public value (Benington, 2009). In this regard, as indicated earlier in the discussion at 2.4.2, Moore (2013, p. 3) argues that it is important to regard customers as a collective as opposed to individuals and that; the public agrees to pay taxes and to regulated for expected social outcomes that are valuable to them.

Arising from that, the role of public leaders is: “(1) to help the community and its citizens to understand their needs and their potential, (2) to integrate and articulate the community’s vision and that of various organizations active in any particular area, and (3) to act as a trigger or stimulus for action” (Denhardt and Denhardt, 2007, pp. 141). This type of leadership is one in which a collective
vision that is owned by the community is attained. In effect, it is an indication of “good governance” (World Bank, 2005; United Nations, 2009) that enables political leaders, public servants, and citizens to collaborate in delivering public services and creating public value. Benington (2009), however, argues that increasing the legitimacy of government is a dilemma as it is likely to result into increased demands by citizens.

The analysis above indicates that the relationship between political leaders and administrators on the one hand, and the expected relationship between leaders and citizens on the other, influence the nature of performance management reform. It also indicates that in Western countries, some gaps exist between leadership vision, the implementation of the vision, and the results that citizens expect, bringing about continuous discussion regarding the legitimacy of governments and a continuous search for better approaches. This notwithstanding, leadership vision has facilitated political stability, the development of public administrative systems, and subsequently results oriented performance management reforms in the public sector, which provide a good lesson from which SSA countries can learn. A theoretical analysis of leadership in SSA is made in the section that follows.

5.3 Leadership in Sub-Saharan Africa

Following the discussion of leadership in Western countries above, in this section, the role of leadership in public sector reform and performance management reform in SSA is discussed. The discussion is centred on similar issues of the leadership role in providing a vision for reform, the mobilization and management of resources, the establishment of structures, human resource management, and the empowerment of citizens to demand public services. The discussion also explores the link between political leaders and administrative leaders, and between leaders and citizens. The nature of issues with regard to performance management reforms that leadership in both Western and SSA countries are confronted with, appear to be related. However, the context in which the issues emerge, their scope, and the response to them varies, as discussed in the paragraphs that follow.

5.3.1 Leadership style and focus in SSA

Leadership issues that affect performance in SSA are very complex. Hyden (1999, p. 5) is of the view that “the prevailing style of rule that African leaders have adopted since independence” constitutes one of the major challenges for Africa. To this effect, Ayee (2005, p.16) contends that:

African post-independence elites appear to have been motivated much more by political and personal concerns than by economic and social development. After independence, the African leaders were concerned with the twin objectives of staying in power and building an economic base for themselves.
This is an illustration of limited leadership focus on the public interest and the resultant constraint to provide a common vision and purpose for the public service. According to the World Bank (1997, p.154), it is dynamic leaders that influence public sector reform in developing countries:

such leaders seize opportunities as they appear, but they also create them, by identifying and reaching out to potential beneficiaries, reshaping institutions, and articulating a compelling and achievable vision for the future.

The primacy of a common vision, therefore, cannot be underestimated. Subsequently, Hyden (1999) contends that in Africa a country’s prospect for social and economic transformation greatly depends on the political leadership style and alludes to the primacy of governance on the agenda of reforms. Although governance issues have emerged, their placement on the agenda does not in itself automatically transform the way in which SSA is governed and the quality of public services provided. Contrary to this expectation, the leadership style adopted by leadership in SSA seems to have boxed SSA leaders into a position from which they find it difficult to liberate themselves. For this reason, the World Bank (1997, p.155) emphasizes that:

an equally important aspect of reform is whether it succeeds in reshaping the values and norms of the state and the state's relationship to the economy. It is this transformation that ultimately legitimates reforms in the public eye. Thus political leaders must offer a compelling vision, beyond the dry realities of economic efficiency, about where their societies are headed. Such a vision can motivate and rally support for reforms.

In SSA, there is no doubt that the experience of colonialism and the process of installing public administration led to the breakdown of common values (for example, Dia, 1996; Wamalwa and Balogun, 2000). It is indeed argued that if “the political leadership is unwilling, or otherwise, unable, to enhance the ethical standard of their society, the career service will be under no pressure to take significant steps to reform itself” (Wamalwa and Balogun, 2000, p. 11). This undermines the development of a common vision, mutual trust and commitment and; the capacity to administer the public service and provide effective public services in SSA.

5.3.2 Leadership position in the mobilization and management of public resources

Leadership style and focus is likely to affect the mobilization and management of public resources. The starting point of concern for the management of resources in SSA is the limited capacity to mobilize tax revenue and the reliance on international funding agencies, as discussed in Chapter Two, section 2.5.3. As a reform strategy to improve the mobilization of resources, revenue collection was
divested to independent authorities, that were granted flexibility in management and performance management strategies were introduced (Adamolekun, 2007).

Two contradictory positions have, however, persisted in SSA. One is the inadequate capacity to generate adequate revenue, and the other is the challenge of spending scarce resources efficiently and effectively. According to Ayee (2005, pp. 30-31), “a proper use of public finance goes a long way to link citizens to the state. Citizens expect that state officials use public funds to provide value-for-money public goods and services”. Ayee further argues that failure to appropriately utilise public resources undermines the proper functioning of government and discourages citizens from paying tax (Ibid., 2005).

Efforts to address these concerns include, “the use of a Medium Term Expenditure Framework (MTEF) for ensuring effective linking of policy, planning, and the budget. There is also emphasis on the introduction of computerized accounting and financial management information systems” (Adamolekun, 2007, p. 88). This has been undertaken with the support of international funding agencies (Wynne, 2005). Notwithstanding these initiatives, some challenges still prevail. For example, although revenue generation by the Uganda Revenue Authority has improved at central government level (MoFPED, 2013), it is still at an average of only 12% of GDP, and although 82% of Uganda's labour force is employed in the agricultural sector, this sector contributes only 23% to the GDP (https://www.cia.gov/library/publications/the-world-factbook/goes/print/country/coverage/pdf/ug.pdf, accessed 1st October 2014). These challenges partly explain the limited scope for increasing and translating tax revenue into service delivery improvement.

As alluded to earlier at 5.3.1, a legitimate search for economic efficiency requires to be supported by a common vision for the public good. It is indeed argued that “good, results-oriented budget allocations are both an outcome of the long route of accountability and a source of its strength, particularly for the link between policymakers and providers” (World Bank, 2004). This necessitates the consideration of leadership role in managing structures and human resources.

5.3.3 Leadership role in managing public service structures and human resources

Available literature indicates that countries in SSA could not avoid the intervention of donors in addressing the structural and human resource challenges. This implies that international funding agencies either influenced or directly provided leadership for reform through both technical advice and financial support (Kiragu, 2002; Adamolekun, 2007). According to Hughes (1998, p. 216) “developing countries found themselves undergoing various kinds of structural adjustment through international funding agencies, notably the World Bank and the IMF.” Accordingly, “structural adjustment programmes in
developing countries often resulted in a set of harsh measures that lacked support and legitimacy because of their social impact” (United Nations, 2005, p.53). Countries in SSA, however, continue to experience donor influence through implementation of global reform priorities. Examples of these include the JOMTIE world declaration of education for all (1990), the UN Declaration on the MDGs (2000), and the Conotou partnership agreement (2000). Notwithstanding these reform requirements, SSA is faced with challenges of an increasing population and service delivery demands, against scarce resources (United Nations, 2005). To address these dilemmas, countries in SSA require strong and sustainable public service institutions of government and human resource capacity. Accordingly, Dia (1996, p.28) points out that human resources and other resources cannot be used effectively in SSA because of lack of institutional capacity “with the required legitimacy, accountability, enforceability, and incentives”.

This is indeed a reflection of loop-holes in the leadership role in managing structures and human resources. The author further argues that “in Africa mutual legitimation, reconciliation, and harmonious convergence between formal and informal institutions are essential to institutional relevance, enforceability, sustainability, and performance” (Ibid, 1996, p.33). This underpins the importance of a cohesive relationship between political leaders, public servants and citizens that is influenced by both the public administration system and traditional African values. In this regard, Hughes (1998, p.210-211) observes that in a situation where bureaucrats consider themselves to be the only source of professional knowledge and expertise, there is a risk that they will impose solutions that may not resolve the actual issues.

This state of affairs challenges the relationship between political leaders and professional leaders and affects the implementation of policies and reforms. With specific regard to the implementation of ROM in Uganda, Wyatt (2008, p.29) highlights that:

the shortcomings of the ROM approach so far can be attributed not to the design of the system which would be hard to fault from technical point of view- but to an evident lack of the sustained and energetic leadership needed to drive through a fundamental change in the attitudes and behaviour of employees.

This relationship also affects how both political leaders and public servants conduct themselves while delivering public services.

5.3.4 Leadership and the engagement of citizens in service delivery

Ideally, improved delivery of public services is an outcome of the commitment of government to effectively utilize public resources and provide legitimacy to collect tax revenue from citizens. Furthermore, building a common vision, mutual trust, and commitment is critical for the engagement of citizens, which is
a core concern for leadership. Accordingly, the United Nations argues that leaders can create an environment where citizens and stakeholders are empowered to participate in the transformation of the public service: “by making public servants more accountable to citizens and stakeholders in society, leaders can foster a more responsive and efficient public service that learns faster and delivers better results for its clients” (United Nations, 2005, p.108).

There appears to be a wide gap in SSA regarding this requirement considering that building a responsive public service involves the collaboration of both leaders and citizens. In that regard, Wamalwa and Balogun (2000, p.10) argue that,

it is good if public officials are ethically up-right. It is even desirable for them to be accountable, responsive, and people oriented. However, these laudable attributes cannot exist in a vacuum. The entire society needs to accept, and subscribe to, the principles of justice, fairness, and excellence.

Arising from the need to strengthen a results oriented performance management approach and the responsiveness of public services to citizens, the Charter for the Public Service in Africa (2001, p.5) prescribes principles that require; proximity and accessibility of services; participation, consultation and mediation; quality, effectiveness and efficiency; evaluation of services; transparency and information; speed and responsiveness; reliability and confidentiality of information.

Like other countries in SSA, Uganda too is implementing strategies to increase citizen engagement in service delivery. The consideration of service users as stakeholders and citizens as owners of public services is however, still very limited, as will be discussed later in Chapter Nine.

5.3.5 Emerging issues that affect leadership for performance management

Arising from this discussion, SSA countries are faced with a number of challenges that require localized solutions jointly arrived at by both political and professional leaders. The limitations in leadership vision have tended to adversely affect the efficiency and effectiveness of the overall performance of the public service. As alluded to earlier in the introduction to this chapter, the experience in SSA appears to be different from that of Western countries considering that a strategic focus on performance management reform is clearly more evident in the West. At the same time, even when similar interventions to those of Western countries are pursued, the results may not usually be the same. Overall, the analysis above, from both the Western and SSA perspectives, indicates that leadership contribution to performance management cannot be underestimated. Issues that require further analysis are mainly centred on the importance of leadership vision and public interest for performance.
management, and the relationship between political leadership, administrative leadership, and citizens. Furthermore, questions arise regarding leadership responsibility in promoting value for public resources, putting in place appropriate organizational systems, managing human resources, and mobilizing citizens to support the co-production of public services. These issues inform the empirical analysis of leadership in the Ugandan public service, as experienced by the informants in this study.

5.4 Presentation of empirical findings on leadership in Uganda

Theoretical analysis highlights leadership as one of the key issues affecting results oriented performance management and service delivery in both Western and SSA countries. The empirical analysis sought to examine the position of leadership in performance management in Uganda with regard to the issues highlighted above. Both political and administrative/professional leadership at the various levels of government –central ministries and departments, local governments, and service delivery facilities – were examined. At the central government level, questions on political leadership elicited the views of respondents on the ministers responsible for the MDAs. The inquiry into political leadership at the LG level targeted responses regarding local council leaders, though this did not restrict respondents from also providing their perceptions on national level leadership.

Administrative/professional leadership in the context of this research includes permanent secretaries, chief administrative officers, executive directors, directors, and heads of department and units. Heads of service delivery facilities, such as head teachers and heads in charge of health facilities were also included. In the case of local governments, respondents were asked to comment on leadership from the centre, as well as leadership by chief administrative officers, town clerks, and heads of service delivery facilities such as health units and schools. The study sought to establish how these levels of leadership affect ROM and service delivery.

5.4.1 Findings on political leadership

5.4.1.1 Political leadership vision and public interest

In the focus group discussions (FGDs), a question was posed about whether respondents perceived their leaders as promoting a common vision for performance and service delivery. Respondents were also requested to indicate their perceptions regarding the quality of leadership in their institutions. The general views of respondents arising from the interviews and FGDs indicate that some political leaders were perceived as committed to results oriented performance management practices and service delivery, while others were not. Respondents indicated that all political leaders make an effort to fulfil some promises in order to be re-elected. In the process of election, however, they make many unrealistic pledges and promises. Subsequently, “the demands arising from their promises are directed to them as individuals, and not on the
government as a system” (Informant, Kabarole District). Respondents indicated that most of the pledges are fulfilled during the time of election as selective rewards to supporters. The biggest weakness is that there is no robust system of accountability for their manifestos (FGD, Kabarole District). Respondents also indicated weaknesses in the buzzwords that are applied by political leaders, such as *entandikwa* (something to start with, or starting point) and *kulembeka* (positioning oneself with a container in order to get something). Such catchphrases are regarded as inadequate for addressing the many different issues that affect the lives of citizens and the promotion of a collective national vision (FGD, Kabarole, Luweero Districts and MoPS).

Regarding the quality of leadership, the issue of what motivates individuals to seek a leadership position emerged as a theme in the FGDs. In general, respondents held a negative view of political leadership. For instance, an informant stated that “local councillors think that they can make money out of their position” (Informant, Tororo District). Respondents also indicated that there are perceptions that some political leadership positions are bought (FGD, Tororo District). Another informant was of the view that there is a stampede for leadership positions. In effect, people seeking leadership position were perceived as caring about themselves more than about what is considered important for citizens (Informant, Gulu District).

5.4.1.2 Political leadership and identification of policies and priorities

An important function of political leaders is to identify policies and priorities. In the FGDs, respondents indicated that there appears to be lack of realism in the policies and priorities. Furthermore, respondents were concerned that leadership by example regarding the implementation of some policies was absent, resulting in wastage and inequity in the quality of public services. Examples given emerged from the experience of the implementation of various aspects of the programme policies of free universal primary education (UPE) and primary health care (PHC). There were instances mentioned where a political policy decision is attractive but not technically viable, and thus administrative/professional leaders may find it necessary to contradict the political position. This causes tension between political leaders and administrative/professional leaders, which subsequently affects performance and service delivery (FGD, Kabarole District). According to an informant, political leaders need to listen to public servants. By raising questions on some proposals, public servants should not be regarded as opposing political leaders but as proposing a different approach for the common good based on their expertise (Informant, Civil Society, Gulu).

From the different statements made by the respondents, it emerges that tensions in the political-administrative relationship are perceived to exist. In addition to the theoretical considerations discussed at 5.2.2 and 5.3.3 secondary sources also indicate that “there is a gap between political policy priorities and technocratic
policy initiatives which does not facilitate a conducive policy environment” (Ministry of Public Service, 2005, p.10). This concern is further discussed below.

5.4.1.3 Leadership role in defining structures and managing human resources

A major issue that arose in the empirical analysis is that it is political leaders who determine the structures for implementing policies, programmes, human resource management requirements, and the conditions of work. In the FGDs, one of the main concerns related to structures, as indicated by informants, was the rise in the creation of local governments and the establishment of new independent units to perform the functions of already established departments (FGD, Kabarole District, MoH). This is complimented by secondary information from the review of the implementation of the PEAP highlighting that “while there are reasons for political leaders to feel frustrated with the commitment of the civil service to delivering the new policy agenda, the answer is not to set up alternative public service direction system” (Oxford Policy Management, 2008, p. 67). Related to this, respondents raised three issues with regard to the importance of leadership for the management of human resources, namely problems of: (i) lack of mutual trust and respect between political leaders and public servants (Tororo District); (ii) inadequate prioritization of funding for the management of human resources, especially pay (All FGDs); and (iii) limited adherence to the boundary between political and professional responsibilities. Regarding the third concern, respondents appreciated that supervision is among the key responsibilities of political leadership. There must, however, be a boundary between political leadership and professional work. Political leaders should supervise and not do (Informant, Kabarole District).

5.4.1.4 The role of political leadership in community empowerment

Arising from the literature review, one of the responsibilities of political leaders is to consult and mobilize the community to support, participate in, and benefit from government programmes. Findings from FGDs established that this is a challenge due to some of the promises made by leaders for the provision of free services. These promises raise expectations and negatively influence the attitude of the citizenry towards community work and meeting personal responsibilities and obligations. An emerging perception was that citizens are not being encouraged to pay taxes or to contribute to public services, as they are told that they can expect these services for free. This has caused some contradictions in the standards set for public service provision, especially in health and education. In some LGs, it is acknowledged that government funding is not adequate for the provision of free UPE and parents are encouraged by the leaders to contribute to its delivery, for example in feeding pupils and teachers. Respondents also indicated that most leaders personally seek services from paid- facilities that they perceive to be of better quality, because they can afford to pay, while ordinary citizens are left to seek free services that are deemed to be of poor quality. Leaders do not have the experience of what it entails to seek a free
public service from a government health facility or UPE school. Respondents proposed that a legal framework compelling leaders to acquire services from public facilities in order to obtain their commitment to improving public services should be put in place (FGD, Kabarole and Tororo Districts).

In addition to the interviews and FGDs, a questionnaire was also applied to provide quantitative information on issues that had emerged in the literature review concerning the effects of political leadership on civil servants and their organizations. The chart below shows the ranking of respondents regarding their perceptions of political leadership in terms of a wide range of prevailing issues, namely: clarity of vision and direction of their organizations; a culture of teamwork and collective responsibility; determination of service delivery priorities in relation to citizen needs; commitment to efficient allocation and use of resources; and consultation of staff and stakeholders.

**Chart 5.1: Perception of respondents on different aspects of political leadership**

<table>
<thead>
<tr>
<th>Prevailing Situation</th>
<th>Vision</th>
<th>Teamwork</th>
<th>Resources</th>
<th>Priorities</th>
<th>Consultation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st</td>
<td>24</td>
<td>6</td>
<td>18</td>
<td>7</td>
<td>10</td>
</tr>
<tr>
<td>2nd</td>
<td>13</td>
<td>10</td>
<td>18</td>
<td>17</td>
<td>7</td>
</tr>
<tr>
<td>3rd</td>
<td>11</td>
<td>17</td>
<td>9</td>
<td>24</td>
<td>4</td>
</tr>
<tr>
<td>4th</td>
<td>8</td>
<td>22</td>
<td>12</td>
<td>11</td>
<td>12</td>
</tr>
<tr>
<td>5th</td>
<td>9</td>
<td>10</td>
<td>8</td>
<td>6</td>
<td>32</td>
</tr>
</tbody>
</table>

Respondents from central ministries and local governments who completed the questionnaire indicated that while there seems to be clarity of vision and identification of priorities, teamwork and consultation with/empowerment of stakeholders are least prevalent. Respondents were also asked to indicate other aspects of political leadership that they would like to see in their organization.

Informants at the central level, both in interviews and FGDs, indicated that they would like to see: (a) political leaders who effectively delegate authority and responsibility, and support a culture of transparency and accountability; (b) joint ownership of decisions and results, more consultation of staff, and networking with other ministries; (c) equitable distribution of resources; (d) a national policy on worker’s welfare and well-being of staff; (e) timely interventions to address emerging challenges; (f) leaders who lead by example and accept mistakes and correction where necessary.
To the same question, respondents in the local governments (all FGDs) indicated that they would like to see political leaders who: (a) take personal responsibility for their actions and are accountable for service delivery; (b) promote participatory leadership and interaction with communities; (c) listen to the concerns of staff, appreciate their positive input, and do not only focus on their weaknesses; (d) do not interfere in the activities of professional staff; (e) do not directly involve public servants in politics; (f) monitor and supervise programmes; (g) put in place by-laws and ordinances to manage local community issues; (h) do not buy or commercialize politics; (i) have appropriate qualifications that enable them appreciate their responsibilities. It was emphasized that local leaders are more in touch with the people than leaders who serve at the national level. Leaders at national level should also have the desired capability to address unique issues pertaining in local governments, besides monitoring the implementation of national policies and programmes (FGD, Kabarole District).

5.4.2 Empirical findings on administrative/professional leadership

5.4.2.1 Administrative/professional leadership vision and promotion of public interest

Specific questions were put to the respondents in the self-administered questionnaires regarding the commitment of administrative and professional leaders to the implementation of ROM. About 85% of those who completed the questionnaire indicated that their leaders support the implementation of ROM, as presented in Table 5.1.

Table 5.1: Professional/administrative leadership support for ROM

<table>
<thead>
<tr>
<th></th>
<th>Number</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly agree</td>
<td>29</td>
<td>24.4</td>
</tr>
<tr>
<td>Agree</td>
<td>72</td>
<td>60.5</td>
</tr>
<tr>
<td>Neither agree nor disagree</td>
<td>15</td>
<td>12.6</td>
</tr>
<tr>
<td>Disagree</td>
<td>2</td>
<td>1.7</td>
</tr>
<tr>
<td>Strongly disagree</td>
<td>1</td>
<td>0.8</td>
</tr>
<tr>
<td>Total</td>
<td>119</td>
<td>100</td>
</tr>
</tbody>
</table>

Interestingly, the fact that the large majority of questionnaire respondents considered their leaders to be committed to ROM contradicts some of the findings from the interviews and FGDs, and some of the other aspects of leadership discussed below. Respondents indicated that there is concern that ROM exerts specific demands on individual public officers as well as the institution as a whole. Respondents felt that most public servants know the benefits of implementing ROM, but are challenged by the level of commitment
required to meet the demands it places on them (FGD, MoPS). Another key challenge indicated is that senior officers deployed in management positions lack management competencies; for example, medical and teaching professional competencies and knowledge of the professional culture required for handling patients and students are perceived as influencing general management practice when handling human resources in these areas (Informant, Health Service Commission). In addition, it was mentioned that many of the public servants who were initially trained to facilitate ROM had subsequently been transferred or appointed to other positions, yet training and sensitization was not provided on a continuous basis to make up for this loss in skills (Informants, Health Service Commission; FGD, MoPS).

5.4.2.2 Administrative/professional leadership and policies, priorities, and resources

Arising from the literature review, the capacity of administrative/professional leaders to provide quality policy advice and to influence the determination of priorities and resource allocation is one of the issues that affect ROM implementation. Respondents indicated that this capacity exists in some areas but not in others (FGD, Ministry of Education and Sports). In addition, available capacity is not well utilized in some cases. As indicated earlier in Chapter Two, section 2.6.1, there are different levels of results that translate into a results chain from inputs to outcomes. The performance management framework of Pollitt and Bouckaert (2011) discussed in Chapter Two, at 2.6.1 also indicates a results chain from inputs to outcomes. In response to the question regarding the professional leadership role in the identification of policies and priorities and the allocation of resources to results, informants indicated that a lack of appreciation of a results chain by leaders within and across institutions undermines utilization of the total available capacity and causes disconnection in service delivery. There is limited collaboration among departments within an institution or across institutions of government that should feed into each other in order to complete the results chain. Specifically, leaders are unable to promote inter-departmental and inter-agency collaboration at the different stages of ROM, for example allocation of inputs, production of outputs and assessment of results, which include planning, implementation, monitoring and evaluation, and reporting. This results in a discrepancy between what is planned and budgeted for and the actual resources that are released, and subsequently the attainment of planned targets (Informant, Health Service Commission). This point was raised in tandem with concerns about the results chain as indicated in Chapter Four, section 4.2.2.

Regarding the question in the survey instrument about what aspects of administrative/professional leadership respondents would like to see in their organization, respondents identified lack of internal efficiency in resource allocation as a leadership challenge. Allocation of resources across departments was perceived as not taking into account the deliverables of the departments
Central government leadership was also thought to be out of touch with the reality on the ground, which results in delays in responding to and giving guidance on issues raised by local governments (FGDs, Tororo and Kabarole Districts).

5.4.2.3 Administrative/professional leadership and management of structures and human resources

The theoretical analysis indicated that the implementation of NPM reforms resulted in the adoption of private sector management practices that emphasized the two themes of letting managers manage and making managers manage (Farnham and Giles, 1996; OECD, 1997). The empirical study thus sought to establish the ways in which administrative leaders are perceived with regard to their impact and functions in relation to the management of structures and human resources. Respondents raised concern regarding the proliferation of political structures and the resulting duplication of some functions, which have escalated contradictions in the role of political leaders in service delivery (all FGDs). Specifically, the number of Members of Parliament has increased from about 276 in 1996 to 375 in 2015 (Interim Electoral Commission, 1996; Parliament of Uganda, 2015) due to the increased number of local governments, based on the argument that they are required to improve service delivery. Respondents voiced a need for a clear system for information sharing, more interaction with lower level staff who do the actual work, and fairness and equity in the facilitation and motivation of staff. Furthermore, in the respondents’ experience, not all leaders have the appropriate knowledge and skills and are therefore unable to act as role models in their professional work (Informant, Health Service Commission). Respondents indicated that there are instances where assignments are given to staff who do not have the capacity to perform them, often to the deliberate exclusion of those who could perform such assignments (FDGs, MoES, MoH). Respondents were also of the view that it would be good practice to mentor staff, recognize initiative and extra effort, and take timely action on human resource issues such as confirmations and promotions. Overall, leaders need to “walk the walk” (FGD, MoPS).

Leadership that values and appreciates human resources would thus in turn be valued. This would be evident when human resources are prioritized during the resource allocation process. Human resource managers would also feel valued when their technical advice is applied. Furthermore, respondents indicated that leaders should promptly address issues that affect staff, such as pay and career progression (Informant, Kabarole District). Administrative and professional leadership that has clarity of vision and direction, builds consensus, holds regular staff meetings, listens to the lowest voices, and has a sense of humility was greatly valued (Informant, Health Service Commission).
5.4.2.4 Administrative/professional leadership and empowerment of communities

As discussed in Chapter Two, sections 2.4.2 and 2.4.3, empowering communities and stakeholders to participate in the implementation of programmes and to demand for services is an important step in securing responsive public services, and leadership has an important role in this. Some of the strategies for empowering communities that can be implemented by leaders, and which were identified by respondents in FGDs, include the promotion of bottom-up planning and budgeting systems, and the re-activation and/or constitution of facility management committees, village health teams, and community forums (*baraza*).

Respondents indicated that a bottom-up planning and budgeting system would provide room for consultation and participation in the local government setting, starting from the lowest local government level (parish or ward) to the district or urban council level. Respondents also perceived facility management committees as part of the leadership and governance structure of service units in both the health and education sectors. Furthermore, village health teams were perceived as an important part of a strategy for increasing community leadership. The introduction of client charters and community forums (*baraza*) were also perceived as deliberate efforts to empower communities to participate in government programmes, demand quality services, and provide feedback. Respondents were, however, of the view that the scale of implementation of these strategies was still too minimal.

5.4.2.5 Perceptions on selected administrative/professional leadership issues

Respondents were requested to rank various issues that they perceived to influence administrative/professional leadership, namely: (i) promotion of the common objectives of the organization; (ii) effective management of the affairs of the organization; (iii) commitment to efficient allocation and use of resources; (iv) a team approach and team meetings to address key issues that affect the organization; and (v) effective communication of decisions and results to stakeholders. The responses obtained indicate that while there is promotion of common objectives, there are challenges with regard to the other aspects, especially communication and the allocation of resources.
Chart 5.2: Ranking of different aspects of administrative/professional leadership

<table>
<thead>
<tr>
<th>Ranking</th>
<th>Objectives</th>
<th>Effective Mgt</th>
<th>Resources</th>
<th>Meetings</th>
<th>Communication</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Prevailing Situation</td>
<td>27</td>
<td>20</td>
<td>20</td>
<td>28</td>
<td>18</td>
</tr>
<tr>
<td>2nd Prevailing Situation</td>
<td>20</td>
<td>19</td>
<td>22</td>
<td>21</td>
<td>31</td>
</tr>
<tr>
<td>3rd Prevailing Situation</td>
<td>27</td>
<td>29</td>
<td>17</td>
<td>27</td>
<td>13</td>
</tr>
<tr>
<td>4th Prevailing Situation</td>
<td>22</td>
<td>26</td>
<td>55</td>
<td>15</td>
<td>15</td>
</tr>
<tr>
<td>5th Prevailing Situation</td>
<td>17</td>
<td>19</td>
<td>19</td>
<td>22</td>
<td>36</td>
</tr>
</tbody>
</table>

The ranking was made on a scale of one to five in ascending order, where one was most prevalent and five the least prevalent. The detailed ranking is indicated in Annex 2 (b). The ranking indicates some contradictions in terms of the allocation of resources and communication with staff and stakeholders. This will be further analysed in the paragraphs that follow.

5.5 Analysis and interpretation of findings on leadership for ROM and public services

The theoretical analysis and empirical findings both identified leadership as a key issue for performance management and public service delivery. While the findings on political and administrative leadership are presented separately, they are jointly analysed to avoid duplication, taking into consideration the close link that has emerged between them. As indicated earlier, a top-down approach to leadership is critical for performance management reform. The analysis and interpretation of the findings are based on; leadership vision and promotion of public interest, the design of policies, the identification of resources and priorities, the management of structures and human resources, and the empowerment of communities and stakeholders.

5.5.1 Leadership vision and promotion of public interest

A number of new political leadership positions have been established in both the central and local governments in Uganda in recent years. The number of political local government leaders has also increased in line with the increased number of local governments. Findings on the vision and promotion of public interest reveal that although there seems to be clarity regarding leadership vision, there is doubt among the respondents that leadership vision is necessarily shared by all leaders or concerned with the public good. This presents a contradiction to the extent that leadership is not seen as being in a position to promote a common vision for public services and citizens.
There also remains doubt regarding the quality of leadership. This concern, though more pronounced in the local governments, also applied at the central government level. Poor quality leadership was generally perceived to arise from the discrepancy between what leaders say and what they actually do. The capacity of leaders to provide a broadly shared vision and their commitment to the public good was therefore questioned. There was, furthermore, a general concern among respondents that the motivation for the majority of Ugandans who seek a leadership position is self-benefit rather than service to the people. Taking the example of the leadership buzzwords presented in 5.4.1.1 above, which have been applied in the recent past in Uganda, these are thought to be unrealistic, misleading and not inclusive enough to galvanize a substantive majority of citizens. Building up a minimum level of trust that leaders are not only primarily concerned with their own personal well-being, but take the general public interest at heart, is thus critical. Findings indicated in Charts 5.1 and 5.2 reveal some contradictions between the availability of a common vision and the consultation of stakeholders, and also of priorities in resource allocation and communication with stakeholders.

In addition to the above, doubt has emerged about whether administrative and professional leaders are also committed to the objectives of their organization. This perhaps provides an explanation for the fact that while 74% of respondents indicated that they are knowledgeable about ROM, and about 70% indicated that it is being applied, perceptions from FGDs and some secondary sources raise concerns regarding the cascading of its implementation. From the findings, three categories of administrative and professional leaders can be identified, namely: (i) those who actively engage their staff as a team; (ii) leaders who selectively engage their staff; and (iii) leaders who leave their staff to take the leadership seat themselves. This can be explained by a number of factors. First, implementation of ROM is believed to bring about extra responsibility in terms of accountability for both resources and results. A leader who advocates for ROM in his or her organization has to meet the demands of the challenges that are imposed. Such a leader has to walk the walk. The contradiction is that some leaders do not advocate for ROM because they do not want to meet the challenge of being a role model for its implementation. Second, the capacity of individual leaders to manage may be inadequate. Not all professional leaders who seek appointment to a leadership position have undergone management training or have been exposed to ROM. There is also the challenge of loss of staff trained in ROM, which arises from transfers or promotions. Although these staff members’ leadership capacity may be taken to another organization within the public service, it is nevertheless a loss to their former organization. All of these aspects affect leadership for performance management and service delivery.
5.5.2 Leadership role in the setting of policy priorities and allocation of resources

The findings regarding the political leadership role in policy formulation and allocation of resources against priorities indicate concern for realism and the viability of policies and programmes. Among others, respondents indicated that they would like to see equitable distribution of resources and joint ownership of decisions and results. The contradictions emerging here are related to the magnitude of the ‘good things’ political leaders promise that they will do and what is actually feasible. Arising from all the FGDs in all of the regions, leaders were perceived as announcing additional priorities while maintaining the same or a decreasing level of resources, without due concern for the quality of public services. The other contradiction stems from the fact that leaders exclude themselves from the services that they say are good for the people. For example, in section 5.4.1.4, respondents pointed out that leaders do not take their children to a free school or access free medical treatment because it is generally perceived that the free services will not meet leaders’ personal quality expectations. This has implications on leadership by example, as the actions of leaders are not in line with what they say. The credibility of leaders with specific regard to honesty and sincerity is therefore called into question. This position was shared by most of the respondents, be they political, administrative, or professional. The call by some respondents for a legal framework that would compel leaders to obtain services from public facilities in order to build their commitment to improve public services may, however, be difficult to enforce.

Regarding administrative/professional leadership, the lack of appreciation of a results chain within and across institutions, which has caused disconnect in service delivery raises concern. As indicated earlier in the presentation of the findings, lack of appreciation of what others are doing within an institution or how government institutions should complement one another in order to complete the results chain limits collaboration. Furthermore, it makes it difficult to amicably agree on priorities for service delivery, and subsequently appreciate the synergies and cost efficiency that would accompany such agreement. To some extent, this implies unproductive competition within and across MDAs and LGs, in both political and administrative/professional leadership, which affects performance and service delivery. It may also imply unnecessary duplication of effort.

5.5.3 Leadership and management of structures and human resources

Key findings related to how political leadership manages structures and human resources reveal an undue increase in the size of parliament and district councils, and duplication of both policy implementation and supervisory roles of the different institutions of government. Findings also reveal instances of lack of mutual trust between political and administrative/professional leadership. In addition, as earlier indicated in the presentation of the findings, the boundaries between political and administrative leadership are also being called into
question, and citizens increasingly seek services directly from political leaders. Most probably, the explanation for this is based on the interpretation of the values of loyalty and patriotism, which currently seem to be in contradiction with the principle of professionalism. A general perception is that there is need for mutual respect and trust between political and administrative/professional leaders. When public servants are publicly insulted and political leaders do not stand up for them, public respect for and trust in the public service delivery system is undermined. Another general perception that emerges is that the effort of administrative/professional leaders is not being appreciated, and in some cases their professional advice is regarded with suspicion. Subsequently, they bear most of the blame for things that do not go well. The importance of continuous training and sensitization was also highlighted as a means of sustaining internal leadership support for ROM implementation within public service organizations. Equipping leaders with managerial skills is also of utmost importance.

5.5.4 Leadership and the empowerment of communities and stakeholders

Sound leadership is expected not only to manage structures and human resources well, but also to engage service recipients in the effective delivery of public services. As presented in the findings at 5.4.1.4, respondents ranked some issues regarding political leadership, from one to five, where one was best preferred and five least preferred. One of the areas that was least ranked by respondents was the level of consultation of communities and stakeholders by political leadership. From the same findings, teamwork and collective responsibility were also indicated as an area where political leadership was lacking. A possible explanation for this is that there is still conflict between appreciation of the leadership role from a traditional African perspective as opposed to current public administration practices. In traditional SSA, leadership is a symbol of power and resources, which comes with both privileges and responsibilities. Subsequently, leaders in Uganda and SSA are generally still seen as being born and not made. In a purely African sense, a leader provides security, togetherness, and cohesion and protection for community land, which is the main source of livelihood. At the same time, a leader has expectations of his subjects; for instance, subjects have obligations to sustain their leaders, the system of leadership, and the community. The dilemma is that the leaders of today are neither truly African nor Western/modern. The majority of respondents shared the view that the focus of political leaders seems to be more on political objectives than on service delivery objectives, notwithstanding the fact that adequate focus on good service delivery systems can be a basis for sustaining a political leadership position. In a situation where citizens are empowered, inadequate and/or poor quality services raises concern regarding the legitimacy of government. In SSA, however, concern for the legitimacy of government is still more associated with the rule of law than the provision of public services.
Regarding the role of administrative and professional leaders in promoting community participation, the strategies that have been put in place – for example, a bottom-up participatory approach to planning, community meetings (*baraqati*), client charters, village health teams, and facility management committees – were largely viewed by respondents as weak. The most probable reason for this is lack of adequate sensitization and dissemination of information, and poor trust among the communities regarding the benefits of the interventions. This requires deliberate effort on the part of leaders to enhance the capacity of citizens to participate in a consistent and sustainable manner. Doubt, however, emerged about whether leadership is committed to enhancing the capacity of citizens to participate and demand public services, as a population that is empowered may destabilize the status quo.

5.6 Conclusion on issues affecting the role of leadership in ROM and service delivery

The findings and analysis presented in this chapter reveal a number of issues that are critical for leadership to promote performance management and service delivery. The issues are identified as vision and public interest, leadership role in the determination of policies and funding priorities, and promotion of harmony in the management of structures, human resources, and community empowerment. In the table below, both achievements and challenges specific for the situation in Uganda are indicated.

<table>
<thead>
<tr>
<th>Leadership issue</th>
<th>Perceived status</th>
<th>Contradictions and challenges</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vision and promotion of public interest</td>
<td>Leaders seem to have a clear vision for the country.</td>
<td>The vision is not commonly shared. Contradictions between public interest and self-interest.</td>
</tr>
<tr>
<td>Design of policies and identification of priorities and resources</td>
<td>Policy formulation process and capacity has improved.</td>
<td>Policy implementation capacity is still low. Contradictory policy and priority interventions. Policies are not logically implemented.</td>
</tr>
<tr>
<td>Management of structures and other resources</td>
<td>Political and administrative/professional structures are established.</td>
<td>Establishment of some structures has been politically motivated. Structures are weak and not functional due to perceived political intervention. Public services are directly sought from individual leaders and provided outside formal structures.</td>
</tr>
<tr>
<td>Empowerment of communities and stakeholders</td>
<td>Some interventions to empower and increase community participation are in place.</td>
<td>Leadership commitment to enhancing empowerment of citizens is doubtful, as this may destabilize the status quo.</td>
</tr>
<tr>
<td>Political-administrative relationships</td>
<td>A policy of separation of the functions of political leaders from those of public servants is in place.</td>
<td>Tension in the relationship between political and technical leaders is perceived to exist. There are some perceived risks of fusion of political and administrative leadership.</td>
</tr>
</tbody>
</table>
The overall observation regarding leadership in Uganda, both political and administrative/professional, is that it influences the vision for public service delivery, the way in which priorities are set, the allocation of resources, the management of structures and human resources, and the participation of citizens. As such, leadership influences several factors related to the implementation of ROM. A general perception is that the overall focus of leadership on personal interest has blurred leadership vision for the public good. The commitment of leadership to efficient allocation and use of resources is in doubt. Leadership is also perceived to undermine the building of strong institutions by providing services outside of approved institutional structures. Furthermore, a tension seems to exist between political and administrative/professional leadership, which mainly seems to arise from the former’s (in)ability to address issues regarding the determination of service delivery priorities and accountability for both resources and results. This tension is, however, extended among administrative/professional leaders.

At the same time, findings indicate risks of the fusion of political and technical leadership. Although this was more pronounced at the local government level, similar tendencies were perceived in MDAs. Some of the administrative/professional leaders were constrained in meeting their obligations because of the perceived uncertainty regarding how well-intended decisions and actions would be politically interpreted. Furthermore, in discouraging citizens from paying user fees, leadership appears to discourage citizens from meaningfully contributing to the provision of public services, creating a high dependency syndrome and lack of productiveness. This has negative implications for results oriented performance management and service delivery.

It becomes evident that leadership is a critical factor for building state capacity at all levels. This involves political leadership, administrative/professional leadership, individual public servants, communities/service recipients, and citizens, as demonstrated in the figure below.

Figure 5.1: Leadership and state capacity for ROM and service delivery
Political leadership capacity builds a shared vision that in turn sustains administrative/professional leadership capacity for ROM and service delivery. Appreciation of the role of individual public servants within an organization further enhances that capacity, considering that the contact point between the community and citizens is through public servants. A positive relationship between the providers of public services and the community/service recipient enhances the latter’s capacity to demand quality public services and hold leaders and public servants accountable. The process is likely to enhance sustainable performance and service delivery reforms and subsequently social and economic development, minimizing the risk of falling back to a fragile situation. Innovations in alternative service delivery mechanisms through the private sector and non-governmental participation are also inevitable where a common national performance and service delivery culture is entrenched. In the next chapter, specific focus is placed on analysing the management of financial resources and its effect on implementing ROM and providing public services.
CHAPTER SIX
PUBLIC FINANCIAL RESOURCES: A CRITICAL INGREDIENT FOR PERFORMANCE MANAGEMENT AND SERVICE DELIVERY

6.1 Introduction

Within the theoretical framework, efficiency and effectiveness in the use of public resources are identified as important aspects of performance management and service delivery. In their performance management model, Pollitt and Bouckaert (2011) place emphasis on efficiency in the use of inputs to deliver effective outputs that sustainably meet the objectives of organizations and the needs of citizens. Similarly, in Chapter Five, the position of leadership in providing a vision for the efficient use of resources is emphasized. In order to address an important aspect of the research question regarding the critical factors affecting the implementation of ROM, in this chapter, first a theoretical analysis of the management of public resources in Western countries and in SSA is given. Thereafter, the empirical findings of the case study in Uganda are presented and analysed. The analysis is centred on the issues of the generation of financial resources, the allocation of resources to policy priorities, and accountability for resources.

6.2 Theoretical analysis of management of public resources in Western countries

As indicated in Chapter Two, section 2.4.3, two main issues have influenced budgeting and financial management reform in Western countries, namely concern over increasing public expenditure and the need to promote efficiency and effectiveness in the use of public resources (Osborne and Gaebler, 1992; OECD, 2005; Pollitt and Bouckaert, 2011). Below, effort is made to delve in more detail into the ideas and practices developed to meet these challenges in Western countries, in order to provide a basis for analysing the issues arising in the empirical research in Uganda.

6.2.1 Improving public sector performance using available resources

Initial reforms in the Western context focused on strategies to enhance efficiency in tax administration and increase of tax revenue. A prevailing concern over the recent years and up to the present has been to ensure value for public resources (Osborne and Gaebler, 1992; Pollitt and Bouckaert, 2011; Moore, 2013). According to the OECD (2008, p.15), “citizens accepted obligations to pay taxes in return for rights to be represented in processes of decision making about how public money was raised and spent”. This enhanced the bargaining position between citizens as taxpayers and the rulers and also acted as an incentive for improvement in public services (Ibid., 2008). Moore (2013) however, observes that the scope for increasing taxes and subsequently increasing public services through increased expenditure is very limited, and that public organizations have
to consider improving public services within available resources. In this regard, the OECD (2005) emphasised that:

over the past two decades, enhancing public sector performance has taken on a new urgency in OECD member countries as governments face mounting demands on the public expenditure, calls for higher quality services and, in some countries, a public increasingly unwilling to pay higher taxes. ... With no new money to spend, more attention must be given to achieving better results from existing funds (Ibid., 2005, pp. 56, 57).

This state of affairs has necessitated implementation of reforms aimed at improving the efficiency of public expenditure. As indicated by Bresser-Pereira (2004, p. 152):
a major reason for the adoption of public management reform was voters’ pressure for two apparently contradictory objectives: smaller taxes and better-quality public services. The demand for more efficient ways of managing the state has been increasing in direct proportion to growing state expenditures and the corresponding tax burden.

The above mentioned concerns indicate that citizens are obliged to pay taxes and the public service has a responsibility to provide common services. There is however, limited scope for continuously increasing the tax burden on citizens as a source of additional revenue to finance public services. What citizens expect is the assurance that tax revenue is being applied efficiently and effectively.

6.2.2 Increasing the efficiency and effectiveness of resource allocation

The role of basic economic theories in informing public service delivery decisions in Western countries cannot be overemphasized. The principle of economic efficiency indicates that “out of the various total combinations of goods which can be obtained from society’s limited resources, the particular assortment is produced which affords the greatest possible satisfaction” (Harvey, 1998, p. 154). In other words, “resources are inefficiently allocated if the allocation could be changed in such a way as to make at least one person better off while making no one worse off” (Lipsey and Crystal, 1999, p. 147). At the same time, the principle of productive efficiency indicates that “production is efficient when it is impossible to reallocate resources so as to produce more of some product without producing less of some other product” (Ibid., 1999, p. 287). In this regard, Flynn (1997, p.176) contends that:
in practice, allocative efficiency is never measured: there are no mechanisms for measuring whether the result of the resource allocation processes reflect either any individual’s set of preferences or any sense of a set of collective preferences.

Notwithstanding the difficulty in measuring the success in allocating resources, measuring “effectiveness in those areas where there is agreement on what a
desired outcome is, such as improved health status” (Ibid., 1997, p. 176) is increasingly improving. This alludes to the search for public value (Moore (2013). The difficulty, however, in defining and measuring public value arising from allocating and utilizing public money is acknowledged (Benington, 2009).

As discussed earlier under Chapter Two, section 2.2.2 making profits is not the main objective of providing public services. Van Dooren et al. (2010) also argue that it is difficult to define profit in terms of the expectations and requirements of citizens and therefore, it might not be possible to attain a common allocative efficiency. Arising from that, public sector organizations should pay attention to the combinations of outputs they produce and determine whether they are the most appropriate public services. For this reason, policy priorities continue to be a preoccupation for governments. Accordingly, Kernaghan and Siegel (1987) argue that:

the adoption of a policy does not imply that all those who agree on a specific policy share the same goals. In fact, some policies come about, not because of an agreement on goals, but because several groups all favour a particular policy, but for totally different reasons. ...It is very difficult to rank goals, values, or objectives in order of priority. The question becomes whose goals and whose values will be reflected in the final decision (Ibid., pp. 106-107).

This implies that there may be gaps between policy options, the outputs produced, and the public value that citizens expect considering that “the acid test of how well a government is performing is the degree to which citizens gain benefits from the spending and regulatory activities. Ultimately, citizens judge governments not by intentions but by results”(OECD, 2004, p. 2). The OECD indeed emphasises that the budget is not only a “a strategic management instrument for resource allocation” but also a tool for introducing changes in management (OECD, 2005, p.204). This explains the adoption of results-based budgeting as a key reform intervention to promote efficiency and effectiveness in the use of public resources (Osborne and Gaebler, 1992; OECD, 1997; 2005; 2007; Rose, 2003).

Osborne and Gaebler (1992), in their influential book ‘Reinventing Government’, specifically observe that “results-oriented organizations find that they ultimately need to develop budget systems that fund outcomes rather than inputs”(Ibid., 1992, p. 161). This approach is commonly referred to as “performance budgeting”, “a form of budgeting that relates funds allocated to measurable results. These results are measured in the form of outputs and/or outcomes”(OECD, 2005, p.59). It is argued that “the reforms have proved to be a useful tool for setting priorities over the short and medium term and can clarify what results are expected from the public sector”(OECD, 2007, p. 59).
Arising from the above, budgeting is now a responsibility for managers, “intimately linked with other processes - planning, operational management, and performance measurement” (Pollitt and Bouckaert, 2011, p.78). Performance budgeting is, however, not an ultimate solution to public finance challenges in Western countries because of the difficulty of defining and measuring results in terms of public value. Furthermore, performance budgeting is deemed to require credible performance information in order to improve resource allocation and accountability.

6.2.3 Enhancing accountability for public resources

Robust accountability mechanisms are likely to improve allocation of tax revenue for the provision of public services. As a starting point, this requires a collective appreciation of what accountability entails. According to Dijkstra (2007, p. 218) accountability is:

the obligation to answer for an action, that is, the principle that individuals, organizations, and the community are responsible for their actions and may be required to explain them to others in a certain forum. ...both an internal (personal) moral and an external political institutional dimension can be distinguished.

This definition of accountability appears to include answering for decisions, actions, resources, and results. Moore (2013) also highlights the importance of both the internal and external dimensions of organizational accountability, emphasizing that opening up to external requirements for accountability indeed strengthens internal accountability systems that in turn enhance performance.

Related to this, Hughes (1998, p. 238) contends that “accountability will be improved by clearer specification of what is actually done by all organizations within government. This means that achievement of results or the lack of achievement of results should be quite transparent”. There however, seems to be contradictions between flexibility in management that performance based budgeting would require and strengthening controls for compliance mechanisms, that accountability also demands (OECD, 2005). Worse still, accountability for results becomes even more complex considering that:

the measurement of perceived quality in public services is by no means just a technical issue. It has political and psychological elements, and these make ‘satisfaction’ a moving target, something which may jump to a new position as soon as, or even before, it is achieved (Pollitt and Bouckaert, 2011, p. 146).

Overall, the lesson is that resources are always scarce and their proper allocation and utilization contributes to the efficient and effective delivery of planned results. Accountability for resources takes on both individual and institutional dimensions. Furthermore, accountability has a moral dimension. Taking responsibility for both positive and negative results, and the willingness to learn
and improve are also important elements of performance management. Relating specific performance to specific financial allocation however, remains a significant challenge. It is now necessary to analyse the situation in SSA.

6.3 Theoretical analysis of the management of public resources in SSA

Taking into consideration the above analysis of the management of resources in Western countries, the theoretical analysis of financial resources management in SSA is centred on countries’ capacity to raise revenue, the challenges of determining policy priorities, and management and accountability for financial resources in a decentralized context. Prior to that discussion, it is inevitable to take into account two issues that affect financial management reforms in SSA. The first issue is that “at any rate, the state was and is seen as the main hope for guiding the society toward modernization” (Heady (2001, p. 279). The second issue is that:

facing up to organizational and institutional challenges through the choice of effective, appropriate public sector development strategies is doubly challenging in developing countries because of both the urgent need to respond in the face of dire impact and a relative scarcity of resources (United Nations, 2005, p. 21).

These issues have implications for a common vision for performance and service delivery, and specifically the generation and use of available resources. At the same time, a contradiction emerges between lack of efficient use of available resources on the one hand and scarcity on the other. Worse still, the majority of citizens in SSA appear to have the impression, that has partly been created by leaders, that government has the resources and capacity to provide unlimited public services without corresponding contributions from citizens in the form of taxes or user fees.

6.3.1 Increasing revenue collections to match increasing expenditure on public services

Questions regarding the capacity of SSA countries to generate adequate revenue for the efficient and effective provision of public services that meet the expectations of citizens exist. It is indeed observed that “one of the most important functions of the state that largely determines its legitimacy is its ability to raise revenue to support its policies and programs” (Ayee, 2005, p.27). According to the Commonwealth Secretariat (2011, p.1):

taxes, if designed well, can advance economic growth, lessen extreme inequalities, tackle climate change and fund the delivery of the Millennium Development Goals (MDGs), thereby significantly improving the lives of all citizens, and especially poor people. ...Tax revenues that increase with economic growth ensure sustainable funding of essential public services (public goods) such as security, health and education on which economic growth and social development depend.
Related to this, the OECD (2008, p.18) indicates that “taxation has the potential to mobilize social groups with genuinely countervailing power and a shared interest in holding government accountable”. Furthermore, the OECD (2008, p.18) argues that: “in many developing countries, governments have little incentive to bargain with organised groups of citizens”. The OECD however, further argues that the formation of states through colonialism “resulted in the concentration of political and economic power in the hands of elites. These elites often represent the major taxpayers, resist tax reform and are relatively unrestrained by organized societal interests” (Ibid., 2008, p.18).

This state of affairs undermines the capacity of governments to make or implement policy. As indicated earlier in Chapter Five, section 5.3.2, as a reform measure to resolve this problem, semi-autonomous revenue authorities were established outside the traditional civil service structure. There are indications that this led to some increases in revenue collection (Adamolekun, 2007). Ayee (2005, pp.29-30), however, argues that notwithstanding the improvements of tax administrative procedures, it is still very difficult to collect taxes in the informal sector: “Despite the emerging consensus on the need to tax the informal sector, little is known about how to do it”.

This lack of success may be associated with technical capacity, but also with political commitment, as political leaders are perceived to be among those who avoid meeting their tax obligations. The inability of SSA countries to generate local revenue implies a reliance on international aid, which in turn affects the capacity of these countries to formulate and implement sustainable policies. Accordingly, “high percentages of tied or project aid reduce the options of aid receiving countries and their capacity to own and develop their development strategies, as well as to respond flexibly to emerging contingencies” (Ibid., 2005, p. 38).

In line with the above argument, Kiragu (2002, p.2) asserts that the pressure for the initial reforms in SSA “emerged from the macroeconomic and fiscal reforms that were embedded in structural adjustment programmes (SAPs) sponsored by the World Bank and the International Monetary Fund”. These revelations demonstrate that developing countries encounter situations that provide limited options regarding the acceptance or non-acceptance of aid and credit. This affects the policy options, the delivery process, and the results themselves.

6.3.2 The challenges of increasing efficiency and effectiveness of resource allocation

Linking resources to plans of action is one of the challenges faced in SSA. Some constraints that inhibit efficient and effective resource allocation are identified by the World Bank (1998) as, lack of predictability of revenue, and discipline in managing the available resources against unlimited priorities. In an effort to
address the problem, the Medium Term Expenditure Framework (MTEF) was introduced in the 1990s to improve the allocation of resources (World Bank, 1998; 2005; Wynne, 2005; Hove and Wynne, 2010). There are, however, questions regarding the extent to which the MTEF has helped countries in SSA to shift resources to the most deserving priorities, indicating that the MTEF alone may not be sufficient as an instrument for efficient allocation of resources (Wynne, 2005). In addition to the introduction of the MTEF, a sector wide approach was also adopted as a strategy to improve efficiency and effectiveness in resource allocation (Institute for Health Sector Development, 2003; Hutton, 2004). Some of the shortcomings in implementing both the MTEF and the SWAP appear to arise from external influence, especially that of international funding agencies, sometimes resulting in back and forth policy prioritisation and implementation process (Batley, McCourt and McLoughlin, 2012). Resources are, definitely, scarce compared to the demands that are too many. The decision regarding the most suitable allocation is not as obvious as it may appear. This affects both the capacity to formulate and implement policies.

As indicated above, gaps in policy formulation and implementation in SSA countries may arise from the pursuit of policy options that conform to the requirements of donor aid or where the options are not well thought out. It is surprising that the World Bank, which is presumed to influence policy decisions in SSA, also contends that:

failure to link policy, planning and budgeting may be the single most important factor contributing to poor budgeting outcomes at the macro, strategic and operational levels in developing countries. In many countries the systems are fragmented. Policy making, planning and budgeting take place independently of each other (World Bank, 1998, p. 31).

To some extent, this in effect also constitutes a failure of the policy advice of the World Bank and other international funding agencies. Policy challenges are more evident in a decentralized implementation environment considering that the generation of resources and allocation to policy priorities takes place within a structural context. Taking into account the policy of decentralization that most SSA countries have adopted, the mode of resource transfer from central to local governments affects performance management and service delivery. It is highlighted that:

existing arrangements are tending to undermine rather than reinforce the development of competent local government and good local governance and they are not providing line and central ministries with the accountability they require (Ministry of Finance, Planning and Economic Development and Ministry of Local Government, 2001, p. 34).
It is indeed argued that “the transfer of conditional grants has taken the form of deconcentration of line ministry programmes, rather than decentralisation. Districts are increasingly coming to operate as local offices of line ministries” (Ibid., 2001, p. 34). Overall, scarcity of resources, unlimited priorities, and inadequate budget discipline affect the allocation of resources. In addition, implicitly, local governments implement policies driven by central ministries with limited options for the sustainability of service delivery at the local level. This raises challenges for performance management and service delivery that the instruments being introduced may not be adequate to address.

6.3.3 Constraints for enhancing accountability for scarce resources

As indicated earlier at 6.2.3, the requirement for accountability is paramount in improving performance and delivery of public services. Based on that assumption Ayee, (2005, pp.30-31) indicates that:

   it has been pointed out that a proper use of public finance goes a long way to link citizens to the state. Citizens expect that state officials use public funds to provide value-for-money public goods and services. Improper use of public finance results in fiscal crisis and governance crisis which weakens state apparatus and undermines its capability to promote economic development.

One of the manifestations of improper use of public resources in SSA is the issue of corruption. In this regard, the Economic Commission for Africa (2003, p. 34) observes that: “a key factor underlying the ineffectiveness of administrative and financial accountability systems is the endorsement of “wealth at all costs” by many African societies”. The Commission further argues that “public office holders and public servants who do not appear to have “prospered” from occupying public positions are treated with scant respect. This declining value tends to encourage inefficiency and misappropriation of public money” (Ibid., 2003, p.34).

The Economic Commission for Africa, further observes that corruption “increases the cost of public services delivered to the customers and citizens and is usually ‘behind the screen’ and not easily detected, particularly “petty” corruption among lower cadres of the civil services, as well as “grand” corruption at top management levels”(Ibid., 2003, p. 35). Corruption, therefore, further constrains the total resource envelope that is available for public service delivery, the allocation of resources to service delivery priorities, and accountability for public resources. Taking into account a decentralised service delivery system, there is concern that:

   a local government should be just as accountable for funds transferred to it as for funds collected directly from local taxpayers. Instruments for ensuring financial accountability are often in place, but their implementation is often poor (World Bank, 2005, p. 294).
Likewise, this implies that central government should be as accountable for donor funds as for domestic revenue, to ensure proper use and accountability for all available resources. Arising from the theoretical analysis and literature review, the scarcity of resources and the limited scope for increasing tax revenue emerge in both Western and SSA contexts. The demand for efficiency and effectiveness in the use of available scarce resources to produce public value has individual, institutional, and moral dimensions. It is thus of utmost importance to present and discuss the empirical findings with regard to Uganda.

6.4 Empirical findings on the management of public resources

In response to the theoretical analysis of both Western and SSA countries, the empirical study sought to establish how the management of financial resources impacts ROM and service delivery in Uganda. The main issues that emerged in the theoretical analysis and literature review that informed the empirical study include the mobilization of resources, the adequacy of the budget, the allocation of resources to implement policies and priorities, and accountability for both resources and results.

6.4.1 Mobilization of resources and adequacy of the budget

In sections 6.2.1 and 6.3.1, the challenges of increasing revenue resources in both Western and SSA contexts have been discussed. This present section discusses issues related to the mobilization of revenue and allocation to the budget in the Ugandan context. The first consideration is the capacity of central government to collect revenue. It was indicated by an informant at the MoFPED that the establishment of the Uganda Revenue Authority resulted in some improvements in revenue collection. This was estimated at 13% of GDP for the financial year 2012/13, up from 7% of GDP in 1991 when the Uganda Revenue Authority was established (Informant, MoFPED).

This improvement notwithstanding, it was also acknowledged that disincentives exist in the revenue collection systems. Four issues were identified: (i) tax evasion by those who have the capacity to pay taxes acts as a disincentive to those willing to pay; (2) lack of an obvious link between tax revenue and service delivery, meaning that those who pay are sceptical that they receive value in terms of public services; (3) extreme natural weather conditions make collections fluctuate between different seasons; and (4) lack of fairness between taxpayers employed in the formal sector (for example, public servants) and those in the informal sector (for example, agriculturists). Revenue collections from the informal sector are not formalized and the reluctance to do so is attributed to different interest groups. This curtails the increase of the revenue base as a percentage of GDP (Informants, MoFPED). Another concern that emerged was the alignment of donor support to government systems and processes through budget support. The issue of accountability for resources, however, is likely to
affect this initiative and lead to the reintroduction of project support (Informant, MoFPED).

The second consideration in the mobilization of revenue and allocation to the budget is the capacity to collect revenue at the local government level. Respondents from local governments indicated that the commitment to collect local revenue was limited by the capacity for its appropriate planning and management. As a result, local governments mainly rely on central government transfers. They have no flexibility to identify taxable sources without interference from the centre (FGD, Kabarole District). Respondents indicated that following the abolition of graduated tax in 2005, the compensation for its abolition, intended through the fiscal decentralization strategy, had not been fully effected. Interestingly, they indicated that graduated tax had not only been a source of revenue but was also a moral responsibility that created a relationship of expectations and accountability between citizens and the government (FGD, Kabarole District). Arising from the abolition of graduated tax and other challenges in generating local revenue, on average local revenue in the local governments constitutes only 2% of the total budget, with 97% coming from central government transfers and 1% from direct donor project aid. This poses a dilemma for service provision, because while central government is unable to provide all the funding requirements for decentralized services, there is perceived interference in local revenue collection. The Fiscal Decentralization Strategy (FDS) was also perceived as not fully implemented. An analysis of the central government transfers and local revenue projections for the District Local Government of Tororo is made below, to illustrate the above concerns.

Table 6.1: Summary of estimates of revenue and expenditure
Tororo District Local Government 2009/10-2011/12

<table>
<thead>
<tr>
<th>Source</th>
<th>2009/10</th>
<th>2010/11</th>
<th>2011/12</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Sourced</td>
<td>% Distribution</td>
<td>Sourced</td>
</tr>
<tr>
<td>Local revenue</td>
<td>492,461,286</td>
<td>2%</td>
<td>496,040,158</td>
</tr>
<tr>
<td>Central government transfers</td>
<td>24,530,217,521</td>
<td>96%</td>
<td>28,454,806,251</td>
</tr>
<tr>
<td>Donors</td>
<td>577,426,940</td>
<td>2%</td>
<td>564,026,640</td>
</tr>
<tr>
<td>Total</td>
<td>25,600,105,747</td>
<td>100%</td>
<td>29,514,873,049</td>
</tr>
</tbody>
</table>

Source: Tororo DLG, approved estimates for financial year 2009/10; 2011/12

Based on the above, resources to finance decentralized services, both local revenue and central government transfers, were reported as inadequate. Respondents were of the view that the central government has failed to empower local governments to be reliant on their own local revenue (FGD, Kabarole District). There was also a perception among respondents from local governments that the central government only collects the revenue that is easiest to collect. A counter-argument to this complaint given by MoFPED informants stated that it was a much better strategy for central government to collect such taxes and to promote their fair allocation across the local governments. Leaving
local governments to collect, seemingly ‘easy taxes’ would disadvantage some local governments that have nothing to collect. Based on such collections, the government is able to allocate conditional and unconditional grants to local governments in a more rational manner (Informants, MoFPED).

As implied above, generated resources provide the basis for the budgeting and implementation process in terms of the delivery of public services. Budgets for central ministries are provided from the consolidated fund following the determination of priorities by the Cabinet and appropriation by Parliament. Government revenue is complimented by support from development partners, which is currently estimated at 20% of the budget, through both direct support to the budget and project aid (MoFPED, 2013). Prior to the approval process, ministries and LGs are allocated expenditure limits within which to budget. Following approval, ministries and LGs are given quarterly projections based on which resources are released (Informant, MoFPED). The empirical study sought to establish the perception of respondents regarding the strategies in place to mobilize resources and the adequacy of the budget to meet the policy priorities of the government.

Responses obtained regarding the adequacy of the budget in terms of both available resources and the budgeting process indicate that progress has been realized in harmonizing the budgeting process, developing tools that link the budget to outputs, implementing a sector-wide approach to budgeting, and releasing funds on a quarterly basis rather than the previous practice of monthly releases. Furthermore, there is a requirement for accounting officers not to make commitments on behalf of the government that exceed available financial resources, through what is commonly referred to as the Commitment Control System (CCS) (All FGDs).

These positive moves notwithstanding, the incremental budgeting system and the indicative ceilings of the MoFPED that are provided regardless of the requirements of the sectors were highlighted by respondents as key limitations of the budget. These limitations are perceived to demonstrate both the dire scarcity constraints and the need to control public expenditure, which involve both the available resources and the process for setting priorities. Respondents were of the view that increases in budget allocations across MDAs and LGs do not take into account actual deliverables and service delivery responsibilities, which have far reaching implications for the whole population. Responsibilities are always increased in relation to a constant or decreasing unit cost of a service, meaning lesser funds for additional responsibilities and expected outputs. This in effect implies spreading thinly, compromising on quality, and creating no impact (All FGDs). All of these challenges affect performance management and service delivery.
6.4.2 Allocation of resources for implementation of policies and programmes

The allocation of resources affects the implementation of policy priorities and how performance is managed to deliver public services of the desired quantity and quality. This section discusses the allocation of resources at policy ministry level and local government level. The empirical study sought to establish the perception of respondents regarding the allocation of resources for the implementation of policies and programmes. The challenges identified by respondents with regard to the allocation of resources included lack of an appropriate mechanism for common agreement on priorities. In addition, respondents indicated that when priorities are identified, they are not consistently pursued until the objectives are achieved, leading to a widely held perception that priorities are continuously shifted without bringing the original priorities to a logical conclusion.

Respondents indicated that public sector reforms, including the introduction of ROM, had mainly been implemented with funding from development partners that included the World Bank, UNDP, the Netherlands, the United Kingdom, Ireland, Norway, Austria, Sweden, and Denmark. This is supported by secondary information regarding the donor financing of the reform programme (Ministry of Public Service, 2001). Respondents were of the view that there is no robust system for transparent, efficient, and effective resource allocation. In addition, resources were not seen as being released in accordance with the plan and budget, mainly due to shortfalls in revenue collection and unplanned expenditures that were attributed to short-term changes in political priorities. Furthermore, resources were not released in a consistent and timely manner. This was perceived as disproportionate to the amount of time and effort spent during the planning and budgeting process.

Respondents indicated that what was usually planned was not always implemented implying that well articulated outputs and targets could not be achieved. Furthermore, systems for detecting and minimizing wastage of resources and promoting collective responsibility for financial management decisions among political leaders and administrative/professional leaders were perceived weak. This challenge was partly attributed to the procurement system that was perceived as highly inefficient. Respondents acknowledged that the sector wide approach was introduced in the planning and budgeting process to strengthen internal coordination among government agencies, improve external coordination with development partners, minimize duplication of effort, and improve results. Overall, participants were, however, of the view that there is no equitable allocation of resources across MDAs and LGs, and also among departments within an MDA or LG, based on expected outputs. Furthermore, transparency in terms of financial allocation and management on the one hand, and the implementing user departments on the other, was also indicated as lacking (All FGDs). Gaps exist in the determination of priorities, allocation of
resources and implementation. Respondents indicated, however, that effort is made during sensitization sessions conducted by the MoPS and MoFPED to explain that ROM is not about the amount of resources one has, but about what is achieved with the resources that are available (FGD, MoPS; Informant, MoFPED).

It is important at this point to discuss the issues identified by respondents regarding the allocation of resources to the policy sectors under study, specifically universal primary education and primary health care. Regarding education, respondents indicated that the UPE capitation grant per pupil per annum of Ush 7,000 has been static for more than six years, despite inflation and additional priorities (Informant, MoES). It has therefore become necessary to explain to parents to make contributions for example to the feeding of pupils, to the welfare of teachers and school infrastructure development (Informants, Kabarole and all FGDs). Regarding allocations to health services, respondents raised questions over what should encompass a free medical service at a health facility, considering that the average annual budget for free health care, assuming that every Ugandan would need such care, is less than US$ 1 per person (Informants, Gulu, Tororo Districts). The inadequacy in the level of funding means that sometimes individuals have to contribute for example to investigations like x-rays and scans (Informants, Kabarole District).

Respondents raised questions with regard to policy design and the appropriate diagnosis of the problem that should be addressed, and the setting and sequencing of priorities. For example, in the education sector, respondents raised concern about whether the government should provide free higher education or first give attention to improving the quality of universal primary education (FGD, MoES). Also in the health sector, concern was raised about whether the government should construct new health facilities or strengthen the capacity of existing ones to provide better services (FGD, Ministry of Health). Shortage of classrooms and scholastic materials in schools and lack of appropriate tools and equipment in health units were raised in the FGDs as issues that should be prioritized first. Similar views on the allocation of resources to implement policies and programmes were expressed with regard to responses to the survey questionnaire that required respondents to identify the challenges that they perceived are being faced in matching resource allocation to results.

Respondents were sceptical about whether the MTEF was functioning as a tool for the allocation of resources. An example of the MTEF is presented in Annex 2 (h). Although revenue collection was reported to have increased (as indicated above), informants were of the view that this was not being reflected in the allocation of resources to the policy priorities. They perceived the MTEF as not being instrumental in shifting resources to some priorities. A specific concern that also emerged was that donors still hold a lot of influence on local priorities in terms of conditions and targets, even when their estimated contribution has reduced to 20% of the national budget. An implicit question, as perceived by
informants, was therefore: On which priorities does the government put its 80%? The alternative question was indicated as: What other interests do development partners have to protect to ensure that they are constantly felt? (FGD, MoPS). Respondents also indicated that these questions affect the relationship between central and local governments.

Specific views of respondents were sought regarding achievements made in financial management reforms at the local government level, and gaps and challenges faced in the management of the budget, in line with service delivery results expected by citizens. A number of challenges were identified by the respondents as impacting the management of resources and subsequently ROM and service delivery. Respondents indicated that central government transfers for decentralized services are inadequate, far below what would be needed to meet the expected and planned level of service provision. Worse still, they are always released late, leading to delays in the execution and implementation of plans (All FGDs, LGs). This is in tandem with the concern by the Local Governments Finance Commission that the transfers had declined from 25% to 15% between 2003/04 to 2013/14 (http://www/lgfc.go.ug accessed 06/05/2015). Respondents were of the view that there is no appropriate mechanism for LGs to advise the central government on alternative appropriate grants that should be extended to them in order to address specific local priorities. Furthermore, there was concern that the balance between the percentage of resources allocated to policy coordination and general administration at central government level is higher compared to what is invested in direct service delivery at the local government level. Overall, inadequate financial resources, specifically yearly ongoing budget constraints, were identified by respondents as one of the main issues impacting ROM and public service delivery. This indicates that prioritization is the starting point for performance management and the delivery of expected public services.

### 6.4.3 Accountability for resources

One of the emerging concerns for financial resources management is whether the available resources are well utilized to meet performance and service delivery priorities. The empirical study sought to establish the perceptions of respondents regarding the mechanisms in place to promote accountability for resources. At the central government level, informants outlined the instruments and measures in place. These included the Integrated Financial Management System (IFMIS); Results Oriented Management (ROM); Output Oriented Budgeting (OOB) that places emphasis on outputs; the Output Oriented Budgeting Tool (OBT); performance agreements for accounting officers, directors, heads of department, and facilities; quarterly performance reports; mechanisms for monitoring physical outputs in relation to releases of funds; and the bi-annual and annual government performance report. Furthermore, the sector committees and the public accounts committee of Parliament now demand accountability for both resources and results. Initiation of value for money auditing by the Auditor
General and the periodic government performance reports produced by the Office of the Prime Minister were seen by respondents as contributing to the enhancement of accountability for both resources and results.

These achievements notwithstanding, respondents were concerned that the IFMIS had not yet been rolled out in all ministries and local governments, and where it had been rolled out, it was not yet linked to the OBT. Another challenge that was highlighted was the capacity to verify and analyse all the submitted reports. Other challenges included costing inputs for various services and budget cuts during implementation (All FGDs). Respondents in local governments indicated that there is limited capacity in higher (district) local governments to monitor the use of resources by lower local governments, which include municipalities, town councils, and sub-counties. They highlighted staffing gaps as a cause of this, mainly arising from vacant posts in the finance department, and in some instances the inadequate skills of existing staff (FGDs, Kabarole and Tororo Districts). It was also indicated that the accounting procedures were still largely manual because the IFMIS had not yet been rolled out to all local governments. Where it did exist, there were additional challenges of power shortages to run the system and a high resulting degree of downtime for email network services. The OBT was furthermore seen as complicated to use, and worse still, it was not connected to the IFMIS (Informants, Tororo District).

Regarding the management of resources at service delivery facility level (school or health unit), in all FGDs respondents at all levels indicated that resources for the provision of public services through both conditional and unconditional grants are inadequate. The inadequacy of resources makes it difficult to: (i) adhere to plans and budgets; (ii) provide timely services; (iii) put in place appropriate infrastructure for the provision of public services; and (iv) fill approved structures and motivate staff. Respondents indicated that this arises from a number of contradictions, including over-commitment regarding what the government can realistically provide using the available resources, and the provision of supposedly ‘free’ public services (All FGDs). Regarding the latter, many public services are promised to be free to the extent that users are not expected to pay at service delivery points. But using one respondent’s words, “how can the government provide services without imposing user fees, using donor funds that are raised from taxpayers’ contributions abroad, when most of the local citizens have not been obliged to pay taxes?” (Informant, Tororo DLG).

Respondents were requested to rank a set of factors that they perceived as important in the management of financial resources. The factors related to: (i) identification of priorities in a participatory manner with service recipients; (ii) timeliness in the release of resources; (iii) accountability for resources in terms of both expenditure and results; (iv) providing incentives that promote better use of resources; and (v) paying attention to the extent to which development partners
influence policy priorities. The responses obtained are indicated in the chart below.

**Chart 6.1 Ranking of different aspects of Financial Resources Management**

<table>
<thead>
<tr>
<th></th>
<th>Priorities</th>
<th>Releases</th>
<th>Accountability</th>
<th>FMgt Incentives</th>
<th>Dev Partners</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Prevalent</td>
<td>51</td>
<td>13</td>
<td>20</td>
<td>10</td>
<td>25</td>
</tr>
<tr>
<td>2nd Prevalent</td>
<td>28</td>
<td>12</td>
<td>29</td>
<td>20</td>
<td>30</td>
</tr>
<tr>
<td>3rd Prevalent</td>
<td>14</td>
<td>31</td>
<td>30</td>
<td>32</td>
<td>12</td>
</tr>
<tr>
<td>4th Prevalent</td>
<td>12</td>
<td>26</td>
<td>27</td>
<td>27</td>
<td>27</td>
</tr>
<tr>
<td>5th Prevalent</td>
<td>14</td>
<td>37</td>
<td>13</td>
<td>30</td>
<td>25</td>
</tr>
</tbody>
</table>

The responses in the chart seem to suggest that ministries and local governments are perceived as being good at determining priorities, though they also face challenges in all aspects related to management of the budget implementation process. This raises a contradiction with regard to the earlier discussion of the determination of priorities. Informants indicated that the biggest challenge is the late release of funds and the incentives in place to appropriately manage resources. Aside from setting priorities, respondents also ranked the influence of development partners and accountability for resources as influential. Detailed rankings are indicated in Annex 2 (c). These findings are further analysed in the paragraphs that follow.

### 6.5 Analysis and interpretation of findings on financial resources management

Theoretical analysis highlights concern for the appropriate use of taxpayers’ money and raises the question of both allocative and productive efficiency. Empirical findings reveal that there has been substantial progress in the implementation of budget and financial management reforms. Some of the milestones highlighted by respondents include: (i) increases in local revenue generation; (ii) opening up, to some extent, and making the budgeting process participatory; (iii) use of the MTEF projections; (iv) the commitment control system; and (v) the promotion of OOB. Notwithstanding the achievements that were identified during the empirical research, several challenges were also highlighted as impacting the management of financial resources, and subsequently performance and service delivery. These are analysed in the context of the adequacy of available resources, their allocation for the implementation of policies and priorities, and accountability in terms of resources and results.
6.5.1 Adequacy of the available budget resources

One of the issues where there was general agreement among respondents is that there seems to be a glaring contradiction between the level of resources and the priorities that are set by government. It was generally highlighted in the empirical findings that the extent to which sectors can vary their resources to address new emerging priorities is limited. Ceilings are provided to sectors within which they must budget. Although vote functions (regarding objectives and outputs) were identified, allocation to sectors is still largely incremental. Another challenge is that funding modalities to local governments are through prescribed conditional and unconditional grants. As indicated earlier, the Fiscal Decentralization Strategy (FDS) has not yet been fully implemented and the need for compensation for the abolition of graduated tax, which was a source of local revenue, is not being met. This dilemma, which is mainly perceived to be politically inspired, affects performance and service delivery.

In addition to the above, respondents seem to perceive that the percentage of resources allocated to policy coordination and general administration at the central government level, compared to what is invested in direct service delivery, is disproportionate to the expected level of service delivery. Furthermore, there is a perception, mainly among respondents at the local government level, that more resources are being spent at central government level and yet the responsibility for direct service provision lies at the local government level. Though the service delivery responsibilities between the central and local governments cannot be directly equated, there appears to be some merit to this argument. As will be discussed in Chapter Seven, duplication of responsibilities is still a challenge, which, if addressed, could release resources for service provision. As indicated in section 6.4.2 above, the perception of respondents is that the explanation that ROM is not about the amount of resources one should have, but about what one is able to do with the resources that are available, may be a more simplified explanation of the current gaps in resource allocation, as analysed in the paragraphs that follow.

A concern that ran through all of the discussions, both in the central and local governments, was the inadequacy of resources. The concern of respondents, however, seemed not to be just about how much is collected, but about where what is collected is allocated. The perceptions of respondents seem to indicate that government investment of its resources in consumable activities (alluding to political activities) outweighs investment in productive sectors, where donor money appears to be put. Overall, a cross-section of both political and administrative leaders lamented about the seeming glaring inefficiency in the allocation and use of public resources, though they seemed not to be empowered to address the issues.
Allocation of resources to implement policies and priorities

Findings regarding the implementation of policies and priorities indicate that there is still room for attainment of both allocative and productive efficiency within the MTEF. A general perception was that this is possible both across sectors and within the same sector. Respondents were generally of the view that the health and education sectors, which are meant to improve the well-being of people and empower them to contribute to national development, are both under-funded. Realism in terms of what the government would wish to provide and what it is actually able to provide is also a challenge. For example, as discussed above in section 6.4.2, some respondents raised concerns about what would be better: improvement of the quality of universal primary education or the introduction of free higher secondary education. As pointed out earlier, the general perception of respondents is that leaders continue to announce additional priorities while drawing from the same level of resources, in effect reducing the available resources and compromising the quality of public services.

Specific examples emerged both from the education and health sectors. Arising from the findings, the emerging perception is that the UPE capitation grant per pupil per annum has remained static over a long period of time and is thus inadequate to meet the requirements of providing quality education to enrolled pupils. Regarding health, what constitutes a free medical service at a health facility should be defined, considering that the average annual budget for free health care is glaringly insufficient to meet basic health services for every Ugandan who requires medical treatment. The general perception of respondents was that it would be very difficult and stressful for the government to implement the priorities for health and education without the contribution of development partners through both budget support and project aid.

Although effort has been made to align donor support to government systems and processes, the concern for proper accountability for resources may affect the pace of movement of donors towards budget support and the reintroduction of project support, a situation that may undermine aid effectiveness for the delivery of public services. For example, during the financial year 2012/13, Uganda witnessed aid cuts that translated into budget cuts, which arose from reported cases of misuse and theft of public funds. Allegations of misuse of public funds, including donor funds, have received wide press coverage. This is very discouraging for donors and affects public trust in general, as the public perceives itself as being deliberately and unfairly deprived of public services through wasteful expenditure and theft. Respondents were also of the view that although the sector wide approach has produced some positive results, its benefits may not be fully realized as the incentives for collaboration through the budget are limited, since resources are appropriated to institutions and not sectors. Respondents were also of the view that performance management reforms that directly affect service delivery are not being adequately prioritized.
within the local revenue resource allocation, and thus could not be sustainably implemented through donor support.

The majority of respondents also raised concern that although effort has been put in place to promote participatory planning and budgeting processes, there are still questions regarding its relevance, considering that both the process and resource envelope are such that input of service recipients is not meaningfully translated into priorities in terms of choice. The process seemingly increases expectations that are not being met, and subsequently the enthusiasm of the people to participate evaporates. The findings also indicate that most of the respondents are concerned that budget cuts that are imposed during the course of the financial year raise questions regarding the credibility of the MTEF and the planning and budgeting process. A general emerging perception of respondents was that MDAs and LGs take a lot of time to plan and set targets, only for budgets to be cut, sometimes within the first quarter of the financial year. They attributed this to new emerging priorities or the lack of realistic resource projections by MoFPED that do not warrant an elaborate annual budgeting process. The overall perception of respondents was that the annual budgeting process needs to be scaled down and the medium term plan and budget fully implemented. This would save both money and time to focus on implementation.

As indicated earlier, the main driving policies in the two studied sectors of health and education were universal primary education and primary health care. Empirical findings indicate that there are both positive and negative issues regarding policies and priorities. According to the perceptions of respondents, the overall emerging positive issue is that the capacity of Ugandan public servants to formulate policies and programmes has greatly improved. Guidelines for policy development are in place and are being applied. Respondents therefore acknowledged that both the universal primary education and primary health care policies and programmes were generally appreciated as being good. Although respondents perceived the overall policy development process, and most of the resultant policies as good, however, they raised concerns over the process itself and the glaring gaps in implementation, which result in policy and programme incoherencies. Specifically, there was a general perception that there are weaknesses in the appropriate diagnosis of the concrete problems that should be addressed, as well as in the setting and sequencing of priorities. Using the examples from education and health, a difficult choice between increasing either the quantity or the quality of services emerged as a particular challenge. As earlier indicated in the theoretical analysis, the question here is whether policy priorities are for the benefit of leaders, funding agencies, implementers, or citizens. The answer to this question may not be obvious.

Implementation challenges identified in the empirical study were attributed to a number of factors, namely: (i) The capacity for implementation, in terms of financial resources, human resources, systems and structures, and infrastructure;
for example, inadequacy in terms of classrooms and textbooks in schools and lack of appropriate tools and equipment in health units were raised as issues that affect implementation. (ii) Politicization and ‘ownership’ of policies has led to different interpretations by leaders, service recipients, and implementers, and is perceived to account for the widest gap between what a policy is intended to achieve and the reality on the ground. Respondents raised questions about whether leaders actually take the time to analyse, internalize, and appreciate policies, and to objectively explain the policy objectives to citizens, including their role in implementation. (iii) Dependency on donor funds affects the pace of policy implementation both at central and local government level.

The overall perception was that priorities, as perceived by donors, may be different from those of the MDAs and LGs, as well as of service recipients. In addition, while delays and cuts characterize the release of local funds, some delays are attributed to delays in the disbursement of donor funds. Specifically at the local government level, the issue of conditional and unconditional grants also affects policy implementation. A policy change that emerged in the course of the study is the transfer of funds directly to the accounts of primary schools. Respondents were of the view that this had cut out the bureaucratic process. However, the resources were still being received late, sometimes during school holidays and outside of the period for which they are normally required, thus affecting performance management and service delivery. Policy implementation challenges have implications for accountability for both resources and results, as indicated below.

6.5.3 Accountability for resources and results

The findings indicate that the demand for accountability for both resources and results is increasing. As outlined earlier in section 6.4.2, respondents mentioned the sector committees and the public accounts committee of Parliament as examples of the shift in this direction. In addition, the Auditor General has initiated value for money audits that take into account the results produced in relation to the resources provided. A bi-annual and annual government performance report is also being produced by the Office of the Prime Minister and discussed by the Cabinet.

The progress made notwithstanding, findings also highlight a number of challenges in terms of accountability for resources and results. The general view of respondents was that there is still room for improving the systems and processes for the management of and accountability for resources. There is also room for ensuring that financial accountability is in tandem with service delivery accountability. Despite the introduction of OOB, the link between resources and budgets is still not straightforward, because the cost of some activities is not clearly delineated in relation to the services provided, for example, the cost of salaries and utilities. The cost of providing a health service, considering the different inputs of a doctor, a nurse, laboratory tests, and drugs or the cost of
providing universal primary education, including teaching materials, textbooks, meals, uniforms, and teachers’ salaries are perceived as difficult to compute. This concern of the respondents was supported by the observation that there is still a gap between what is planned and what actually takes place on the ground. The main reasons given for this gap were budget shortfalls and over-targeting. Adjustment of appropriated budgets during implementation to allow for supplementary budgets was the most common explanation for this. Respondents perceived this as a symptom of a malfunctioning MTEF, which makes planners, implementers and stakeholders lose confidence in the planning and budgeting process as it affects the actual delivery of services. The Budget Act (2001) has not closed the loop in terms of minimizing supplementary budgets.

Data collection and use of performance information was also perceived as a challenge. This makes it difficult to measure and compare performance, and subsequently to reward it objectively. There is also limited collective responsibility for accountability for performance and results. As indicated in the theoretical analysis, political leaders are happy to announce good results while public servants are left to account for bad results. This mainly arises because, “integration of financial and performance management can be very difficult, and often does not take place. ... the two streams of reform – financial and performance management – proceed largely independently of each other” (Pollitt, 2001, p.12). The author further argues that “there will always be situations in which the requirements of the political process which surrounds budgeting and the requirements of the management processes which characterise performance improvement are in tension, one with the other” (Ibid., 2001, p.13). Furthermore, Pollitt (2001) argues that this may be due to both technical and political limitations. More important however, is that complicated political issues may require political leaders to remain vague contrary to specifying standards and targets as required under performance management.

In the Ugandan context, the above conditions may explain the inconclusive reports usually submitted regarding ‘process results’ or general achievements, which do not indicate evidence that the outputs have been translated into a better service and improved quality of life for citizens. As indicated earlier in section 6.3.3, accumulation of wealth at all costs excludes the rights of other members of the same community to benefit from and enjoy such resources or facilities. Arising from these findings, the current dilemma regarding the extent to which resources are individualized and do not necessarily reflect hard work cannot be underestimated. As indicated in the theoretical analysis, the perception from the empirical findings too is that there is a high level of tolerance of people who accumulate wealth without a direct relationship to the effort they put in their work. As a result:

corruption continues to be a major concern to the people of Uganda and the various stakeholders because it undermines good governance, development initiatives, and high quality service delivery. It diverts
public or corporate resources to private use and above all it increases the cost of public service delivery and implementation of public projects (Inspectorate of Government and EPRC, 2011, p. 20).

This is a dilemma considering the lack of empowerment of citizens to demand accountability. As Muhanguzi (in New Vision, 3rd August 2011) argues, graduated tax previously acted as a bond between the government and the masses, a basis that gave the masses the moral authority to demand services. Do village folk now ask questions such as “Where does our tax go?”

6.6. Conclusion

A summary of the emerging issues is presented in Table 6.2 below.

Table 6.2 Emerging issues regarding generation and use of resources for ROM

<table>
<thead>
<tr>
<th>Issue</th>
<th>Perceived status</th>
<th>Challenges/contradictions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adequacy of the available budget resources</td>
<td>Increase in local revenue generation by the Uganda Revenue Authority. Budgeting tools and budgeting cycle have been reformed.</td>
<td>Constrained resource envelope to meet service delivery priorities. Implementation of some critical performance and service delivery reforms is still largely dependent on donor funds. The effort applied in the budgeting tools and process is not in tandem with the resources that are available or released for the actual implementation of programmes.</td>
</tr>
<tr>
<td>Allocation of resources to implement policies and priorities</td>
<td>Capacity for policy formulation and analysis has improved. Policy priorities are well articulated.</td>
<td>A wide gap between policy aspirations of leaders and actual allocation to policy priorities. Bottom-up approach not evidently appreciated.</td>
</tr>
<tr>
<td>Accountability for resources and results</td>
<td>Effort to link resources to results is being made.</td>
<td>Annual shortfalls in relation to indicative planning figures make it difficult to achieve planned results. Some inefficiencies in the allocation and use of scarce resources exist.</td>
</tr>
</tbody>
</table>

Overall, both theoretical and empirical findings indicate that there are some efforts being made to link resources to results. A resource constraint in relation to priorities and modalities for the delivery of services does, however, prevail due
to a constrained revenue base and the lack of a comprehensive framework for revenue collection. In addition, obligations have been transferred to local governments without the matching transfer of the required resources. There is also reliance on donor funds that are in turn constrained by priorities and challenges in donor countries. Furthermore, a general perception that emerged among the respondents is that there is a discrepancy between citizen and leadership priorities, and an over-commitment by leaders regarding the policies and the level of services that government can realistically provide. Worse still, there are perceived leakages of resources. These have implications for the way in which the government is organized and structured to provide public services, an issue that is discussed in the following chapter.
CHAPTER SEVEN
ORGANIZATIONAL STRUCTURES FOR PERFORMANCE MANAGEMENT AND SERVICE DELIVERY

7.1 Introduction
Organizational structures provide the framework in which objectives are set, human resources and other inputs provided, and activities prioritized, coordinated, and undertaken in order to deliver outputs. As earlier highlighted in the theoretical framework, organizational structure is one of the critical factors affecting performance management and service delivery. This chapter provides a theoretical analysis of organizational structures in Western and SSA countries. Thereafter, a presentation and analysis of the empirical findings in Uganda is made. The analysis is centred on the redefinition of the role of central government, the decentralization of public service delivery, the administrative organization of the public service, and the position of the private sector in service delivery.

7.2 Theoretical analysis of organizational structures in Western countries
Prior to the call for redefining the role of government, increased demand for public services by citizens and the rise of the welfare state in the 19th century accounted for most of the growth of the public sector in Western countries in the last century. Most public services were managed by the state, were universal, and were funded through taxes (Raadschelders, 1998; Flynn, 1997). As indicated earlier in the thesis, however, growing global economic challenges constrained the maintenance of an increased welfare state, necessitating the role of the state to be redefined. This redefinition has focused on restructuring and downsizing, decentralization, agencification, privatization, and improving the administrative machinery of government (OECD, 2004; 2005; Pollitt and Bouckaert, 2011), as discussed below.

7.2.1 The advent of restructuring and downsizing the public service
The desired objective of creating savings, as indicated earlier in Chapters Two and Six, translated into the need for governments to restructure and downsize the public service. The assumption was that restructuring and downsizing would result in cost efficiency and effectiveness (United Nations, 2005). There is, however, growing doubt regarding the efficacy of reorganization and restructuring as the main solution for enhancing efficiency and effectiveness (OECD, 2004; United Nations, 2005; Pollitt and Bouckaert, 2011). In that regard, Szanton (1981) emphasises that reorganization does not always result in saving resources, improved performance, or responsiveness. The author calls for other considerations other than altering the grouping and distribution of
functions. Similar concern is expressed by Peters (2001, p.675), when he states that:

it would appear that one common reaction to the perceived inability of existing government structures to deliver the goods in a manner that most people would desire is to attempt to alter the existing structures of service delivery. This is hardly a new response to the problem, but it remains interesting the extent to which old reforms continue to become new problems.

Cognisant of the challenges of restructuring and downsizing, the OECD (2005, p. 158), indicates that “over the past two decades, the pressures to reduce the size of government and improve its performance and responsiveness have called into question a lot of the assumptions about the appropriate structure and operation of the public service”. Indeed, “the ‘small-is-beautiful’ vision is evidently not universally shared” (Pollitt and Bouckaert, 2011, p. 104). Drucker (1995) therefore, advises that organizations should carefully think through what requires to be done to re-invent themselves:

to get control of costs is not to start by reducing expenditures but to identify the activities that are productive, that should be strengthened, promoted, and expanded. Every agency, every policy, every program, every activity should be confronted with these questions: “What is your mission?” “Is it still the right mission?” “Is it still worth doing?”(Ibid., 1995, p.4).

In that regard, the United Nations (2005, p.91) argues that downsizing may require “rightsizing”, “where shifts in tactics might be required to achieve results.” It should not be “a crude reduction” but “a strategic approach to rightsizing”(Ibid., 2005, p.92).

From the above discussion, questions arise from the efforts to restructure and downsize public service institutions that include the requirement for clarity of the objective of reorganization, and selection of appropriate strategies. In addition, it is not appropriate to assume that reorganisation will always result in a smaller structure. It may indeed result in a bigger structure arising from changing needs and expectations, and thus generate new challenges for performance management and service delivery. Decentralization and privatization of public services, which are usually pursued as part of the agenda for the reorganization and/or downsizing of government pose some new challenges.

7.2.2 Decentralization and agencification of public service delivery
Decentralization has been pursued as a strategy to clearly define service delivery responsibilities and improve accountability in public service institutions. Pollitt (2003) identifies various arguments for decentralization that include: enhancing efficiency in making decisions; matching responsiveness of decisions to the requirements of service users; tailoring services to local circumstances; reducing
political interference in service delivery; encouraging innovations to address local unique circumstances; and improved staff motivation arising from an increased sense of belonging. Bouckaert and Halligan (2008) also argue that decentralization contributes to the separation of policy and service delivery responsibilities that in turn enhance performance management. It would appear that a combination of different forms of decentralization (including devolution, delegation, and deconcentration) were applied through political, administrative, and fiscal decentralization (Torrisi, Pike, Tomaney, and Tselios, 2011). Besides decentralization, agencies were created to enhance efficiency and effectiveness of services. In some instances, agencies were created to provide legal basis for minimizing political influence in the organizations, accounting for the variance “in terms of organisation, legal status, and degree of management autonomy or political independence” (OECD, 2004, p.4).

The complexity arising from both the design and implementation of decentralisation and agencification has brought about some challenges that affect performance and service delivery. Pollitt and Bouckaert (2011, p. 102) observe that “like virtue, however, decentralization is differently construed by different parties, and is far easier to preach and praise than to practice”. Regarding agencification, the OECD (2005, p. 118) observes that:

- delegating responsibilities to arm’s-length bodies has led to difficulties in coordinating government work. Government coherence suffers from a lack of co-ordination in the definition of objectives, but also in the way government functions to perform these objectives. The lack of co-ordination may also eventually result in overlaps and duplication of work.

The OECD (2005) further argues that agencification complicates governance structures and may create loopholes for agencies to divert from intended policies. Subsequently, contrary arguments for recentralization, mergers, joined-up government and stronger supervision have arisen (Hughes, 1998; Caiden, 2001; Dunleavy, 2008; Pollitt and Bouckaert, 2011). Like restructuring, decentralization and agencification do not resolve all the difficult issues regarding performance and service delivery. It is therefore necessary that they are pursued cautiously.

7.2.3 The search for a market option for results oriented public services

As highlighted earlier, aside from restructuring, decentralization, and agencification, redefining the role of government also involves the privatization of public services, which is currently facing a lot of criticism. Nevertheless, it is still necessary to discuss this contentious issue, considering its historical influence on public sector reforms in Western countries, and equally its implications for the transfer of NPM techniques to SSA. It would appear that one of the previous underlying political assumptions that drove public sector reform in Western countries is that “the means of management and intervention
used in private sector are superior to those of the public sector, and that wherever possible the public sector should either emulate the private sector or simply privatize the function” (Peters, 2001, p. 673).

It is also assumed that providing public services through the market leads to less responsibilities for government, an assumption that may, however, not hold, as privatization appears to create additional responsibilities instead (Van der Meer and Raadschelders, 2007). This is mainly because it may not be feasible to provide a wide range and scope of public services through the market (Hughes, 1998). Furthermore, service provision through the market may require increasing both the responsibilities (for example regulation) and competencies of the public service (Blondal, 2005). Similar to the shortcomings highlighted above regarding agencification and decentralization, privatization may be inadequate as a single solution to performance management and service delivery challenges. This arises because by nature, the private sector objective of maximizing profit is very distinct from the public sector objective of providing public services (Kernaghan and Siegel, 1987). Therefore, a theoretical and practical recognition that the “public sector has a logic of its own and cannot be run in exactly the same way as a business” (Caiden, 2001, p.664) needs to be appreciated. Accordingly, Osborne and Gaebler (1992, p. 45) argue that “privatization is simply the wrong starting point for a discussion of the role of government. Services can be contracted out or turned over to the private sector but governance cannot”. The intricacy of the functions of the public service cannot be overemphasized.

Considering the objective of reducing the role of the state, and the subsequent steps taken to privatize some public services as discussed above, making a clear-cut distinction between public services to be provided by the government and the market continues to be a challenge. Therefore, within the search for results oriented approaches, the public service has to establish appropriate mechanisms for delivering public services that may be distinct from those of the private sector. In addition to the role of the state and the market is the question of the relationship between citizens and the state, which is experienced through the administrative set-up of government.

7.2.4 Streamlining the administrative organization of public services

Discussion of performance management and service delivery cannot be separated from the bureaucratic administrative structure of government. This runs across issues of rationalization, decentralization, agencification and privatization. It is recognized that:

in the traditional public sector bureaucracy, performance was driven by ensuring compliance with set rules and regulations, controlling inputs, and adhering to the public sector ethos. This system generally worked well when governments had less complex and more standardized tasks to perform - and when complying with the rules was considered more important than efficiency or effectiveness (OECD, 2005, p.57).
As indicated in Chapter Two, the limitations of the traditional public administration system contributed to the emergency of NPM. Among others (and as discussed earlier), decentralization, privatization, and agencification were promoted as part of NPM. Pollitt and Bouckaert (2011, p. 118), however, identify another “distinctive reform model” referred to as the “Neo-Weberian State”. To them, the Neo-Weberian State clarifies the legitimate functions of the state and subsequently those of the public service, emphasises the requirement of the state to relate well with citizens, and takes into account the desired focus on results (Ibid., 2011).

Although it is not feasible to draw a straight line across these developments, the administrative machinery requires continuous improvement in order to meet the ever increasing demand for better public governance in the delivery of public services. Arising from this, the OECD (2005, p. 118) argues that:

the large number of new organisational forms and governance structures, management regimes and reporting mechanisms has resulted in a blurred picture of how the system is functioning. Ministries are having to adapt their steering and control mechanisms to too many different types of bodies. This weakens overall control by parliament and may damage citizens’ confidence and trust in the system because it is too complicated to understand.

The complexity of administrative systems contributes to inefficiencies in the delivery of results. In this regard, Flynn (1997, p.198) observes that:

while structures are important, they are really an expression of the processes of co-ordination and control which are in place and the power relationships between individuals, groups, professions, and functions. Changes in structures without any changes in those processes and relationships will make no difference.

The author further argues that “the first task of a performance management system is therefore to reach agreement on the overall purpose of the organization” (Ibid., 1997, p.178). Therefore, “the very uniqueness of the public administration as a form of governmental institution lies in the extent of bureaucratic constraints permeating it” (du Gay, 2005, p. 54). This alludes to the persistence of bureaucratic administration, irrespective of the challenges encountered. Hughes (1998, p.40) contends that although “critique may be overstated, but formal bureaucracy would no longer be considered the highest possible form of organization”. This is mainly because “rigid, hierarchical structures are now more often regarded as imposing costs as well as benefits and may stifle creativity and innovation” (Ibid., 1998, p. 43). Perfect organizational objectives and structures, however, seem to be unattainable, also in Western countries.
Within the dynamics of different political, social and economic challenges, the search for efficiency gains has led to the restructuring and downsizing of government, decentralisation and creation of agencies, and the use of market mechanisms as strategies for delivering public services. The dilemma of putting in place appropriate structures, the balance between centralization and decentralization, government intervention, and the market, and the regulatory framework for autonomous government agencies have not only challenged Western countries but also countries in SSA, as discussed in the following section.

7.3 Theoretical analysis of institutional structures in Sub-Saharan Africa

Redefining the role of the state has equally been a central feature in the implementation of public sector reforms in SSA. Just as the analysis for Western countries has shown, the theoretical issues in SSA include the rationalization of structures, agencification, centralization, and decentralization, with their attendant implications for the administrative apparatus of the public service and the position of the private sector in the delivery of public services.

7.3.1 Rationalizing and downsizing public services in SSA as a prerequisite for reform

The necessity to rationalize and downsize public services in SSA cannot be separated from the historical experience of colonialism against which the public service in Africa developed, as discussed in detail under Chapter Two, section 2.5.2. According to Hughes (1998, p. 206):

most developing countries adopted the principle of a strong state sector in the economy, in many cases allied with the then-prevailing ideas of socialism and Marxism. It was thought that the fastest way of achieving economic growth was through government ownership of enterprise and intervention in the private economy and dominance by a bureaucratic technocracy.

The strategy however, did not work and may have instead promoted the objectives of the former colonial administrative systems (Ibid., 1998). Related to this, Yahaya (1999, p.39) contends that “the massive expansion in the role and scope of government activities in the African countries was not matched with the required management and administrative capacities”. The author further argues that “the absence of this capability meant that government could no longer respond to the rising expectations of the people. The quality of government deteriorated and the public service became a shadow of its former self” (Ibid., 1999, p. 39).

The state of affairs was not helped by the subsequent challenges of nation building and deterioration of the public service systems in SSA (Ayee, 2005; Adamolekun, 2007). The size of the political and administrative structures of the
public service both expanded. In this regard, the PSRRC (Ministry of Public Service and Cabinet Affairs, 1990, p. 47) likens the structure of government to a coin, whereby the political and public service organizations affect each other:

if the political organization of the government is unwieldy, non-responsive, ineffective, expensive and non-developmental, then the structure of the public service will also reflect similar characteristics and tend to be unwieldy, non-responsive, ineffective, costly and non-developmental.

The PSRRC therefore argued that arising from the above relationship, rationalising the structure of the public service is dependent upon the rationalization of the political structure of government (Ibid., 1990). The primacy of the interactive relationship between political and administrative structures, and its effect on ROM, cannot be underestimated. The unwieldy, unresponsive, expensive, and ineffective structure of the political and administrative organization of the public service in SSA necessitated redefining the role of the state, mainly through downsizing. However, “in many if not most cases, downsizing has turned out to be something that surgeons for centuries have warned against: ‘amputation before diagnosis.’ The result is always a casualty” (Drucker, 1995, p. 4). In line with this contention, Hughes (1998) observes that arising from the structural adjustment programmes imposed by international agencies for example the World Bank and the IMF:

it was simple but simplistic to say that government just needed to be cut. What was more important was that government be efficient, facilitative, and appropriate to its circumstances rather than merely small (Ibid., 1998, pp. 216-217).

In line with the above development, Kiragu (2002, pp.2-3) also argues that structural adjustment reforms had mixed results with little positive effect on service delivery: “on the contrary, they have in most instances severely constrained both capacity building and service delivery in key areas, including health and education” (Ibid., 2002). Arising from that experience, and taking into account the argument by Drucker (1995) at 7.2.1, Dia (1996, p. 253) contends that:

the rethinking of the role and mission of government should drive downsizing and retrenchment – and not the reverse. It should involve not only asking questions about the object and justification of the mission for every agency, policy, program, and activity in the public sector, but also carefully deciding afterward (for those tasks and activities to be kept) whether it is the government, the private sector, or the local community or NGO that can most efficiently perform a given task.

As indicated earlier, rationalization and downsizing resulted in challenges that undermined the capacity of government to deliver public services. The short-
term benefits that arose were not sufficient to sustain performance improvement. As discussed earlier at 2.4.3, like their counterparts in Western countries, the task of reaching an agreement on the overall purpose of public sector organizations seems to have been the most daunting in SSA, although the circumstances were different. The objective of linking restructuring to results is, however, articulated in the reform strategic frameworks of 1997-2002 and 2005/06-2009/10, (Ministry of Public Service, 1997; 2005).

7.3.2 Decentralizing the delivery of public services

Decentralization was another strategy pursued as a key reform objective intended to bring services nearer to the people. Ayee (2005, p. 25) contends that decentralization “enabled local people to show some interest in their own affairs and participate, even if minimally, in policies and programmes of their areas”. The author further argues that decentralization “led to an incremental access of people living in previously neglected rural areas to central government resources and institutions” (Ibid., 2005, p.25). To this effect, the PSRRC observes that:

much governmental activity ought to take place below the centre through real devolution of powers and authority to the local levels rather than through the sham decentralization inherent in decongestion or field administration of the central government (Ministry of Public Service and Cabinet Affairs, 1990, p. 37).

According to the PSRRC, “it is both inefficient and inconvenient for the central government to take all the decisions affecting the welfare of the nation and implement them”(Ibid., 1990, p.37). The PSRRC further argued that “local authorities can better identify the needs of the local community and mobilize the people and other resources on a sustained basis than the central government”(Ibid., 1990, p.37). Although it is appreciated that much governmental activity ought to take place at local government level, the assumption that local authorities are able to mobilize people and other resources on a sustained basis may not always be valid. Furthermore, despite some positive aspects, there have been several challenges with regard to:

translating general reform initiatives into specific working arrangements at the local level that are effective in several key processes and operations. Specifically, these include planning and capital investment, budgeting and fiscal management, personnel systems and management and finance and revenue (Ayee, 2005, pp. 26-27).

Similar to the experience in Western countries, the unintended result of decentralization in SSA may be a weaker decentralized system and other challenges attributed to inefficiencies in the bureaucracy. Muhumuza (2008, p. 70), for example, contends that “Uganda’s local governments are actually implementers of central government priorities”.

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The Ministry of Local Government (2014) details the decentralized functions in Uganda but also observes the concern regarding the increasing number of local governments and the associated increasing cost of public administration. This mainly arises from the elaborate local government systems that “is formed by a five-tiered structure of local councils (LC) which consists of the Village (LC1), Parish (LC2), Sub-county (LC3), Country (LC4) and District (LC5) (Ssonko, 2013, pp.31-32). The increase in the administrative structure of local governments may appear to lead to improvements in performance management and service delivery, but may also bring about multiple challenges that are difficult to resolve hence the counter argument for recentralization. According to Oxford Policy Management (2008, p.63):

the original subsidiary objective of decentralization has not yet been implemented. For most purposes, districts now operate under delegated rather than devolved authority from central government, and the creation of central-government appointed chief accounting officers has represented a significant recentralization of decision-making.

It is further argued that “the mismatch between formal powers and actual authority has weakened the sense of responsibility and accountability of local government officials to their constituents for good implementation in such important areas as primary health and education” (Ibid., 2008, p.63). A glaring concern regarding whether decentralization is intended to improve performance management and service delivery or rather to address other objectives of a political nature prevails.

7.3.3 Improving performance and services through privatization and agencification

The redefinition of the role of government prompted advocacy for the privatization and commercialization of public services, which was expected to relieve the government of responsibility for the ownership and/or management of public enterprises. In this regard, Yahaya (1999) contends that:

it was expected that the public enterprises which were hitherto characterized by poor management, conflicting objectives, political interference, financial mismanagement – all fall-outs from excessive government control - will perform better under private sector management.

The author further argues that “it was also expected that once privatized or commercialized, these public enterprises would cease to be a burden on government budget which could lead to reduction and elimination of government fiscal deficits, a condition for macro-economic stability” (Ibid., 1999, p. 47). Privatization was perceived as one of the prescriptions of the structural adjustment policies of the IMF and World Bank. It has therefore been critiqued as a donor driven intervention that did not necessarily produce the
desired results (Kiragu, 2002; Conteh and Ohemeng, 2009; Heidhues and Obare, 2011).

Related to privatization was the creation of executive agencies outside of policy ministries. Mugaju and Langseth (1996) raised concern over the creation of many authorities and/or agencies, arising from limited governmental trust in traditional civil service institutions and argue that:

these organizations which have so far been inspired and funded by the donor community appear to be inconsistent with the spirit and rationale of privatization and may eventually suffer the same fate of erstwhile public corporations because they may not be sustainable if and when donor funds dry up (Ibid., 1996, p. 108).

This alludes to the problem of amputation before diagnosis, as indicated earlier at 7.3.1, which has resulted in the duplication of efforts and thus inefficiencies that still stifle focus on sustainable core institutional responsibilities and results.

7.3.4 Improving administrative efficiency of the public service in SSA

As indicated earlier, the experience arising from the colonial administration has left SSA countries with limited options for adopting a bureaucratic model of public administration. In Chapter Two, it was highlighted how a developed administrative system is more conducive for improving performance management (Heady, 2001), and how traditional administrative bureaucracy was focused on rules and processes instead of results (Hughes, 1998). It was also indicated that the bureaucratic model adopted by countries in SSA was not equivalent to the one applied by the colonizing countries on their home soil, but was a hybrid model that had been established by the colonizers for the purpose of sustaining the colonial administration (Karugire, 1980; Ministry of Public Service and Cabinet Affairs, 1974). This implies that administrative bureaucracy in SSA countries encounters challenges regarding both the level of the development and focus of the bureaucracy, and the bureaucratic model itself.

Arising from this observation, Kernaghan and Siegel (1987, p.19) contend that “the word bureaucracy normally conjures up images of government employees and organizations characterized by unresponsiveness, inaccessibility, inflexibility, inefficiency, arbitrariness, and empire building”. These assertions unrealistically heap the blame for shortcomings in the implementation of bureaucracy on the ideal model as proposed by Max Weber. The question of which particular form of bureaucracy is practiced in SSA is either ignored or not even posed. Although SSA has also implemented NPM reforms, the real challenges in managing performance and providing public services remain unresolved. Kiggundu (1998) therefore suggests that there is need for:

national dialogue to develop consensus or shared understanding on the essence of the state. Out of this consensus should emerge a set of
national shared values, which in turn would help define a country’s core institutions and functions (Ibid., 1998, p. 165).

The call for consensus is not intended to ignore the practical reality of political pluralism but to place emphasis on the first task of defining the purpose of organizations. The effort to find more encompassing shared values is even more challenging. Organizations in SSA should be a vehicle for performance governance and the improved well-being of citizens. In this regard, according to Dia (1996, p. 242):

this calls for constantly recognizing institutions as more than organizations – as sets of structured and lasting patterns of behaviors and relationships (roles) that are guided and supported by broad societal values, regulated by certain norms of conduct (rules), and put into practice by organizations.

The extent to which restructuring, decentralization, divestiture, privatization, and an under-developed bureaucracy remain challenges for the implementation of result oriented reforms in SSA therefore cannot be ignored.

7.3.5 **Emerging lessons on organizational structures**

The literature review conducted for this study indicates both similarities and differences in focus between Western and SSA countries. Initially, both focused on operational cost reduction as a core objective of reform, by cutting down the size of government. In both Western and SSA contexts, continued economic constraints, especially following the global economic crisis, affect the number and size of structures that governments would wish to put in place and the public services that they should provide. Redefining the role of the state is a continuous process. Downsizing and rationalization, decentralization, agencification, and privatization all encounter both design and implementation challenges. This alludes to the concern for the match between the role and capability of states. Accordingly, “a good match between the state’s role and its capability is the key to effective policies. A mismatch between capability and action can compromise the sustainability and effectiveness of reforms even in the absence of political obstacles” (World Bank, 1997, p. 151).

The emerging issues that require further empirical analysis in the Ugandan context are centred around: (i) the limitations of rationalization and the restructuring of public service structures, in terms of grouping functions, size/numbers, and service delivery responsibilities; (ii) the challenges of centralized and/or decentralized service delivery mechanisms; (iii) structures at service delivery facilities; (iv) the administrative machinery of the public service; and (v) the participation of private providers in public service delivery. The empirical analysis below focuses on discussing these issues.
7.4 Empirical findings on organizational structures

As indicated in the theoretical analysis, the essence of an organizational structure is to provide for the organization, management, and delivery of public services. The task of determining the purpose of organizations both at the overall strategic level of a state and at the institutional level of an organization is complicated. This has influenced the focus on redefining the role of the state in terms of various strategies of rationalization, downsizing, decentralization, and privatization. The theoretical analysis and literature review further indicate that these are, however, not standalone solutions for acquiring efficient and effective public services. It has also emerged from the theoretical analysis that the administrative machinery of governments in SSA is still underdeveloped. Complicating matters further, the dire scarcity of resources in SSA makes the task of setting national and organizational objectives even more complex.

The empirical study sought to further examine the efficacy of the rationalization of central government structures, the extent to which a decentralized service delivery system has improved service delivery, and the administrative mechanisms in place for managing performance and delivering public services in the Ugandan context. It also sought to highlight the role of private providers in the delivery of public services.

7.4.1 Rationalization of central government structures

As indicated earlier in the theoretical analysis, the initial focus of the public service reform programme in Uganda was the redefinition of the role of government and the rationalization of structures. The empirical study sought to establish the extent to which the restructuring of central government ministries has contributed to improvement in performance management and service delivery. At the central ministry level, respondents were asked to indicate the extent to which the current structures are adequate for service delivery and the likely implications of this in terms of managing institutional performance. Questions addressed to these respondents took into account the fact that appropriate structures are required not only to meet core central government objectives but also to facilitate the structures of local governments in delivering their mandates, since central ministry level employees carry support supervision responsibilities at the local level.

From the responses, it was acknowledged that ministries and local governments have gone through a number of restructuring processes, as implemented through the public service reform programme. It was indicated that the restructuring exercises provided an opportunity to redefine the mandates and mission statements of ministries and identify the broad outputs that they are expected to deliver. It was also indicated that staffing requirements for the organizations were established and are used in recruitment and placement (FGD, MoPS). Respondents indicated, however, that despite these efforts at restructuring, there
remain some functional areas that are not well defined. In the case of the professional development of health workers, for instance, there remains contention over whether this responsibility should fall under the Ministry of Health or the Ministry of Education and Sports. Respondents also indicated that new structures were sometimes set up instead of addressing underlying problems in the existing structures. An example of this given by respondents was the establishment of a health monitoring unit in the State House, that is mainly responsible for the welfare of the President, instead of efforts to strengthen the existing quality assurance department at the Ministry of Health. Respondents also raised concern about organizations that perform the functions of other organizations outside of the formal structures. Some overlaps resulting from the manner of implementation of policies were attributed to the management style of the Ministry of Finance, Planning and Economic Development and the Office of the Prime Minister (FGD, MoH; MoPS; Informants, Gulu DLG).

A general issue that was raised during the FGDs was the fact that since the commencement of the reforms, concern for restructuring has been more focused on cost saving than on service delivery requirements. In some instances, some ministries had been severely cut to the extent that they had become incapacitated. A specific example given to illustrate this was the Ministry of Tourism, Trade and Industry, which had resulted from the merger of four previously separate ministries. Arising from challenges of functionality, however, the ministry was separated once again in 2011, this time into two, namely the Ministry of Trade, Industry, and Cooperatives and the Ministry of Tourism, Wildlife, and Antiquities. Respondents also observed that some posts, for example cardiologists, cardiac nurses, psychiatric nurses, anaesthetic officers, radiographers, and dispensers are inadequately filled in the health delivery structures and therefore some functions are not being performed regularly and consistently across the country. In the primary education field, it was stressed that head teachers are expected to combine the responsibilities of teaching and school administration, and in addition, school bursars are not provided for, thus undermining both teaching and administrative responsibilities. Principles of restructuring that take into account sector specific issues, such as sector standards, were indicated as inadequate, while service delivery chains and output maps to guide the restructuring process are not well defined (FGD, MoPS, MoH, MoES).

Respondents indicated some other issues that need to be taken into account in the restructuring process. These include: (i) demographic trends; (ii) work rhythms, such as shifts for medical staff; (iii) requirements for leave; (iv) promotion and career progression; and (v) bureaucratic processes, procedures, and practices (Informants, Health Service Commission). Of the respondents who completed the self-administered questionnaire, about 66% confirmed that the form of the institutional structures was affecting the implementation of ROM, while 15% were neutral and only 19% disagreed.
7.4.2 Implementation of a decentralized performance and service delivery system

In the theoretical analysis, the balance between centralization and decentralization emerged as an issue at the heart of discussion regarding performance management and service delivery. The underlying assumption was that decentralization promotes the participation of citizens in the decision making process and thus the legitimacy of government. The empirical study sought to establish the adequacy of decentralized structures and the extent to which decentralization in Uganda has contributed to improvement in the results oriented performance management and service delivery system.

Respondents from the Ministry of Health and the Ministry of Education and Sports had mixed reactions towards the matter. Respondents from the Ministry of Health were generally of the view that the structures at the local government level are inadequate to provide quality health care. Worse still, they observed that many of the structures that are in place are vacant, with no staff to occupy the established posts. A dominant view was that health care delivery at hospital facility level should be recentralized and that efforts should be made to make health service delivery units functional (FGD, Ministry of Health).

There were mixed perceptions from respondents in the education sector. At the policy ministry level, respondents were of the view that efforts had been made to define the staffing requirements for primary schools and that it was now up to the respective local governments to allocate these staff ceilings to the schools. A more dominant view was that despite the challenges of decentralization, it would no longer be possible to manage primary education from the centre (FGD, MoES). Despite the scepticism voiced in the FGDs, however, in the self-administered questionnaire, 71% of respondents indicated that decentralization had indeed enhanced results oriented performance management and service delivery, with 15% remaining neutral and 14% disagreeing. Detailed responses are indicated in Annex 2 (a-v).

Mixed voices also emerged regarding what decentralization is on paper and how it is implemented in practice. Respondents were of the view that while the legal framework is adequate, the established posts remain unfilled and central government funding for decentralized services is inadequate. Respondents further indicated that some critical posts, such as those of chief administrative officers, had been recentralized, indicating a rethink of decentralization strategies (FGD, Kabarole District; Manyak and Wasswa Katono, 2000; Oxford Policy Management, 2008). One informant expressed the view that decentralization should help to create a meaningful impact in terms of having government felt by the people, influencing the way in which services are provided to suit unique requirements, and creating a system that promotes participation and ownership of programmes (Informant, Tororo District). Responses obtained from FGDs at the higher local government level (district level) indicated that, overall, the policy of decentralization is well regarded (All FGDs in LGs); for example, it has
provided the opportunity for local governments to identify and discuss local priorities and develop and implement plans.

Despite some positive aspects, respondents also indicated the continued establishment of new administrative units, at the expense of actual service delivery, as a challenge of decentralization. The higher administrative units have become many and small (FGD, Kabarole District). A clear picture of the trend in growth of local governments, underpinning the concerns voiced by the various respondents, is indicated below.

According to informants, the increase in the number of local governments implies an increased number of lower administrative units (FGD, Kabarole District). An example of this is illustrated below.

**Table 7.1: Number of local government administrative units**

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<tr>
<th>No.</th>
<th>Administrative unit/level</th>
<th>Number of administrative units in Uganda</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>District local governments (including Kampala Capital City)</td>
<td>112</td>
</tr>
<tr>
<td>2</td>
<td>Municipal councils</td>
<td>22</td>
</tr>
<tr>
<td>3</td>
<td>Town councils</td>
<td>174</td>
</tr>
<tr>
<td>4</td>
<td>Sub-counties</td>
<td>1,382</td>
</tr>
</tbody>
</table>


Respondents were also of the view that the approved service delivery structures for each local government are inadequate, as each small unit is required to provide more or less standard public services. In addition, “infrastructure is not adequate, for example office facilities. Creation of a new administrative unit in some cases resulted in the loss of a facility by a lower administrative unit” (Informant, Kabarole DLG). A number of other challenges affecting the implementation of decentralization were also identified. According to an informant in Gulu DLG:
Decentralization may in effect lead to different levels and quality of service delivery because local governments are different in some aspects, amongst which include: (1) Tribal differences, where a local government is not constituted by a homogeneous tribal group. There is struggle to pull resources, financial and human, including job vacancies amongst the tribes; (2) Poverty levels are different. Some local governments are better endowed in terms of natural resources than others; (3) Political differences exist. While some local governments have developed capacity to focus on issues other than political rivalry, others have not. Personal agenda finds its way into policies and the separation of political and technical roles is very difficult in those circumstances. Specifically, in Gulu District Local Government, however, it appears that the effect of the war has enabled the people to focus on the common issues that affect them, as opposed to their political differences (Informant, Gulu DLG).

Another finding that was highlighted by respondents is that the quality of service delivery within a local government may vary. Taking an example from the education sector, respondents acknowledged that there is a difference in terms of the performance of the entire district compared to that of urban areas. This was attributed to the:

value attached to education being different in the rural and urban setting. Parents in the urban setting are perceived as being more willing to support and contribute to the education of their children. Children in the urban setting have regular access to meals and are less subjected to domestic chores compared to their counterparts in the rural area. In addition, they are more exposed to modern facilities, for example lighting and television in the urban setting that enhances their learning environment (FGD, Gulu, Tororo, and Luweero Districts).

These responses are similar to those obtained at the service delivery facility level. Respondents feared that gaps in the implementation of the decentralization policy across the nation are increasing the gap in the quality of public services accessed by citizens in different parts of the country.

7.4.3 Structures at the service delivery level (schools and health units)
Similar to the concern for the structures at policy ministry and local government level, an important issue is the provision of appropriate functional structures at the service delivery facility level. Public servants at service delivery facilities are directly responsible for the delivery of public services to citizens. Respondents at this level were requested to indicate whether the structures in place are adequate for providing the expected public services. The responses obtained are presented in accordance with the two sample sectors of education and health.
Informants in FGDs were generally of the view that the structure of educational facilities does not take into account management responsibilities and promotional levels, which has a detrimental effect on the actual number of teachers in the classroom (FGD, Luweero District). At the primary school level, the posts of head teacher, deputy head teacher, principal education assistant, senior education assistant, and education assistant are provided for in the teachers’ scheme of service, but they are not mapped within the structure and are not taken into account in the staff establishment for a school (Informant, Education Service Commission). For instance, staff establishment guidelines are provided to the districts, which indicate a set staff number per district that must be distributed among the individual schools at the local government level depending on the number of enrolled pupils. Although each school must have a head teacher and deputy head teacher, the staff ceilings do not include defined promotional posts of principal and senior education assistant, which can result in the failure to fill these posts (Informants, Education Service Commission and Luweero District). Respondents also indicated that there appeared to be uneven distribution of teachers in the schools within the staff establishment provided to the districts. In some schools, the teachers on the payroll were not adequate for all the standard seven classes, necessitating the employment of some additional teachers outside the payroll (FGD, Kabarole District).

Furthermore, respondents pointed to an issue related to the ranking of schools, whereby, according to the system prior to decentralization and UPE, each school had been ranked from Grade I to Grade IV, based on a range of factors such as infrastructure, enrolment, and size of the central government grant (with Grade I being the highest and Grade IV the lowest). The implementation of the UPE policy has made it difficult to stick to this former grading system, especially because of the large numbers of pupils being enrolled in UPE schools. It was thus common to find Grade IV schools, which had insufficient infrastructure, with an enrolment number equivalent to or exceeding Grade I schools (FGD, MoES). Respondents therefore questioned the rationale of applying the grades in the appointment of head teachers, knowing full well that the system of grading no longer functions. In addition, one respondent indicated that the staff establishment does not take into account the fact that a teacher may at some point be officially absent from their station, for example due to maternity leave or sickness (Informant, Education Service Commission).

Regarding the health sector, respondents were of the view that efforts have been made by the Ministry of Health and the Ministry of Public Service to define the staffing provisions for the various grades of health facilities. Services provided at the different levels have also been defined. This is complimented by secondary information that indicates that “the health services are structured into National Referral Hospitals (NRHs) and Regional Referral Hospitals (RRHs), General Hospitals, Health Centre (HC) IVs, HC IIIIs, HC IIs and Village Health Teams (HC Is) (Ministry of Health Uganda, 2010b, p.3). According to the respondents,
however, the following aspects were not taken into account when providing for structures at the different levels: (i) different critical professional requirements, e.g., anaesthetist, radiography, and mental health; (ii) outreach programmes; (iii) various types of leave, e.g., maternity leave, annual leave, or sick leave; (iv) work shifts; and (v) the number of patients to be attended to (FGD, MoH; Informants, Health Service Commission). In addition, concern was raised that the Village Health Teams, which constitute the Health Centre I level and rely on members of the community, are ineffective as the communities have not embraced the practice. It was proposed that trained personnel should be allocated to the teams (Informant, Ministry of Health).

It emerged from all the FGDs in the four DLGs that the structures are not fully functional due to vacant posts. According to respondents, health facilities operate at about 55% of their established personnel capacity. Furthermore, strict adherence to job descriptions would frustrate and compromise service delivery at the various levels. In light of inadequate structures and staffing levels, many staff members at health centres perform functions that they would normally not be required or expected to do, a practice that is formally known as task shifting (Informant, Kabarole DLG). One of the informants was of the view that the grade of a facility should depend on the resources availed to it: “It is no point calling a facility a hospital or a referral hospital when in effect it cannot provide those services” (Informant, Gulu National Referral Hospital). A similar view was that:

> discussing inappropriateness of structures does not help unless the structures are made functional. One cannot tell if a structure is performing or not if it is not fully made operational. The problem is that people complain about structures that have not been applied at all (Informant, Ministry of Health).

Overall, respondents indicated that the structures for service delivery are constrained both in terms of design and the high number of vacant posts, and this greatly affects service delivery at the facilities.

### 7.4.4 Administrative arrangements for the provision of public services

As indicated in Chapter Two, section 2.3.3, the goal of results oriented public service has necessitated examination of the adequacy of the traditional administrative system. Notwithstanding its limitations, as earlier discussed in Chapter Two, it emerged that the more developed an administrative system is, the more responsive it is likely to be to performance management and service delivery reforms. The empirical study sought to establish whether the administrative mechanisms of the public service in Uganda could support ROM and be responsive in the delivery of public services.

Respondents indicated that restructuring and decentralization have not reduced red tape. The issue of multiple reporting relationships, especially for staff in local
governments as well as the different sector ministries was also identified as a challenge by the respondents in local governments (FGD, Kabarole District). This poses a dilemma, as inadequate monitoring and supervision was identified as a challenge at the different levels, as indicated in the table below.

Table 7.2: Adequacy of supervision by a central government MDA or local government

<table>
<thead>
<tr>
<th></th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly agree</td>
<td>3</td>
<td>2.5</td>
</tr>
<tr>
<td>Agree</td>
<td>35</td>
<td>29.4</td>
</tr>
<tr>
<td>Neither agree nor</td>
<td>27</td>
<td>23.7</td>
</tr>
<tr>
<td>disagree</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Disagree</td>
<td>44</td>
<td>37</td>
</tr>
<tr>
<td>Strongly disagree</td>
<td>10</td>
<td>8.4</td>
</tr>
<tr>
<td>Total</td>
<td>119</td>
<td>100</td>
</tr>
</tbody>
</table>

Respondents indicated that the challenge prevails mainly for two reasons, namely the lack of capacity to cover all local governments and inadequate reporting systems and relationships. Another challenge encountered is that there are delays in response to requests for guidance from the centre regarding areas where the centre maintains policy direction. Subsequently, there are delays in service delivery or addressing emergency situations (FGD, Kabarole District). Another contrary view was that decentralization imposes new challenges on the central government, and that it is the centre that lacks capacity to address decentralization challenges (Informant, Ministry of Health).

Overall, the findings indicate that structural issues are regarded as important at all levels in the policy areas of study and thus affect ROM and service delivery. They centre around capacity issues (inadequate numbers of staff), different professional requirements, reporting, and supervision, all of which affect the functionality of structures. As a result, some public servants, especially in health facilities, perform tasks that are not part of their formal position.

7.4.5 Private providers of public services

The analysis of the reforms in Western countries shows that although private providers are very important in the delivery of public services, the role of government is still critical. Although privatization in Western countries was pursued as a reform objective, health and education facilities were not privatized, but policies were liberalized to allow for private providers of these services. In the UK and the Netherlands, a rather complex interaction of public, private, and semi-public organizations is in place. For example, in the Netherlands, it is legally obligatory to have health insurance, and private health insurance companies are very important and influential as they provide a large part of the funding for health services. Criticism has arisen, however, based on the perception that a non-functioning market for the health service has been created.
Specific questions in the self-administered questionnaire were put to respondents in MDAs and LGs. These questions were centred on the appropriateness/adequacy of the legal framework covering the private providers of public services, the source of funding for the private public services, the availability of basic infrastructure in private facilities to provide public services, and the adequacy of human resources. The general findings arising from the questionnaire indicate that 47% of respondents were of the view that the legal framework for the provision of private public services is adequate, while 19% were neutral and 34% did not agree. Regarding the infrastructure for providing the services, 44% were of the view that private facilities have adequate infrastructure, while 20% remained neutral and 36% indicated that the infrastructure is inadequate. On human resources management, 52% of respondents stated that it is inadequate, 17% maintained a neutral position, and only 31% perceived human resources in private facilities as adequate. Detailed information on this is indicated in Annex 2 (d).

Aside from responses from the questionnaires, some key informants from private not-for-profit providers of public services were interviewed and the experience outlined below emerged:

this hospital is historically faith-based. Its mission is to provide quality services to the vulnerable and weak members in the community. The culture at the time of its establishment still plays a big role in the way services are delivered. The facilities at the hospital are functional. Drugs are available and, overall, the working environment is good. As a private not-for-profit hospital, the areas of partnership with the government include: training of personnel, reference of patients, emergencies like screening and surveillance, and sharing facilities. Government also acknowledges that the hospital is complimenting its services and therefore provides it a subvention (Informant, Lacor PNFP Hospital, Gulu).

A general view that was expressed by respondents is that those who can afford to pay prefer to seek services from private facilities (All FGDs). Following the policy of liberalization under the reforms, respondents indicated that there are now many more profit-driven private schools and hospitals. To this effect, the Uganda National Household Survey (2010) indicated that 51.6% of patients in urban areas and 43% of patients in rural areas visited private clinics as their first point of contact, compared to 10% of patients in urban areas and 27% in rural areas visiting government health service units (Uganda Bureau of Statistics,
2010). Asked why service recipients preferred to go to a private health facility, informants indicated that it was a question of perception. Most people believe that private services are better than government services, even where a government facility may be in a position to provide a similar service of better quality. Respondents also indicated that sometimes it is better to pay for a service in a private health facility, where one is guaranteed to obtain the required service, compared to a government health facility where a service that is expected to be ‘free’ may not be available (Informants, Luweero, Tororo Districts). An analysis of both the theoretical and empirical findings on organizational structures is made below.

7.5 Analysis and interpretation of findings on institutional structures
The theoretical analysis indicates that redefining the role of government through restructuring, decentralization, and privatization of public services has been a key strategy for improving performance management and service delivery, although it has not always produced the desired results. Empirical findings also point to this. The analysis of the empirical findings is centred on how the rationalization of the role of government, the decentralized service delivery system, the administrative machinery for public service delivery, and the role of the private sector facilitate or curtail the implementation of ROM.

7.5.1 Rationalization of the role of government
While the rationalization and review of structures has been a main focus of the public service reform programme, empirical analysis reveals that the resultant institutional structures are inappropriate, mainly for three reasons. First is the overall strategic set-up of the government structure, which includes the grouping of functions and division of tasks among ministries and agencies. Findings indicate a growing concern over the increasing number of agencies or units that have been set up to perform similar functions, resulting in fragmentation and overlapping mandates and problems in coordination. Second is the design of the specific structures of institutions. Within the different sector organizations, respondents raised issues regarding the design of structures in relation to the specific functions and services that they are expected to provide, indicating that the structures are inadequate in terms of grading and number of staff positions. This is related to the third issue, which is the degree of adequacy in terms of implementation of approved structures. Respondents indicated that a glaring gap exists between what an approved structure is on paper and the level of functionality arising from how it is implemented. The perception of respondents is that this challenge arises from a variety of reasons that include inadequate wage bill provision, delay in filling vacant posts, and failure to attract and retain appropriate staff. This problem was expressed in both education and health ministries, as well as in local governments.

The perception of respondents was that a structure that operates at 55% or less in terms of required staff capacity cannot provide sufficient services. In effect,
this implies that service recipients should perhaps at best expect only half of the intended public service, and in some cases no service at all, where for example a post with a specialized skill like that of a midwife, an anaesthetic officer, or radiographer is vacant. Findings also reveal that structures in the public service do not match the ideal standard of what a structure ought to be in terms of the ratio of staff to service recipients. A contrary perception that emerged in the findings is that discussion of the inappropriateness of structures is unhelpful unless the structures are made functional. One cannot tell if a structure is performing or not if it has not been made fully operational. This point is in line with the theoretical analysis presented earlier, which indicated that restructuring should not always be the first and only solution to performance issues, as it might turn out to be a case of amputation before diagnosis, thereby resulting in a casualty. According to the theoretical analysis, a contingent approach to ROM would take into consideration the unique requirements at hand for each organizational structure in order for it to meet the expected results. Notwithstanding the fact that structures are in some cases seen as inadequate, there was also concern regarding the cost efficiency and effectiveness of big structures and the focus on rationalization, as was discussed earlier in the theory section.

The extent to which the observation regarding the bloated nature of the public service – as was made before the initiation of the reforms – is still valid, is an indication of a rationalization process that has not yielded very positive results. Both political and administrative structures have increased in terms of the number of organizations, administrative units, and staffing. As indicated in section 7.4.1 above, a general perception of respondents is that a structure is not just a mechanism for service delivery but also represents resources and power. These considerations have sometimes outweighed the rationale of putting in place a structure to provide a service; for example, respondents’ concern over the setting up of parallel structures in MDAs and the creation of new agencies and additional local governments instead of addressing performance gaps. The bigger problem, however, is about organizations that go out of their way to perform the functions of other organizations without formal restructuring processes. Regarding the perception that a manager can work with fewer staff, the scope for eliminating underutilized jobs is a complex question because it is not clear that a manager who employs fewer staff is efficient or effective, since there may be tasks that are underperformed or not performed at all. In any case, managers are in effect working with fewer staff compared to those provided for in the structure. An effective support supervision framework to ascertain the state of affairs is still limited. The issue of structure becomes even more complex against the background of a decentralized service delivery system, as analysed below.
7.5.2 Decentralized service delivery system

The theoretical analysis indicates that even in the context of Western countries, the processes of centralization and decentralization have gone back and forth. Decentralization concerning the local execution of programmes has been undertaken within centrally determined boundaries and budgets, especially in Western countries that have formed strong regional bodies like the European Union (European Union, 2013). Indeed, a level of relative stability has been achieved in the Western setting, even when coordination of the numerous semi-autonomous agencies remains a challenge. Most countries in SSA have also gone through experiences of decentralization and recentralization, but without achieving the optimal stability or balance in terms of what should be centralized and what should be decentralized. Findings on the benefits of a decentralized performance and service delivery system indicate that overall, the policy of decentralization is appreciated. Respondents indicated that decentralization has increased participatory planning and brought about infrastructure where it was not previously available. Decentralization has also taken the process of supervision to the local level. Generally, as indicated by some respondents, decentralization has contributed to making government felt by citizens.

A number of challenges were identified, however. Some of the challenges were of a general nature; for example, attraction and retention of staff in some local governments, resulting in vacant posts over long periods of time. Some challenges were specific to each of the two sectors; for example, decentralization of specialized skills in the health service. The ability to attract and retain health workers in some parts of the country is more challenging than for the education sector. There remains, therefore, an argument for the centralization of medical officers, in order to enable them to be deployed and rotated in accordance with the different disease patterns and skills requirements in the country. Specifically concerning the education sector, although universal primary education is faced with a number of challenges, respondents were more in agreement that it would be unfeasible to manage it from the centre, taking into account the number of teachers and pupils involved.

An important aspect of the decentralized service delivery system in Uganda that was also highlighted as a challenge by the respondents was the creation of additional local governments. The general perception arising from the empirical findings is that the creation of additional local governments reduces the capacity of the previously existing local governments to perform and increases operating costs at the expense of actual service delivery. Local interference in the management of performance and public service delivery was also perceived as a challenge, which affects uniformity and consistency in service provision. There is a high risk that gaps in the implementation of the decentralization policy across the nation are increasing the gap in terms of the quality of public services accessed by citizens in different parts of the country. Local governments are not the same, especially in terms of local leadership capacity, natural endowment of
resources, human resource capacity, and cultural norms. There are also questions regarding whether decentralization has enabled participation and ownership or has instead led to further disintegration of districts into tribal groupings focused on meeting local political objectives at the cost of the national outlook for the country.

The increasing fragmentation of the public service stands out as a main concern voiced by most respondents. In addition to the arguments raised by Yahaya (1999), the First Annual Review of the implementation of Uganda’s Africa Peer Review Mechanism (APRM, 2009) also observed that:

decentralization has the potential of being used to manage diversity, as it could enable communities to deal with matters that are relevant to their particular circumstances and are best dealt with at their level. However, if not handled properly and responsibly, decentralization could also impede the proper management of diversity. The politicisation of ethnic minority issues could result in increasing tensions and instability (Ibid., 2009, p. 296).

Similar concerns were voiced by the respondents, as discussed in Chapter Five, sections 5.4.1.3 and 5.4.2.3. The general perception of respondents was that both centralization and decentralization have associated challenges. For example, the recentralization of the management of chief administrative officers led to mixed reactions. One interpretation was that this was being driven by the negative level of political interference that chief administrative officers were faced with. On the contrary, some respondents thought that it was a move by central government to undermine decentralization and maintain central control over local government.

7.5.3 Functionality of the administrative set-up of public service organizations

From a centralized or decentralized service delivery perspective, empirical findings still raise concerns that restructuring and decentralization have not addressed the issues of bureaucracy, as discussed earlier in sections 7.4.1, 7.4.2 and 7.4.4. The level of adherence to formal procedures in the public service delivery system is still low with some services sought and provided outside of the established bureaucratic process. The most common form is not following the queue or seeking the support of someone known or perceived to be influential in order to access a service. In addition, respondents were of the view that some of the systems and processes are poorly defined. Examples given were access to the payroll, changes in structures and approval processes for filling vacant posts, and mechanisms for addressing complaints. Similar concerns were raised, for example, in terms of attending to patients or seeking admission in a school. This state of affairs promotes nepotism and lack of transparency, and blurs lines of accountability.

Another issue regarding inefficiency and ineffectiveness of the administrative machinery is related to concern for due process as opposed to delivery of a
service. Drawing from an example provided by Bouckaert and Halligan (2008, p. 70), submitting a form according to the requirements and following the format has become more important than its content. As a consequence, the potential and intended use is limited. Concern for due process becomes the essence of performance. Therefore, what in effect seem to be challenges attributed to bureaucracy are not so in a true sense, because the bureaucracy in SSA is underdeveloped and in some cases dysfunctional.

Development in public bureaucracy in SSA in terms of the functionality of administrative structures, procedures, and processes therefore, requires localized solutions that are still lacking. Dysfunctional bureaucracy has roll-out effects, most of which lead to lack of confidence in processes and procedures, as modern bureaucracy is superimposed onto traditional SSA bureaucracy, which, as discussed earlier, is not fully developed in the Weberian sense. As a result, most public servants are busy fulfilling others’ job responsibilities because the administrative set-up does not work; at the same time, they are creating room for or directly undermining their own core responsibilities in terms of time and focus.

According to Osborne and Gaebler (1992, p.192), it is critical that “customers should be able to sort through their options without having to sort through the complex bureaucracy behind them”. The authors liken service delivery systems to infrastructure and argue that customers can still appreciate how the system operates without being exposed to unnecessary detail (Ibid., 1992). This argument, however, is not entirely sustainable because customers are inevitably interested in the cost and quality of public services. More citizen participation should involve the simplification of complex processes to avoid unrealistic demands and solutions. Infrastructure, which in this case is likened to a results oriented approach, does matter in the delivery of responsive quality public services. Citizens are concerned with both the process and quality of results. For example, according to the findings, having no staff to provide a service causes delays in the process, while having staff who provide services contrary to their professional specialization contradicts the expected quality.

The theoretical analysis identified challenges of putting in place a new structural arrangement to solve an issue, instead of addressing gaps in the existing structure. The perception is that multiple and parallel structures result in under- and/or over-reporting procedures and processes that are falsely attributed to bureaucracy. Some other examples include traditional structures (where these exist), and religious structures. There is a case for using traditional and religious structures to provide public services, since the population is likely to have confidence in them. In the SSA setting, it is a combination of modern bureaucracy and African bureaucracy that has not fully developed into its own unique form. According to the theoretical analysis discussed earlier in Chapters Two and Five, the perceived focus on consolidation of power as opposed to
services and the influence of funding agencies may not allow the process of developing a distinctive bureaucracy in SSA to yield fruit. Sometimes, development partners have set conditions for a form of structure that they wish to see and have become involved in influencing organizational mandates and migrating functional responsibilities, knowingly or otherwise. Political leaders and administrators/professionals may also take advantage of such situations for their own personal benefit. African bureaucracy is therefore neither African nor modern. This affects the pace at which a ROM approach is adaptable in the public service.

7.5.4 Private providers of public services
The theoretical analysis indicates that in Western countries, despite the fact that privatization is faced with a lot of criticism, a dominant perception still prevails that public services should be privatized in order to promote choice and efficiency. Considering the challenges posed by privatization, there is appreciation that a public service cannot be provided in exactly the same manner as a commercial service in the private sector. The empirical study thus sought to establish the role that private providers play in the provision of public services in Uganda, specifically in the sectors of education and health.

It generally emerged that a large percentage of partnerships in the health sector are private not-for-profit (PNFP) and are supplemented by the government. This was appreciated by the respondents as a very good principle, as it shows that the government recognizes that it does not have the capacity to provide all services itself. In the education sector as well, there are many schools that have been established by faith-based foundations, which operate according to an agreed understanding with the government. Within the context of this research, two key issues make private services distinct from government services, namely the objective of the private provider, be it service to underprivileged people or making profit and the payment of user fees, be it at market rate or cost recovery.

It was a general perception of respondents that services are more responsive in private schools and clinics, even though such responsiveness is not always there in practice. This is likely to be because there is more certainty that a service user will obtain a service that they have paid for. A general contrasting view that emerged was that although they are generally not in good condition, government facilities actually have better infrastructure and better qualified personnel than private facilities, but are not being put to effective use. In addition, there was a general perception that the legal framework is inadequate, supervision of private providers is weak and human resource management practices in some cases worse in private than in public facilities. Not all service providers are operating at the same level; a few are believed to be functioning well, but there are also those that are barely up to standard.

Arising from the above analysis of institutional structures, the emerging issues are indicated in the table below.
Table 7.3: Summary of issues of organizational structures

<table>
<thead>
<tr>
<th>Reform issue</th>
<th>Strategy/initiative</th>
<th>Contradictions/Challenges</th>
</tr>
</thead>
</table>
| Rationalize/central government structures and redefine the role of government. | Rationalization and restructuring undertaken. Mandates, mission statements, objectives defined.  
Staff establishment to guide budgeting and recruitment determined.  
Non-core functions divested and decentralized. | Overlaps still exist between MDAs.  
Cost efficiency of restructuring and functionality is not established.  
Management style of autonomous and semi-autonomous agencies similar to agencies that were abolished. |
| Decentralize the service delivery system. | Legal framework for managing decentralization is in place.  
LGs created and restructuring undertaken.  
Service delivery facilities brought closer to the people. | The number of LGs drastically increased.  
The structures of LGs have not been reviewed to take into account their increased number.  
Decentralization is not equal to improved service delivery. Strong central government control over LG. |
| Streamline the administrative machinery of government | Divestiture of non-core functions and creation of semi-autonomous and autonomous agencies.  
Decentralization of service delivery. | Procedures and processes still perceived as promoting red tape.  
Development of bureaucracy faces both structural and cultural challenges. |
| Promote private provision of public services | (Some) services privatized. Partnership for delivery of public services within the private sector, including profit and non-profit organizations, has improved. | The private sector is not yet well developed.  
The legal framework for partnerships needs to be developed and enforced. |

Empirical findings in the two policy sectors indicate that the structure of organizations, including those of service delivery facilities, affects the results oriented approach to performance management and service delivery. As discussed earlier in sections 7.3.1 and 7.3.2, the political structure of a country also influences its administrative structure, for example with regard to the establishment of new administrative units and the objectives of centralization or
decentralization. Furthermore, in section 7.4.1, respondents raised concerns that a lot of effort within the reform programme has been committed to rationalization, the review of structures, and downsizing of the public service. To a great extent, rationalization and standardization of the form of structure that an MDA or LG should ideally be expected to have has taken place. Restructuring should not, however, be the first and only solution to performance management issues and challenges. As discussed in sections 7.2.1 and 7.3.1, in the context of both Western and SSA countries, it is observed that restructuring undermines the capacity of institutions and may cause more problems than it is intended to solve, for example where new administrative units are created or vacant posts not filled. It has also emerged from both the literature and empirical findings that it would be helpful to review the implementation of decentralization in order to preserve the national outlook of public services and minimize compromise in terms of performance and service delivery standards. In addition, bureaucracy is an integral part of structures and processes, but as indicated earlier, what is often blamed on bureaucracy in the Ugandan context is not entirely representative of the government organization. Related to the issue of structures is the question of human resources management, which is presented in the following chapter.
CHAPTER EIGHT

THE POSITION OF HUMAN RESOURCES IN PERFORMANCE MANAGEMENT AND SERVICE DELIVERY

8.1 Introduction

Human resources are an important aspect of performance management and service delivery, as indicated earlier under Chapter Two. In this chapter, a theoretical analysis of human resource management (HRM) in Western and SSA countries is made. Thereafter, empirical findings based on the Ugandan situation are presented. The analysis takes into consideration the key issues of focus in the reform of HRM, namely the size of the public service, the cost of human resources, the modalities for the appointment of public servants, staff performance appraisal, staff development and pay, and the decentralization of HRM.

8.2 Theoretical analysis of human resource management in Western countries

8.2.1 Traditional approach to human resource management in Western countries

The starting point for the analysis of the position of human resources in performance management is the traditional public administration system. In this system, the public service was assumed to be:

under the formal control of the political leadership, based on a strictly hierarchical model of bureaucracy, staffed by permanent, neutral and anonymous officials, motivated only by the public interest, serving any governing party equally, and not contributing to policy but merely administering those policies decided by the politicians (Hughes, 1998, p. 22).

Furthermore, it was assumed “that results would follow naturally from organisation” (Ibid., 1998, p. 44), and therefore the focus was on “process instead of outcomes, and on setting procedures to follow instead of focusing on results” (Ibid., 1998, p. 22). Accordingly, a public servant was assumed to be appointed on permanent basis; attain promotion based on seniority; and be part of one national public service (Pollitt and Bouckaert, 2011). The pressure to ensure value for tax revenue, as indicated in the previous chapters, the shift in focus to results and the requirement to control costs influenced not only the management of financial resources and the rationalization of government structures, but the management of human resources as well. Strategies for managing human resources to address the changing dynamics of public services and the challenges of the traditional model of public administration had to be identified.
8.2.2 Downsizing as a strategy for human resource management reform
As indicated in Chapter Two, the pressure to contain personnel costs necessitated implementation of downsizing strategies that included freezing salary increases and reducing the number of public servants (United Nations, 2005). In line with this requirement, “politicians wanted civil services which were more flexible and responsive, more focused on getting results, more skilful and, if possible less numerous (and therefore less expensive in total)” (Pollitt and Bouckaert, 2011, p. 89). Consequently, member countries of the OECD downsized their public services. Despite these efforts, however, downsizing did not achieve the expected results and fundamental issues remained unresolved (United Nations, 2005). Experience indicated that “numbers-driven reductions carry risks for good management and organisational capacity, and produce rigidities that hinder rather than contribute to efficiency gains” (OECD, 2005, p. 164). During that period, however, downsizing was sustained because personnel changes seldom came first on the reform agenda. It was much more common for them to follow—sometimes at a considerable distance—innovations in financial management, organizational structures, and management techniques (Pollitt and Bouckaert, 2011, p.89).

Arising from the shortcomings in downsizing as a strategy for reform, “in recent years it has become commonplace for organizations to suggest that human resources are their most important asset” (Bach, 2001, p.4). Pollitt and Bouckaert, (2011, p. 89) argue that the “positioning of human resource management (HRM) reform as last in the line certainly changed with the GEC, when HRM reform itself became a way of achieving desperately needed economies”. The effects of the crisis, however, continue to undermine human resource reforms (Ibid., 2011). A number of responses to the crisis have been adopted by different countries and government organizations. The long-term loss of human capital, however, is not taken into account in the implementation of short term measures to address the crisis (Fodor and Poor, 2009; Raudla, Savi, and Randma-Liiv, 2013).

Other challenges arising from the crisis include an aging population, the pressures on pension funds, and the focus on competence (United Nations, 2005), all of which affect the building and sustaining of a result oriented public service. Besides the pressure to downsize, HRM reforms now cover a wide range of strategies. According to the OECD (2005, p. 170), “the individualization of HR practices is at the heart of the reforms aiming at increasing the responsiveness of the public service”. The OECD further indicates that “the trends towards individualisation have mostly taken place around the selection process, the term of appointments, and performance management and pay” (Ibid., 2005, p. 170). These strategies are discussed in the paragraphs that follow.
8.2.3 Reforming the recruitment process to support performance management

In addition to the downsizing of HRM, there is an emphasis on the recruitment of appropriate personnel as a strategy for enhancing the performance of the public service. As indicated in the World Public Sector Report (United Nations, 2005, p. 83), “strengthening appointment on merit is one of the simplest, most powerful ways in which governments can improve their effectiveness”. In this regard, “crucial to civil service laws has been the reform of personnel management into a more objective system of recruitment and selection securing the hiring of qualified and skilled civil servants” (Van der Meer, Steen and Wille, 2007, p. 35). This assumes that conformity to well defined recruitment processes results in securing appropriate personnel. Evans and Rauch (1999) indeed argue that there is a positive relationship between recruitment on merit and economic growth of a nation.

Aside from recruitment on merit, another area of HRM reform under NPM is the nature of employment contract. Some jobs in the public service are open to competition, in most cases on contract terms of employment, with well defined results and expected pay (Pollitt and Bouckaert, 2011). A dilemma regarding linking appointment to performance and employment on permanent terms has emerged. The most important criterion for appointment is assumed to be performance as opposed to the factors under the traditional model of administration. It is not feasible, however, to implement this reform for all public servants, since some are still employed on permanent and pensionable terms (Ibid., 2011). Prior to the merit principle, other systems of recruitment existed. For example, in the United States: “there existed the spoils system of administration, derived from the saying, to the victor belong the spoils”(Hughes, 1998, p. 24). Under that system, administrative jobs were the preserve of appointees from the winning party every election cycle:

such a system was neither efficient nor effective. Citizens did not know where they stood when government administration was, in effect, a private business in which government decisions, money and votes were negotiable commodities (Ibid., 1998, p.25).

Despite these criticisms, this system appears to exist, in differing degrees and style, in many countries. The balance between merit, competence and allegiance continues to be an issue that affects countries in the West, as it does in SSA.

8.2.4 Decentralizing human resource as a strategy for enhancing performance

In line with NPM, human resource management was decentralised as a strategy for enhancing performance (Farnham and Giles, 1996; OECD, 2005; Van der Meer, Steen and Wille, 2007; Pollitt and Bouckaert, 2011). This involved “decentralization of HRM responsibilities from centralized staff organizations to line departments and agencies, and the further devolution within departments
and agencies to line managers” (Van der Meer, Steen and Wille, 2007, p. 38). In addition, different terms and conditions were applied, enabling line managers to recruit and terminate based on unique local circumstances (Pollitt and Bouckaert, 2011). This paved the way for individual contracts under fixed terms of employment (Farnham and Giles, 1996). The assumption was that it would ease the practice of holding managers responsible and accountable for performance (OECD, 1997; Hughes, 1998; OECD, 2005). There are however, questions regarding the decentralisation of HRM and the differentiation of contracts. As a result, “deregulation to let managers manage is typically accompanied by re-regulation that imposes new, and perhaps more burdensome, constraints” (United Nations, 2005, p. 58).

The discussion above indicates that while decentralisation may increase managerial responsibility over HRM, it is also challenging in ways similar to decentralisation of public service structures, as discussed under chapter 7, section 7.2.2. It would appear that for example, decentralisation increases administrative costs. These important lessons from the West inform the analysis of decentralization of HRM in a SSA context that is faced with numerous HRM challenges.

8.2.5 The dilemma of linking pay to performance
Performance related pay (PRP), perceived as “one of the most widely copied private sector practices” (Farnham and Giles, 1996, p.123) under NPM, was an important aspect in the decentralization of HRM. A significant risk of PRP however, “is the fact that the objectives rarely have anything to do with the organization’s key results: the quantity, quality, and cost of its services” (Osborne and Gaebler, 1992, p. 156). Among other considerations, it is argued that:

- while performance –related pay is theoretically an ideal way to reward merit in the public service, its implementation is often riddled with difficulties. ...policy makers often do not have an adequate understanding of the complexities involved in administering such a system (United Nations, 2005, pp. 58-59).

Aside from the challenges encountered in its implementation, theoretical evidence suggests that a focus on PRP may not be ideal due to its likely negative effects on intrinsic motivation (Perry, Hondeghem and Wise, 2010), and may therefore be unsustainable as a strategy for ROM. As indicated earlier in Chapter Two, according to the human relations theories, people have an inherent commitment to work in order to contribute to the objectives of their organization.

8.2.6 Staff performance appraisal, staff development, and common values
Staff appraisal is one of the aspects of HRM reform that affects service delivery. Armstrong (2006, p. 500) contends that:
Performance appraisal has been discredited because too often it has been operated as a top-down and largely bureaucratic system owned by the HR department rather than by line managers. ... Performance appraisal tended to be backward looking, concentrating on what had gone wrong, rather than looking forward to future development needs.

Armstrong further indicates that questions emerged regarding the time that was being spent on appraisals and its relevancy to organizational requirements. In addition, appraisals were resented because of doubts in the competence and objectivity of managers (Ibid, 2006). It is evident that this form of appraisal had limited connection to the expected results and services, as well as the strategies for performance improvement; limitations that necessitated reform of the practice. Farnham and Giles (1996, pp. 127) indicate that arising from results oriented reforms:

- public services, borrowing heavily from private sector practice, are using annual staff appraisal systems, which principally assess staff performance in current jobs, in many cases related to targets and objectives set annually in advance. Such systems place considerably more emphasis on the assessment of individual performance.

The above notwithstanding, the authors observe that the attempt to link staff appraisals to PRP may contradict its main objective of employee development (Ibid., 1996). Considering the issues that arise against both the old approach to staff appraisal and the new open results oriented practice, the degree to which staff performance appraisal practices have been reformed is, in some cases, doubtful. Most probably, they involve some elements of both traditional and new practices. Related to staff appraisal, training programmes have been employed to:

- provide employees with skills to adapt to new management systems;
- influence employee attitudes; facilitate change; and inject new values emphasising quality, customer responsiveness, cost-consciousness, and value for money into public-service organization (Farnham and Giles, 1996, p. 128).

In that regard, every level of the public service should be considered “when planning, implementing and executing learning initiatives” (United Nations, 2005, p.101). In addition, public servants should endeavour “both individually and collectively, to learn from their own experiences, both successes and failures” (Ibid., 2005, p. 102). This underscores the importance of continuous learning and improvement. According to Perry, Hondeghem and Wise (2010), attention has to be directed to the importance of having civil servants who are motivated to provide public services to the community. Accordingly, attention to values is an important and very much appreciated aspect of performance management reform and staff training and development in Western countries.
Improving the performance of individuals involves paying attention to institutional values. According to Peters, (2005, p. 31) an “institution defines a set of behavioural expectations for individuals in positions within the institution and then reinforces behaviour that is appropriate for the role and sanctions behaviour that is inappropriate”. Related to this, Nee and Ingram (1998, pp. 33-34) assert that “the coupling of informal norms and the formal rules of the organization is what promotes high performance in organizations and economies”. This implies that notwithstanding the concern for efficiency, “if insufficient attention is be paid to the values and interests of individual members of an organization” (Denhardt and Denhardt, 2007, p. 155) motivating them becomes difficult. Promoting “ideals such as fairness, equity, responsiveness, respect, empowerment, and commitment do not negate but outweigh the value of efficiency as a sole criterion for the operation of government” (Ibid, 2007, p. 164). All these values appear to espouse a sense of belonging and ownership of the organization that subsequently leads to a search for public value.

Benington (2009, p. 238) indicates that the creation of public value takes place: “where there is the most direct interaction between public service workers and users, citizens, and communities”. This mainly depends on “the calibre, capabilities, and commitment of these front-line staff- in school class-rooms, hospital wards, neighbourhood communities” (Ibid., 2009, p.238). In this regard, Macleod and Clarke (nd, p.7-8) allude to “employee engagement.” Employees who are well engaged have the potential to positively engage citizens for the benefit of employees, the organization and citizens they serve (Ibid., nd). HRM therefore becomes an instrument not only for the provision of public services but for the creation of public value that is hinged to intrinsic value than PRP.

According to Van der Meer, Steen and Wille (2007, p. 39), “although ample time has been spent on the new vision on managing public sector employment and adapting the civil service to a private sector paradigm, new doubts have emerged”, implying outstanding issues in human resource management reforms in Western countries. The emerging issues from the analysis, and which inform the study, thus include: (i) the shortcomings of downsizing programmes as tools for controlling costs and enhancing efficiency, which result in a continuous state of anxiety among public servants; (ii) the introduction of the merit principle for recruitment; (iii) the challenges of contractual terms as opposed to permanent employment; (iv) the dilemma of decentralization of HRM; (v) the challenges of staff development, staff appraisals, and PRP practices; and (vi) the centrality of common values and principles. It is now time to discuss these issues in the context of SSA.

8.3 Theoretical analysis of human resource management in SSA
As in Western countries, some effort to implement HRM reforms in order to enhance performance and public service delivery have also been made by countries in SSA. In the Ugandan situation, the experiences under the colonial
administration and the period shortly after independence, as discussed in Chapter Two, still influence both the nature and scope of HRM reforms. As in Western countries, the initial focus of HRM reforms in SSA was on the reduction of personnel costs (United Nations, 2005). Over the years of reform, some progress has been realized in other areas, while a number of shortcomings still prevail, as discussed in the sections that follow.

8.3.1 Prioritizing downsizing as a strategy for containing personnel costs in SSA

As highlighted in Chapter Two, the pursuit of development through the public sector during the period after independence resulted in a very big public service. According to Linduaer (1994) following the fiscal crisis of the 1970s and 1980s: as the source of increasing fiscal pressure varied across countries, individual government pay and employment responses to the budgetary crisis also varied. But in general, governments tended to expand public employment, erode real government pay, compress government salary structure, and reduce expenditures on complementary inputs (Ibid, 1994, p.20).

Those measures however, appeared to have worsened the situation. Subsequently, with the support of international funding donors through structural adjustment programmes, downsizing constituted a main area of focus of most civil service reforms in SSA (Kiragu, 2002; United Nations, 2005). According to Adamolekun, (2007, p. 86):

> by the late 1980s, the overstaffing in many CSIs meant that the wage bill in the countries concerned absorbed a significant proportion of government revenues- between 40 and 60 percent in some countries.

The author further argues that those countries, therefore, conceded to implement “structural adjustment programmes that advocated shrinking the state and sharp cuts in public expenditures” advocated for by international financial institutions (Ibid, p.86). According to the United Nations (2005, p.53):

> structural adjustment measures in developing countries often resulted in a set of harsh measures that lacked support and legitimacy because of their social impact, to the detriment of other reforms that might have resulted in improvements in administrative capacities.

Unfortunately, those reforms “had little positive direct impact on delivery of public service. On the contrary, they have in most instances severely constrained both capacity building and service delivery”(Kiragu, 2002, p.3). Reducing the number of public servants was therefore inadequate as a reform strategy. Worse still, the expected effects on performance appear not to have been realised.
8.3.2 The challenges of meritocratic recruitment in SSA

In addition to downsizing, a major concern for SSA countries was to address the quality of its human resources. Evans and Rauch (1999, p. 752) contend that:

meritocratic recruitment not only increases the likelihood of at least minimal competence but also helps generate corporate coherence and esprit de corps, which in turn can be argued to have substantive effects on the motivation of individual officeholders.

The authors indeed argue that there appears to be a relationship between meritocratic recruitment and effective public services (Ibid, 1999). In line with that argument,

at the early stages of reform, governments would be well advised to focus their efforts, whenever possible, on institutionalizing a unified, merit-oriented career civil service before embarking on more complex initiatives, such as devolution of HRM and introduction of a position-based system (United Nations, 2005, p. 29).

The importance of this observation cannot be overemphasized. In particular, the theoretical analysis presented in Chapter Two linked public sector reform to state capacity (Bresser Pereira, 2004). For Uganda like other countries in SSA, this is significant, based on its experience during the colonial period and shortly after independence, where there is indication that public servants assumed responsibilities for which they were not readily prepared (Yahaya, 1999). Furthermore, the political instability that was experienced also affected the way in which public servants were being recruited. Poor performance has indeed sometimes been linked to nepotism (Ministry of Public Service and Cabinet Affairs, 1990). All this necessitated the reform of HRM.

8.3.3 Performance contracting, staff appraisal, and training and development reforms

The introduction of performance contracts (and/or performance agreements), review of staff appraisal tools and processes, and training and staff development constitute part of HRM reform strategies. According to the Economic Commission for Africa (2003, p. 20):

as part of the performance orientation in government, the common purposes of performance contracting are to clarify the objectives of service organizations and their relationship with government, and to facilitate performance evaluation based on results instead of conformity with bureaucratic rules and regulations.

The Economic Commission for Africa further argues that “this illustrates the shift in emphasis from the input and procedure-oriented controls of the past to the new paradigm of output or results-oriented controls” (Ibid., 2003, p. 20). Accordingly, performance agreements for chief executives were introduced in the different public services in SSA. For example, in Ghana there is concern that
the content of the agreement should be acceptable to both employees and managers, and that monitoring of performance may be difficult taking into account the challenges of quantifying the performance of ministries with regard to policy as compared to other operations that produce tangible results (Dodoo, 1999).

In addition to performance agreements, “performance appraisal techniques which identify the strengths and weaknesses of individual contributions, and personal career planning to ensure that personal ambitions and aspirations are harnessed towards the overall service of government, are also being introduced” (Kaul, 1996, p.26). Drawing from the experience of Tanzania, as indicated in Chapter Two, an “Open Performance Review and Appraisal System (OPRAS)” (Bana and Shitindi, 2009, p.12) was introduced as a tool for managing individual performance. Accordingly “the tool which aligns the objectives of the individual officer with that of the department/division/unit/section to the objectives of the organization as a whole is used in all public service institutions” (Ibid, 2009, p.12). The authors further indicate that “both the supervisor and subordinate have to agree on performance objectives, performance targets, performance criteria and required resources in order to achieve the set targets and objectives” (Ibid, 2009, p.13). Although the results orientation nature of the tools is appreciated as critical for promoting a performance culture in the public service, the challenges of implementing both the performance agreements and the open staff appraisals cannot be ignored, as analysed later in this chapter. Ideally, if well implemented, the tools would support the identification of staff training and development needs to address performance gaps.

It has been observed that upon commencement of the administrative reforms, “there was no overall analysis of the skills gap that government was trying to fill. ... Most training was associated with and funded through donor projects aid (Tata, 1996, p.137). This blurred the prime objectives of training. Kaul (1996, p.26) however indicates that “over the years, training programmes to ensure competency are increasingly tailored to individual needs”. To this effect, the Economic Commission for Africa (2003, p. 52) highlights that the need to improve public service management skills is “an essential element of any public service reform programme”. In addition, “recent trends in customer-oriented civil service require attitudinal-focused training” (Ibid, p.43.), which alludes to training in values. This notwithstanding, it is also observed by the United Nations (2005, p. 28) that:

governments, even in poor countries, regularly spend substantial resources on the development of their staff through centrally funded institutes of public administration as well as other capacity-building programmes. Nevertheless, the same governments often fail to obtain adequate return on investments in training and capacity development since the skills that staff have acquired at public expense are not used to the fullest extent.
A common agreement about mechanisms for staff development that address performance expectations is still limited (Ibid, 2005). The biggest dilemma is that training is still not systematically planned or executed and is not directly linked to performance.

8.3.4 The challenges of pay in the public service in SSA

As indicated earlier in the theoretical chapter and in the analysis of Western countries above, “adequate pay is crucial to sustaining the motivation, performance and integrity of public servants” (Kiragu and Mukandala, 2005, p.3). In SSA, however, pay is still low and limitations in the budget prevail, undermining the sustainability of pay reform strategies (Kiragu, 2002). Subsequently, “low salary levels result in absenteeism, alternative and additional employment, corruption and low productivity” (United Nations, 2005, p. 83-84). This state of affairs is detrimental to the pursuit of results-oriented performance strategies. For example, one of the challenges highlighted in the Health Sector Strategic Plan (Ministry of Health, 2010b, p.25) is that “productivity is low due to high rates of absenteeism and rampant dualism” (staff performing more than one job). Indeed, “health worker absenteeism represents a major source of waste in the sector” (Okwer, Tandon, Sparkes, McLaughlin, and Hoogeveen, 2010, p.43). The management of teachers under the universal primary education programme is riddled with similar challenges (Ministry of Education and Sports, 2008; 2013).

This litany of challenges is not a positive indication of a human resource base that has the required capacity to deliver public services. Indeed, as Wamalwa and Balogun (2000, pp. 3-4) observe:

even where the monthly salary is paid on time – and not months in arrears as is the case in a few countries – the rapid decline in the value of many an African currency meant a steady decline in civil servants’ take-home pay. A few years ago, the public would have been shocked to hear that one of its highly esteemed officials was short of cash. Today, everybody seems to have come to terms with a “financially embarrassed” government and an equally cash-strapped civil servant.

As a result, “the erosion of public sector salaries at the higher levels compared with those in the private sector can be demotivating to the extent that skilled professionals are tempted to leave for better-paid non-government jobs” (United Nations, 2005, p. 54). Worse still, “the presence of high-paying donors and international organizations in developing countries and transition economies has also sometimes led to poaching of the relatively limited number of highly skilled staff” (Ibid., 2005, p. 88). The challenge of attracting and retaining high quality staff further weakens the available human resource capacity. The United Nations thus recommends that countries in SSA should put in place a comprehensive pay policy for the attraction, retention, and sustenance of a competent and motivated
personnel (Ibid., 2005). This is a glaring issue that appears to be neglected in most countries in SSA. It has led to numerous challenges in managing the performance of public servants to produce the desired results and deliver quality public services.

8.3.5 Decentralizing human resources as a strategy for enhancing performance in SSA

Aside from the issue of pay is the decentralization of HRM, one of the strategies that is being pursued in SSA. Farazmand (2007, p. 7) warns that:

while offering great advantages of adaptability and flexibility, decentralization has a tendency to promote nepotism, conflicts of interests, and patronage of personalism in civil service and personnel systems; it can also promote potential administrative abuse and corruption, and thus hurt the long-term strategic performance of an organization.

These characteristics, well articulated in Chapter Two, appear to have crept into the public service in SSA at the dawn of independence, and given their longstanding and protected position, it is extremely difficult to dislodge them.

According to Muhumuza (2008, p. 74), “district officials have been reported to engage in acts that flout the standardized rules such as recruitment based on merit. They have been accused of promoting nepotism in recruitment”. This assertion points to the limited capacity to manage a decentralized human resources system in SSA, and also provides part of the explanation for unsatisfactory performance. Continued advocacy for the recentralization of some categories of civil servants, for example medical doctors, may be an indication that the process of decentralization may have been hurriedly enacted without taking into consideration the consequences, both positive and negative.

8.3.6 The focus of human resource management models

Theoretical analysis of HRM in Western countries indicates that challenges are being encountered in applying NPM models in human resource management reform. In SSA, the biggest dilemma is that efforts are being made to implement human resource management reforms against a traditional public administrative model that is not yet institutionalised, creating an overlap of the traditional and NPM models. The key question is whether the public service in SSA should focus on perfecting traditional public administration or on introducing new management techniques – or both – and whether HRM reforms can take effect in underdeveloped administrative systems. In this regard, the United Nations (2005, p. 29) asserts that in reforming human resources:

governments are well advised to start—and virtually always do—from where they find themselves, developing and adjusting gradually to meet the requirements of the day rather than attempting an HRM “year zero” with some blueprint model drawn from an international “best practice.”
The key issues that emerge for the empirical discussion therefore include: (i) the consideration of staff as a cost; (ii) the challenges of applying the merit principle for recruitment; (iii) the changing employment terms of staff; (iv) the application of results oriented staff appraisals; (v) the shortcomings in training and staff development; (vi) the limited capacity of governments to adequately pay employees; and (vii) the decentralization of HRM.

8.4 Presentation and interpretation of findings on human resource management

Arising from the theoretical analysis above, the empirical study sought to establish the extent to which HRM influences performance and public service delivery in Uganda. The key issues examined include staff positions (size of the public service), recruitment, performance agreements and staff performance appraisal, training and staff development, pay and motivation, and the decentralization of HRM. Respondents were requested to indicate their views regarding the achievements made in HRM reforms and their implications for results oriented performance management and public service delivery. Although some achievements were highlighted, some gaps and challenges were also identified by the respondents.

8.4.1 Appropriateness of staffing positions in the public service

The study sought to establish the effect of rationalization and restructuring on the appropriateness of the approved staffing positions for HRM and service delivery. Respondents were of the view that notwithstanding the restructuring exercises, some institutions are still not clear about their structure and staffing positions (Informant, Health Service Commission). Furthermore, some posts are not provided for in the structure, especially those for specialized areas in the health service, for example anaesthetists, radiographers, and psychiatric nurses. In addition, there are inadequacies in job grading, job descriptions, and person specifications, for instance in the post of comprehensive nurse (FGD, MoH). The structures were also seen to provide for “more managers than workers” (Informant, Health Service Commission). For example, Senior Nursing Officers and Principal Nursing Officers do not do the actual work, they are supervisors. Some of the respondents were therefore of the view that it would be better to have additional posts for nurses at operational level than the posts at promotional level. A similar situation was also applied to medical consultants. More interns and medical officers are required to attend to the increasing number of patients at the service delivery points as opposed to consultants, who are accessible in order of the consultation hierarchy. The traditional job of a consultant needs to be redefined (Informant, Health Service Commission).

The higher the promotion and specialization, the less these personnel come in contact with patients. Paradoxically, however, despite these concerns regarding the effective utilization of specialized professional staff, teachers and nurses
themselves complained of facing retirement in the same position even after more than thirty years of service, due to the limited number of promotional posts (All FGDs, Tororo, Gulu, Kabarole, Luweero Districts). In addition to the issue of promotion and specialization, the shift system was mentioned as limiting the actual number of personnel available to work. Respondents also indicated other issues that need to be taken into account when determining staffing positions, such as sick leave, maternity leave, study leave, and management and supervision (Informants, Health Service Commission).

In the education sector, the pupil-teacher ratio was reported to vary from local government to local government, on average ranging between, 1:75-80 compared to the national target of 1:40. The approved workload for head teachers was indicated as six lessons per week. In some schools, however, due to staffing constraints, a head teacher is also expected to be a full-time class teacher (Informant, Luweero District). Respondents were of the view that the staff establishment provided for urban councils is better than the one provided for the districts, on average 1:55 (FGD, Tororo District). There were also concerns about gender balance, with the view that the profession dominantly comprises women. Most of the male teachers were reported to have abandoned the profession (FGD Kabarole District); the reason for this was attributed to the greater socio-economic demands on male teachers of providing for immediate and extended family, which require them to earn more than the public service teachers’ salary.

Notwithstanding the challenges identified regarding the inadequacy of staffing levels, secondary information indicates that the size of the public service increased as a result of implementing both universal primary education and public health care programmes. Arising from the implementation of downsizing programmes, Uganda initially reduced the size of the public service between 1992 and 1997, from 320,000 to 165,000 (MoPS, 2001). However, by July 2014 it had risen again to 293,940 on the payroll, of which primary education accounted for 136,892 (47%) and primary health care 29,796 (10%) (monthly size of the payroll, July 2014 at annex 2i). The primary education sub-sector therefore constitutes almost half the size of the public service, an indication that the increase is also qualitative in terms of skills and employment mix. Previously, support staff (formerly on non-pensionable terms of employment and generally known as group employees, including, for example, office attendants, cleaners, gardeners, guards) constituted about 43% of the public service (Ministry of Public Service and Cabinet Affairs, 1990).

Respondents were further requested to indicate whether they perceived the available staffing levels to be appropriately utilized. Respondents indicated that while some staff are over-utilized, there are also areas of under-utilization of staff. This under-utilization was reported as emerging from (i) budget cuts that deny organizations operational funds and result in staff being paid salaries without meeting the expected targets. For example, respondents indicated that
over the financial years (2009/10, 2010/11, and 2011/12), the average estimated loss in terms of staff time in ministries was about four months of paid salary, arising from lack of operational funds. Other causes of underutilization were indicated as; (ii) lack of tools and equipment; (iii) poor HRM styles and selective allocation of assignments to staff, especially those considered hardworking, though sometimes also those ‘favoured’ but incompetent, leaving the others paid for no work done; and (iv) absenteeism and poor time management, which were attributed to a number of inefficiencies in the public service (FGD, MoES, MoH, MoPS).

From the presentation of the findings, it can be observed that the structure of an organization translates into categories and numbers of staff. As alluded to earlier in Chapter Seven, sections 7.4 and 7.5.1, the contradiction stemming from the fact that the structure is inappropriate to meet the service delivery objectives in terms of both its form and level of functionality was highlighted. The same contradiction applies to the staffing positions in the policy sectors. From the findings, the general emerging perception was that staffing positions are inadequate to meet service delivery commitments. For example, in primary schools and health facilities, it was reported that there was one teacher per class or one midwife in a health unit. It is a glaring omission to assume that staff will not fall sick throughout the year or experience other personal problems that may require them to be absent from duty, let alone the requirement for them to take annual leave.

These shortcomings represent perceived contradictions, namely the presence of staff who are both over- and underemployed. This results in yet another paradox of the inefficiencies regarding value for public service salaries, which are very low on the one hand, yet there is underperformance of the public service arising from how staff are utilized on the other.

8.4.2 Recruitment and retention of professional personnel

The empirical study sought to establish whether recruitment, attraction, and retention strategies are adequate to guarantee that the best staff are in place to meet performance and service delivery requirements. Respondents indicated some of the achievements in terms of recruitment, for instance the introduction of a variety of selection methods for leadership and management posts (for example, for permanent secretaries and chief administrative officers), the application of written exams for graduate entrants, and the issuance of recruitment guidelines for District Service Commissions (DSCs). Respondents also indicated, however, that several challenges face recruitment, including the long procedure, difficulties in attracting appropriate staff, and challenges in retention, all of which result in high vacancy rates.

In the health sector, examples of cadres that are severely understaffed include pathologists, psychiatrists, radiographers, and anaesthetists, which are inadequately provided for in the structure (Informants, Health Service
Commission). At the local level, medical officers and midwives were also reported to be in short supply (FGDs, all four districts). Secondary sources from the Ministry of Health indicate that the staffing level for “health workers (public facilities) improved from 58% in 2011/12 to 63% in 2012/13” and that “staffing level at district level excluding referral hospitals improved from 55% in 2011/12 to 60.5% in 2012/13” (Ministry of Health, 2013, p.23). This increase notwithstanding, the Health Centre IVs were still understaffed with regard to medical officers, anaesthetic assistants, and laboratory technical assistants (Ibid., 2013). Job specifications were also singled out as impacting the recruitment process, and the need to undertake competence profiles for all key jobs was highlighted (Informants, Health Service Commission).

Another challenge impacting recruitment and the high vacancy rate, especially in the local governments, is the wage bill provision determined by the central government. Respondents indicated that there is an insufficient wage bill to fill the total approved posts within the structures and that recruitment is done only on a replacement basis. In addition, “localization of recruitment” arising from the policy of decentralization was identified as a challenge: “A DSC for each local government is in place. Standards of recruitment may be compromised as DSCs prefer to recruit candidates from the local area” (Informant, Kabarole District). Attraction and retention of staff in the countryside, especially in areas that have been labelled as hard to reach and to live in, is a further challenge. According to an informant in Gulu, in 2010 out of 550 teachers that had been recruited, 180 did not take up their appointments. A similar view was expressed in Luweero District.

In the questionnaire, respondents in the MDAs, LGs, and at the service delivery level were asked whether the established posts in the service delivery facilities had been filled. Most respondents stated that they had not, as indicated in the table below.

<table>
<thead>
<tr>
<th></th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strongly agree</td>
<td>6</td>
<td>5</td>
</tr>
<tr>
<td>Agree</td>
<td>25</td>
<td>21</td>
</tr>
<tr>
<td>Neither agree nor disagree</td>
<td>14</td>
<td>11.8</td>
</tr>
<tr>
<td>Disagree</td>
<td>54</td>
<td>45.4</td>
</tr>
<tr>
<td>Strongly disagree</td>
<td>20</td>
<td>16.8</td>
</tr>
<tr>
<td>Total</td>
<td>119</td>
<td>100</td>
</tr>
</tbody>
</table>

Overall, respondents indicated that the established posts in their organizations were not filled, calling the functionality of the structures into question. Lack of the appropriate number of skilled staff makes it difficult to effectively manage performance and provide quality public services. Respondents were requested to
indicate whether there were challenges in terms of staff retention, and whether this had implications for recruitment, performance management, and service delivery. Respondents identified the main issues as: (i) the private market in the case of health service delivery, which attracts different professional medical workers; (ii) the low level of remuneration; and (iii) the lack of appropriate utilization of HRM information systems to promptly identify and resolve issues (Informants, HSC; FGD, MoH). Respondents nevertheless indicated that problems in staff retention were difficult to assess and quantify because the information is not being analysed. It is therefore necessary that “there is a baseline position against which year-on assessment is made, and causes of attrition documented by MDAs and LGs. MDAs and LGs should be obliged to indicate the cause of vacancy and to provide reasons for such cause” (Informants, Ministry of Health and Health Service Commission).

Arising from the findings, a number of challenges in the recruitment and retention process are identified. The first challenge is perceived as the dilemma of a structure being put in place on the assumption that it is what is required to provide a service, but it is then not filled because of inadequate wage bill. The attempt to categorize some posts as critical and others not means that many established posts remain vacant over long periods of time. This undermines both the logic and rationale of public service structures. A general emerging perception of respondents was that there is currently a recruitment freeze. Related to the discussion in Chapter Seven, section 7.5.1, the implication of this is that the structures perpetually underperform.

In order to address some of the critical areas in the MDGs, some development partners in the health sector directly support recruitment costs and the payment of wages on a project basis. The assumption is that the government will eventually pick up the wage bill in the medium- to long-term. This may, however, prove unsustainable (Informant, Kabarole Regional Referral Hospital). Another emerging perception is that the costs of recruitment are high because ministries and local governments are in a continuous cycle of recruitment, either because of failure to attract the right staff or to retain the staff recruited. This undermines performance management reform.

At the same time, findings indicate that there are high numbers of applicants in some areas, for example, nurses and teachers that increase the costs of recruitment and make it difficult to identify and select the best. Notwithstanding the low pay, a general perception that emerged is that nurses and teachers in local governments and NGOs seek employment at central government level. This is generally attributed to the more permanent terms of service, more regular and predictable pay, a pension after retirement, and a better working environment (in case of applicants from local governments joining the central government). Indeed, as indicated in Chapter Seven, HRM in the private sector may be worse than in central government. Overall, recruitment and retention of
staff is faced with a number of challenges that negatively affect the implementation of a results oriented performance management system.

8.4.3 Performance agreements

Under the reform programme, annual performance agreements were introduced to strengthen ROM and the supervision of staff. The agreements are being applied to permanent secretaries, chief administrative officers, directors, heads of department, heads of HRM in MDAs and LGs, hospital directors of referral hospitals and head teachers of primary schools. The study sought to establish the extent to which the implementation of performance agreements is perceived to have contributed to improvements in results oriented performance management and service delivery.

In the education sector, a general acknowledgment that emerged was that performance agreements have helped head teachers to define their outputs and targets (FGD, MoES). Respondents were, however, generally of the view that it will be very difficult to effectively implement performance agreements if the government does not commit to honouring the approved budget, improving the work environment, and meeting its own obligations under the agreements (All FGDs). According to a key informant in Gulu District, “performance agreements may be coercive tools that will see a lot of victims but produce limited results”.

Other respondents were of the view that the performance agreements will not yield the intended results because of the manner in which they were introduced; they were pushed down from the higher levels and are therefore not appreciated. Some respondents also indicated that notwithstanding the requirements in the agreements, the disciplinary process in the public service is highly protective of underperforming public servants. Using an example of a PNFP hospital, an informant indicated that:

the culture at this hospital requires staff to focus on the patient and to be dedicated to service. Staff are specifically mentored to fit into this culture. Performance management is enforced through strict supervision. There is no tolerance for poor performance. Action on indiscipline and underperformance is instant and decisive. There is no waiting for a higher body to take a decision, as is the case in the public service (Informant, Lacor PNFP Hospital, Gulu).

It was suggested that public servants be placed on performance contracts and not performance agreements, because a limited duration for employment may positively affect the performance of staff (Informant, Ministry of Health). As indicated earlier in the theoretical analysis, however, this is not necessarily a solution, as there is also a risk that a limited duration of employment may negatively affect the commitment and motivation of staff.
Findings indicate that there is a general perception that performance agreements are specifically intended to ensure that managers perform their role and can be held accountable for both resources and results. This notwithstanding, respondents doubted whether the performance agreements will be effective unless other performance related issues are addressed. First is the concern for the manner in which performance agreements are introduced. The general view of respondents was that they were introduced as instruments for sanctioning non-performance; yet they considered it necessary that the objective of performance improvement is emphasized. Another general emerging perception was that compliance to the agreements does not necessarily lead to better results because a number of factors that affect performance have not changed since the performance agreements were introduced. These factors relate to remuneration, tools and facilities, high vacancy rates, budget cuts, and the disposition of service recipients. There is also a general perception that the relationship between employment contracts and performance agreements needs to be resolved. Permanent and pensionable terms of appointment are perceived to guarantee employment and protect underperformance. Introducing performance contracts, however, should take into account the administrative capacity to manage such arrangements, and the possibility that short-term contracts may negatively affect performance.

General concern also emerged from some of the respondents that the disciplinary process is not supportive, even where there are clear cases of culpable behaviour. Although well provided for in the public service management regulations commonly known as the Standing Orders, respondents were of the view that the process has turned out to protect the interests of the public servant more than the public service itself. On the contrary, there was an emerging perception that in the private sector staff are aware that action in response to indiscipline is prompt, that the scope for appeal is limited, and that underperformance is not tolerated. Specifically, the consequences of poor performance management in the education and health sectors are manifested in poor time management, late coming, and absenteeism from duty. These negative practices are usually rationalized and attributed to the long distances many employees must travel to work, lack of housing and transport, and very low salaries that are insufficient to meet employees’ day-to-day basic needs. A wide perception shared by most of the respondents was that these are logical, because of the meagre salaries and high costs of living. The government does not indicate the urgency to change the working and living environment of its workers, and therefore its moral capacity and integrity to enforce common performance standards, values, and principles are undermined.

Another general emerging perception was that managers are disempowered to manage not only because of inadequate pay but also because of lack of tools and facilities. Worse still, an emerging perception is that inadequate performance and poor quality service delivery are largely attributed to the perception by political
leaders that public servants are incompetent, non-performing, corrupt, and saboteurs of government programmes. A contrary view from some respondents, however, was that the commitment of leaders impacts the commitment of public servants. Public servants have no reason to sustain commitment when political leaders do not value their contribution and are themselves not committed to what they say. Furthermore, respondents perceived that there is a contradiction regarding the core work values of loyalty, patriotism, and professionalism with regard to the public good, and ideological differences that undermine the quality of professional policy advice (FGDs, MoPS; MoH; MoES; Kabarole District).

8.4.4. Staff performance appraisal

Staff performance appraisal of public servants support a results oriented performance management culture. Respondents acknowledged the improvements made in reviewing the staff performance appraisal instrument. They were, however, of the view that there are delays in the appraisal process, limiting timely feedback. Furthermore, many public servants are not in position to clearly articulate their outputs and therefore the appraisal remains subjective (All FGDs). Some of the respondents indicated that public servants are not keen to complete appraisals because they are unsure how appraisal results are being applied, especially if they do not expect a confirmation or promotion (All FGDs). Respondents also indicated that the span of control impacts staff performance appraisal. There is still need for greater clarity as to who the appraiser and appraised should be. A creative example indicated in the primary school sub-sector was for head teachers to assign part of the responsibility to subject heads, who are usually referred to as heads of department (FGD, Tororo District).

Respondents further indicated that the new appraisal arrangements require head teachers to be appraised by sub-county chiefs, who in most cases lack confidence and do not allocate sufficient time to fulfil this obligation. “It is therefore common that the appraiser will ask you to complete the form and just bring it for signature without holding the appraisal meeting” (FGD, Tororo District). Regarding appraisal in health facilities, respondents indicated a similar approach, where the in-charge of health facilities assigns some of the appraisal work to senior nurses (FGD, Tororo District). In Kabarole Regional Referral Hospital (RRH), it was also indicated that the appraisal of nursing staff was more consistent compared to other professional categories (Informant, Kabarole RRH). The appraisal of chief administrative officers (111 in total) and town clerks of municipalities (22), who were re-centralised under the Ministry of Local Government was highlighted as a serious challenge (FDG, Luweero District).

Another issue that was reported to affect staff performance appraisal is lack of HRM skills by most of the managers in the public service. Head teachers and those in charge of health facilities become managers by virtue of their position. As a result, there are perceived weaknesses in the methods of supervision,
coaching, and mentoring of staff, as well as staff performance appraisal. Respondents further indicated that this contributes to the limited use of appraisal results in identifying and implementing staff training and development programmes, and other performance improvement initiatives. Respondents were, however, generally of the view that the practice of staff performance appraisal is more embedded in the health sector than the education sector (Informant, HSC; FGD, MoPS).

Overall, the perception of most of the respondents was that the current staff performance appraisal form is results focused and open, compared to the previous one that was closed and mainly focused on personal qualities. The perception of respondents that staff performance appraisal practice is more embedded in the health sector than the education sector may be attributed to the fact that opportunities for promotion were more for health workers than teachers, encouraging the health workers to complete the forms than their counterparts in the education sector. In addition, previously, teachers had a separate assessment form while medical personnel applied the general form for public servants. Following the review of the appraisal instrument, all public servants are required to use the same form, although different professions continue to suggest that the form should be tailor made to specific policy sectors and professional areas. There is also a general view that the capacity to identify individual staff objectives, outputs, and targets, against which appraisal should be done, is still limited. This may be attributed to both the nature of the results that are expected from different sectors, but also to gaps in continuous training and sensitization of both managers and staff.

Another related emerging issue is the limited capacity of human resource officers to provide the required implementation support. As indicated in the findings, lack of evidence regarding how appraisal results are used is likely to affect the motivation to undertake appraisal and may reduce it to a routine technical exercise because of lack of precise action against those who do not comply with the requirement. There is also risk that non-appraisal of staff covers up underperformance. The value of holding individual staff accountable for their performance through staff performance appraisal cannot be overemphasized.

### 8.4.5 Staff training and development

Aside from staff performance appraisal, training and staff development was identified in the theoretical analysis as an issue impacting on performance management and service delivery. The empirical analysis sought to establish how training and staff development contributes to ROM. Among the respondents, there was a perception that the root cause of some of the service delivery challenges in the health sector is the gap between the education and health systems, which was attributed to contradictions between the objectives of professional development of health practitioners (a responsibility that would fall under the Ministry of Health) and of imparting academic knowledge (a
responsibility that is expected to be the remit of the Ministry of Education and Sports). Respondents raised some doubts regarding the quality of training provided by the training institutions. A general perception of respondents was that training in the past included a strong focus on values and principles, as compared to current training programmes (FGD, MoH). Using the example of the cadre of comprehensive nurses, respondents indicated that the focus of the Ministry of Education and Sports seemed to be on pass grades and not on competencies and core values (FGD, Luweero District).

The findings indicate that induction and refresher training was perceived as providing leverage for continuous training in ROM for those who join the public service, and for continuous learning and improvement in general. Respondents indicated that there is need to induct all newly appointed public servants in ROM and to put in place refresher courses for all staff (All FGDs). Lack of fairness in the administration of training opportunities was indicated as a challenge, resulting in the risk that there may be public servants who are over-trained and those who do not benefit from any training. Respondents were of the view that the training policy needs to be widely disseminated to promote fairness in the administration of training opportunities within institutions, but also across central and local governments. Above all, it was considered important for all public servants to be sensitized on their terms and conditions of service (Informants, MoH, MoES; All FGDs, LGs).

Another challenge identified by respondents is the requirement for central government agencies to put in place modalities for mentoring and coaching staff in a decentralized environment. This has become complicated in a decentralized context because contact time and opportunities for staff rotation are very limited. The general perception is that professional standards are being compromised (FGD, MoH). Regarding the question of what public servants would wish to see in order to improve performance and service delivery training, emerged as among the least prioritized options, as indicated in Chart 8.2 on page 199. The likely explanation for this may be the fact that the majority of public servants at the policy ministry level consider themselves to have the required professional training and may not perceive training as the most significant performance related challenge. On the contrary, the opportunities for training for public servants at the service delivery facility level, especially teachers, are still perceived as limited, and are more based on personal initiative (FGD, Gulu District). The Economic Commission for Africa (2003) suggests that close collaboration with training and capacity building institutions will improve decision making processes and utilization of knowledge and skills from training which is still lacking.

8.4.6 Pay and motivation
The theoretical analysis of the Western experience, as provided above, indicates the challenges of implementing performance related pay and the contradiction
with intrinsic motivation. Theoretical analysis of pay issues in SSA reveals the glaring effect of poor pay on the public service and the continued challenge of considering human resources merely as a cost. Empirical analysis sought to establish the extent to which pay affects HRM and subsequently performance management and service delivery in Uganda.

Respondents in FGDs indicated that the biggest dilemma faced in the management of the pay policy are the selective pay awards, which have resulted in glaring differentials between the different government agencies. Respondents attributed this to excessive political intervention in the administration of pay. Worse still, respondents indicated that discrepancy sometimes exists within the same institution, between public servants in the same profession, between different professional staff, and between project staff in donor funded programmes (All FGDs in MDAs and I.Gs). The challenge of salary discrepancy is demonstrated in the table below.

<table>
<thead>
<tr>
<th>Employee category (Equivalent level)</th>
<th>Traditional public service</th>
<th>National Environment Authority (NEMA)</th>
<th>National Planning Authority (NPA)</th>
<th>Electricity Regulatory Authority (ERA)</th>
<th>Public Procurement and Disposal of Assets Authority (PPDA)</th>
<th>National Water and Sewage Cooperation (NWSC)</th>
<th>Uganda Wildlife Authority (UWA)</th>
<th>National Forestry Authority (NFA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Permanent Secretary</td>
<td>2,858</td>
<td>7,885</td>
<td>12,512</td>
<td>30,576</td>
<td>13,000</td>
<td>30,000</td>
<td>16,800</td>
<td>9,839</td>
</tr>
<tr>
<td>Executive Director</td>
<td>7,885</td>
<td>12,512</td>
<td>30,576</td>
<td>13,000</td>
<td>30,000</td>
<td>16,800</td>
<td>9,839</td>
<td></td>
</tr>
<tr>
<td>Director</td>
<td>2,196</td>
<td>7,079</td>
<td>11,087</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Head of Department</td>
<td>1,439</td>
<td>6,043</td>
<td>10,862</td>
<td>15,941</td>
<td>8,500</td>
<td>11,760</td>
<td>5,670</td>
<td></td>
</tr>
<tr>
<td>Senior Officer</td>
<td>932</td>
<td>4,892</td>
<td>9,100</td>
<td>9,700</td>
<td>5,000</td>
<td>8,879</td>
<td>8,960</td>
<td>3,300</td>
</tr>
<tr>
<td>Graduate Officer</td>
<td>846</td>
<td>3,395</td>
<td>6,825</td>
<td>7,729</td>
<td>3,200</td>
<td>6,320</td>
<td>5,040</td>
<td>1,974</td>
</tr>
<tr>
<td>Support staff</td>
<td>167</td>
<td>639</td>
<td>1,024</td>
<td>1,247</td>
<td>773</td>
<td>800</td>
<td>400</td>
<td></td>
</tr>
</tbody>
</table>

Source: Constructed using internal sources of information from the Wage Bill Unit, Ministry of Public Service, 2013

The table indicates significant differences in the pay for public servants and the unfairness of the public service pay system. Secondary information indicates that during the first phase of the public service reform, a pay reform strategy based on a job evaluation exercise was designed. Under this strategy, effort was made to streamline pay through a single spine salary structure and to provide incremental pay awards over the implementation period. The implementation of the strategy stalled, however, due to lack of allocated resources and pay disparities continue to be high (KPMG, 1999, a study on behalf of Ministry of Public Service, 2013).
Indeed, a general perception is that while the pay for the mainstream public servants has remained static over the years, the pay in executive agencies has almost doubled.

Respondents were generally of the view that the pay received by public servants is inadequate to meet their basic needs. A graduate doctor earns USh 1,177,688 per month (the equivalent of approximately US$ 350), an enrolled nurse earns USh 432,782 (about US$ 129), and a primary school teacher USh 467,685 (about US$ 139)\(^1\), before tax deductions (Ministry of Public Service, July 2014). In addition, doctors and nurses receive a lunch/dinner allowance of USh 66,000 (about US$ 20) per month, though this allowance is not given to teachers. Respondents indicated that this state of affairs is very demotivating. Respondents further indicated that while some local governments pay top-up wages for medical officers, others do not. Where top-ups are paid, they are not standardized, however, because it depends on the capacity of each local government (FGD, MoH). When asked to rank the most prevailing aspects of HRM, tools and equipment, followed by inadequate pay, were ranked as the most prevalent in terms of their negative impact, as indicated in the chart below. Detailed information of the responses is indicated in Annex 2 (c).

Chart 8.1: Ranking of prevailing factors affecting human resource management

<table>
<thead>
<tr>
<th>Situation</th>
<th>Recruitment</th>
<th>Outputs</th>
<th>Pay System</th>
<th>Appraisal</th>
<th>Tools</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Preferred</td>
<td>17</td>
<td>15</td>
<td>26</td>
<td>17</td>
<td>43</td>
<td>118</td>
</tr>
<tr>
<td>2nd Preferred</td>
<td>19</td>
<td>24</td>
<td>33</td>
<td>27</td>
<td>15</td>
<td>118</td>
</tr>
<tr>
<td>3rd Preferred</td>
<td>20</td>
<td>32</td>
<td>17</td>
<td>29</td>
<td>20</td>
<td>118</td>
</tr>
<tr>
<td>4th Preferred</td>
<td>20</td>
<td>29</td>
<td>22</td>
<td>24</td>
<td>23</td>
<td>118</td>
</tr>
<tr>
<td>5th Preferred</td>
<td>42</td>
<td>18</td>
<td>20</td>
<td>21</td>
<td>17</td>
<td>118</td>
</tr>
</tbody>
</table>

1 The daily selling exchange rate provided by Bank of Uganda, USh 3,365.75;
Source: https://www.bou.or.ug/bou/collateral/interbank_forms/interbank_forms.html

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Respondents were also asked to rank the issues that they would wish to be addressed in order to improve HRM. The responses are indicated in the chart below.

Chart 8.2: Prioritization of aspects of human resource management by respondents

<table>
<thead>
<tr>
<th></th>
<th>Contract</th>
<th>Pay</th>
<th>Tools</th>
<th>Training</th>
<th>Reward/Sanction</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Preferred Situation</td>
<td>7</td>
<td>53</td>
<td>19</td>
<td>12</td>
<td>27</td>
</tr>
<tr>
<td>2nd Preferred Situation</td>
<td>37</td>
<td>16</td>
<td>39</td>
<td>17</td>
<td>9</td>
</tr>
<tr>
<td>3rd Preferred Situation</td>
<td>10</td>
<td>30</td>
<td>23</td>
<td>38</td>
<td>17</td>
</tr>
<tr>
<td>4th Preferred Situation</td>
<td>12</td>
<td>13</td>
<td>30</td>
<td>28</td>
<td>35</td>
</tr>
<tr>
<td>5th Preferred Situation</td>
<td>52</td>
<td>6</td>
<td>7</td>
<td>23</td>
<td>30</td>
</tr>
</tbody>
</table>

As indicated in Chart 8.2 above, pay was ranked as the highest priority issue. This is consistent with the findings from the interviews and FGDs. Similarly, tools and facilities were also prioritized. Placing staff on contract terms of appointment had mixed responses. Detailed responses are indicated in Annex 2 (f).

Respondents raised concern regarding the policy of providing a single consolidated pay package, which is assumed to include payment for housing, indicating that it was extremely unrealistic. According to one informant:

> there are reforms that should not have been implemented, and amongst them is the supposed consolidation of benefits into salary as opposed to physical benefits. Previously, public servants received a low salary but they were housed. They were not corrupt and maintained their dignity (Informant, Public Service Commission).

Respondents observed that HRM should be viewed as a package that includes pay, tools and facilities, and staff accommodation:

> for example, everything else may be in place at a health facility, but lack of one tool or professional will disrupt the service delivery chain, and hence failure to meet the needs of clients. A well-stocked health centre
may lack a laboratory technician or anaesthetic officer (Informant, Health Service Commission).

This state of affairs was confirmed by respondents at private health facilities, who indicated that:

the private hospital ensures that staff are motivated to perform by providing them accommodation. Those who cannot access physical accommodation within the hospital are given an allowance to rent decent accommodation. Water and electricity is also subsidized. Depending on their performance, the hospital provides loans for them to study. In addition, the facilities at the hospital are functional. Drugs are available and the working environment is good. While government has the best qualified workers, it is not making effort to make them productive. Government should have a conscience to pay its workers adequately. Government effort to improve health services, especially health infrastructure, has not been matched with improvement in working conditions (Informant, Lacor PNFP Hospital, Gulu).

A general emerging perception from the findings is that the pay of public servants is very low. Worse still, pay discrepancies within the public service are very high, leading to a situation where some public servants are perceived as earning more than they deserve, while others barely earn what they require to meet basic needs in view of the ever increasing cost of living attributed to inflation. Most primary school teachers must supplement their income with food grown in their gardens or extra private teaching lessons. However, this encourages absenteeism, poor time management, and consequently a limited focus on students, which may be the single most significant explanation for poor learning outcomes in schools. Compounding the problem, some political leaders in some local governments indicate that parents should not be required to make any additional contributions to the UPE programme, even in terms of providing food or scholastic materials for their children, which places an extra burden on an already overburdened system.

Similar to the situation of teachers, medical officers and nurses may supplement their income by working in a private hospital, clinic, or drug shop. Although it is assumed that this is done during their free time, it nevertheless affects their attendance to their duties, and may partly explain the rate of absenteeism and poor quality of many health services. At the end of the 1980s, it was observed that: “government is pretending to pay its employees; and its employees are pretending to work” (Ministry of Public Service and Cabinet Affairs, 1990, p. 174). Arising from both the theoretical analysis and the empirical findings, there is a risk that the situation may drift back towards the pre-reform period, if pay issues are not comprehensively addressed. Most public servants have to find own ways of earning additional income. This may include taking up additional employment, absenteeism from duty, being at the duty station without
performing formal tasks, poor time management practices such as late reporting
to duty and early leaving, as well as the charging of fees that are not formally set
and other forms of unethical conduct.

The majority of public servants live in extremely difficult and deprived
circumstances, receiving only a meagre salary in remuneration for their work.
There appears to be a silent policy that requires public servants to find their own
means of survival. It has indeed been generally suggested that public servants at
the low grades and at the frontline service units (e.g. nurses, teachers, police
constables) constitute part of the poor in Uganda. The social status of these
public servants, who were once role models in the community, is being called
into question. In such a situation, how then can they provide effective services or
steer the population out of poverty?

As indicated in the findings, because of the increasing selective wards, there was
a general perception that although the salary structure is still being held together,
it is highly doubted whether it indeed constitutes a single spine. While poorly
paid public servants are demanding a basic survival salary package, those who are
better paid compare their salary figures and appear to compete to remain the
most top paid. Respondents were more bothered by this situation considering
that the selective pay awards are not linked to performance and are not rationally
justified. For example, the rationale behind the fact that the pay of professional
personnel in ministries is below the pay of personnel in the agencies under their
supervision was called into question. Another example from agencies is the fact
that the pay of highly skilled staff, such as medical officers and teachers, is below
that of support staff without any professional training (such as receptionists and
office assistants).

The human relations theory approach to HRM that considers individual workers
as persons and assumes that they will be interested and committed to work
without coercion appears to be scarcely applied to inform HRM policies in
Uganda. There is, therefore, a general perception, as indicated earlier, that either
the political leadership is out of touch with the reality of its public servants, or
the capacity to address the issues is limited. The credibility of the pay system and
the moral obligation of the government to demand quality results is therefore at
stake.

8.4.7 Decentralizing the management of human resources

The analysis above mainly focuses on cross-cutting HRM issues in both central
and local governments. This section discusses the empirical findings specific to
HRM at the local government level. Arising from the reforms, there are two
main principles that affect the management of human resources, namely a
unified public service system on the one hand, and a decentralized HRM system
on the other. Under the unified system, all public servants are governed by the
same rules and regulations as embedded in the Uganda Government Standing
Orders (Ministry of Public Service, 2010c). HRM policies, procedures, and practices apply to both the centre and local governments. Under the decentralized system, each district local government has a district service commission that recruits personnel, who are then managed separately within the local government where they are appointed and deployed (Local Governments Act, Uganda, 1997). The findings related to the decentralization of HRM are discussed at two levels, namely the district local government and the service delivery facility levels.

Respondents identified some of the achievements in HRM as being directly related to improvements in records management in the local governments. There has been deliberate effort to improve the records management cadre through the provision and upgrading of posts. Additionally, capacity building initiatives targeting records management have been made. Improvement in records management has contributed to the decision making and implementation process, and subsequently to performance management. Specifically, it has led to improvement in salary administration and exit management (Informant, Kabarole District). Payroll management was also singled out as an area where progress has been registered, considering that the government payroll was manual before the administrative reforms took place. The implementation of the Integrated Personnel and Payroll System (IPPS) is expected to enhance accountability for management of the payroll.

Despite these improvements, a number of challenges specific to HRM, and subsequently to performance management and service delivery in local governments, were emphasized. As one informant in the Gulu District Administration elaborated:

attraction of staff to fill critical posts, especially in health and education facilities, is difficult because some areas are regarded as hard to work and live in. Cadres that are difficult to attract and retain at the higher local government level include Medical Officers, Engineers, Economists, Finance Officers, and HRM Officers. High attrition levels cause instability in the functionality of structures and services. Staff leave for the central government on promotion. Even within the same local government, municipalities provide a better work environment than districts (Informant, Gulu).

These challenges emerged in all four local governments. With specific regard to the attraction and retention of staff, a hardship allowance of 30% of the basic pay for a few selected districts identified as hard to reach and live in has been made (Informant, MoPS). This raises disagreements, however, as there are districts that feel equally or more deserving of such allowances, which are excluded from that consideration. Another policy change that emerged during the course of the study was the announcement in the budget speech for the financial year 2012/13 of a top-up allowance of USh 2,500,000 for medical
officers working in district level health units. Respondents were sceptical that this offer would be adequate to attract and retain medical officers unless the work environment in the local governments is addressed. There was also concern that it will distort deployment patterns and lead to additional discrepancies within the sector, because it does not provide for other workers at the health units aside from medical officers. Adequately paying all staff at the health units was generally viewed as the lasting solution.

Specific findings regarding HRM and performance management were also identified at the service delivery levels at health facilities and schools. The main challenges identified were twofold, namely staff management issues and tools and facilities. The staffing problems included lack of promotion possibilities, delays in accessing the payroll and effecting payroll changes, delayed payment of salaries, lack of accommodation and transport allowances, and lack of electricity or alternative power sources. Furthermore, respondents indicated that basic tools such as printer toner, paper, and chalk (for teachers), and fluids, gloves, and switchers (for health workers), were always in short supply (FGDs, All four sample Districts). These factors demotivate staff and affect performance and service delivery. According to an informant in Gulu, circumstances do not allow teachers to perform: “If a head teacher can fail to access the payroll, what about a teacher? And how can a nurse who takes a year without getting on the payroll perform?”(Informant Civil Society, Gulu District). A most recent reform in the course of this study is the decentralization of both the salary and pension payroll with effect from July 2014 and July 2015 respectively. It is not yet clear how this will improve the administration of salary and pension.

While it is recognized that the decentralization of HRM has contributed to a rise in the practice of the HRM function and the reduction in bureaucracy, a number of challenges were also identified. Respondents indicated that the preference to recruit staff from the same locality may compromise recruitment standards. “A local government may not get the best even when their local best is the best qualified” (FDG, Kabarole District). Decentralization has also limited the deployment and transfer of staff to and from other local governments. The opportunity to create and share new knowledge and exposure is limited. Regional differences require building different capabilities for managing different situations (FDG, MoH). Overstay in one station usually makes staff part of the local problem. A person who is born, goes to school, works, and retires in the same local government has no broader experience (FGD, Kabarole District). Furthermore, some respondents also raised concern that facilitation of HRM units in local governments is not prioritized. Human resources officers are expected to stick to their desks, yet they need to establish what their job pertains in service delivery facilities, especially when handling HRM decisions that should be based on up to date HRM information (Informants, Luweero and Kabarole Districts). These weaknesses contributed to an inadequate and, in some cases, total lack of HRM capacity.
According to the findings, there have been instances where new graduates take on responsibilities that ideally they should not assume, due to the failure of the local government to attract personnel with the required expertise. In addition, and as indicated earlier, the capacity that is in place for the central government (in this case MoPS) to mentor HRM staff in local governments is limited. Another issue where there was agreement across respondents was that political intervention in performance management and service delivery is most prevalent in local governments. Similar concern arose in the management of both education and health services. Administrative and professional leaders were therefore cautious not to antagonize local leaders, who are sometimes relatives or neighbours. All this affects the embeddedness of ROM.

8.5 Conclusion

Arising from the presentation and analysis of the empirical findings, the key emerging issues are highlighted in the table below.

Table 8.3: Summary of issues from the analysis of the role of human resources in ROM

<table>
<thead>
<tr>
<th>Reform issue</th>
<th>Strategy/intervention</th>
<th>Contradictions/challenges</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staffing positions in the public service</td>
<td>Staffing levels defined through restructuring. This facilitates recruitment and deployment of staff.</td>
<td>The optimum size of the public service is not clearly defined. It is not clear whether the approved staff establishment is adequate or no.</td>
</tr>
<tr>
<td>Recruitment</td>
<td>The role of Service Commissions is well defined in the legal framework. Guidelines and procedures for recruitment are in place.</td>
<td>Inadequate wage bill limits recruitment. The high vacancy rate renders structures dysfunctional. There are complaints regarding the elaborate recruitment procedures and adherence to the merit principle, especially in local governments.</td>
</tr>
<tr>
<td>Performance agreements</td>
<td>Performance agreements for senior staff clarify objectives and outputs, and strengthen individual level responsibility and accountability for results.</td>
<td>There is need to conduct assessment and use feedback from performance reports to improve performance.</td>
</tr>
<tr>
<td>Staff performance appraisal</td>
<td>An open staff appraisal system that is results focused was implemented.</td>
<td>Capacity of both managers and staff to undertake an open appraisal system is limited. Appraisal results are not used to improve performance.</td>
</tr>
<tr>
<td>Training and staff development</td>
<td>Training policy is in place. Performance improvement training programmes implemented.</td>
<td>Limited continuous training and sensitization on ROM. Training is not directly linked to performance management.</td>
</tr>
<tr>
<td>Reform issue</td>
<td>Strategy/intervention</td>
<td>Contradictions/challenges</td>
</tr>
<tr>
<td>---------------------------</td>
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<tr>
<td>Pay and motivation</td>
<td>Consolidation of benefits (e.g. housing) into salary. Job evaluation was undertaken to determine pay levels and a single spine salary structure was designed. Pay reform targets were determined. The payroll was computerized.</td>
<td>Failure to meet pay reform targets for all public servants and reintroduction of selective pay awards. Erosion of pay value that does not reflect a consolidated pay package and cost of living. Computerized payroll system not fully functional, contributing to inefficiencies in managing the payroll. Poor motivation that undermines the commitment of public servants to performance.</td>
</tr>
<tr>
<td>Decentralization of HRM</td>
<td>Reduced red tape for managing local government personnel.</td>
<td>The capacity of HRM is still weak. Some HRM processes are still centralized and others are not well managed.</td>
</tr>
<tr>
<td></td>
<td>Increased scope for attracting candidates from the locality, especially in areas hard to reach and live in.</td>
<td>Recruitment is perceived to be localized as local governments are likely to give preference to selecting candidates from within the same local government, compromising quality.</td>
</tr>
<tr>
<td></td>
<td>Some workers in the education and health services stay within their local area. This supplements the cost of living in terms of housing, food, and transport.</td>
<td>Public servants engage in activities to supplement their income, leading to late coming and absenteeism. Role modelling for young people to encourage them to join the teaching profession is a challenge because of teachers’ loss of status in the community as public servants, as they are considered to be underpaid.</td>
</tr>
<tr>
<td></td>
<td>Creation of job openings for the population.</td>
<td>Localization of recruitment compromises personnel quality.</td>
</tr>
</tbody>
</table>

Theoretical analysis both in the Western and SSA context acknowledges people as a key resource for ROM and service delivery. Despite some progress that has been realized, findings reveal that a number of challenges in HRM still exist. Some of the challenges arise from inadequate policy considerations in terms of the public services that are desired by citizens and those that the government is able to provide. Weaknesses in policy management have in turn curtailed the definition of the size of the public service that is desirable and that which is affordable, against which a systematic strategy for acquiring efficient and effective human resource capacity can be implemented. The analysis reveals that
some doubts have started to emerge in the recruitment process, most especially at the local government level. In addition, the analysis indicates that strategies for attracting and retaining public servants are not pursued in a systematic manner.

The analysis also indicates that the appraisal of staff performance is not perceived as a requirement that has to be complied with, mainly because of the lack of an appropriate rewards and sanctions framework for the appraisal or non-appraisal of staff. Furthermore, induction and refresher training on performance management remains limited. Although the analysis highlights the limited capacity of the government to increase the salaries of all public servants, the level of pay compared to the cost of living is glaringly low. Poor pay contributes to poor work habits such as absenteeism and late coming, a reflection of the under-investment and wastage of both human and financial resources.

The analysis indicates that HRM capacity is weaker in local governments, especially in terms of numbers and skills. The urgency to develop the capacity to recruit, manage, and retain personnel at this level is highlighted. There is a risk that decentralization may indeed compromise the quality of human resources and service delivery standards. Managing the performance of HRM has a direct effect on how citizens and stakeholders are treated at frontline service delivery points. As evidenced in both the theoretical and empirical analyses, it is the quality of human resources that sets the pace for the creation of public value. Having analysed these human resources issues, it is now critical to analyse the issues that affect the participation of citizens.
CHAPTER NINE

THE POSITION OF CITIZENS AND STAKEHOLDERS IN PERFORMANCE MANAGEMENT AND SERVICE DELIVERY

9.1 Introduction

In this chapter, a theoretical analysis of the stakeholder approach to performance management and service delivery in Western and SSA countries is made. Thereafter, empirical findings based on the Ugandan situation are presented, against which the analysis and interpretation of findings is conducted. Both the empirical and theoretical analyses are based on the different policy and administrative arrangements in place to enhance citizen and stakeholder participation and the resultant role of citizens in service delivery.²

9.2 Theoretical analysis of the stakeholder approach to service delivery

9.2.1 The state-citizen relationship in the Western context

In most Western countries, a stakeholder approach is considered critical for public service delivery. In that regard, “a stakeholder of an organization is defined as “any group or individual who can affect or is affected by the achievement of the organization’s objectives” (Thompson, 1967, in Freeman, 2010, p.46). The stakeholder concept refers to the process of engaging with interest groups in order to be responsive and effective in the long run (Freeman, 2010). This implies that organizations institutionalise mechanisms for managing relationships with service recipients. It has been recognized, however, that: “modern public administration is not just about efficiency; it also involves ideas of democratic participation, accountability and empowerment” (Minogue, 1998, p.17). The author further argues that there is tension between “making government efficient and keeping it accountable” and;

- a corresponding tension between the conception of people as consumers, in the context of relations between the state and the market;

The stakeholder concept in public service delivery therefore implies that public organizations take into consideration citizens who have a well defined role to play in the provision of services. Denhardt and Denhardt (2007, p.53), for example, contend “that the idea of democratic citizenship, has since the earliest times, implied a certain duty or obligation on the part of the citizen to contribute to the betterment of the community”. Furthermore, according to the authors,

citizenship implies a sense of belonging and contribution to the public good (Ibid., 2011). In this regard, Hoogwout (2005, p.2) argues that: 

the role of a citizen as an individual customer towards a government body is fundamentally different from the role a normal customer has towards a normal service provider. This difference can best be explained by distinguishing the different roles that the latter combines.

According to the author, this role includes deciding on what to buy and the supplier of the service. Paying for what one buys makes the provider dependent on the customer and promotes customer care (Ibid., 2005). Hoogwout (2005, p.3) therefore, further contends that:

a customer of government in most cases does not combine these three roles. The government or the politicians that make the rules determine the content specifics of the services. ... To treat an individual citizen as a customer means therefore that government treats this person as if he or she combines the roles of choosing, paying and enjoying and as if government for its own existence is depending on the satisfaction this individual experiences from receiving the service.

Although this provides a rather theoretical picture of the market versus the government model, some major differences between a private service customer and a public service recipient are clarified. This notwithstanding, “citizens expect government services to be as good as, if not better than, what they can get from the private sector” (Institute of Public Administration of Canada, 2000, p.15). They “expect to have the opportunity to influence the services they receive as well as the quality of those services” (Denhardt and Denhardt, 2007, p.61). Empowering citizens involves “access, choice, information, redress, and representation” (Ibid, 2007, p.62). In order to gain legitimacy, governments are expected to engage in dialogue with service recipients and other stakeholders.

Similar ideas have been voiced in recent public management literature. For instance, Moore (2013) states that a key issue for public managers is that service “beneficiaries and obligates” (Ibid., 2013, p.3) should assess the extent to which public value is attained, i.e. only they can ultimately determine the quality of service delivery. Literature on public values (Bozeman, 2007) indicates that a distinction should be made between citizens as a collective that determines (for instance, via the elective process) what public services should be provided by the government or other actors, and – most relevant in the context of this research – individual citizens who personally receive services. At the collective level, the general nature of public services is determined, such as the kind of schools, general curriculum, and health care policies. As a recipient or user, it is in this general context that the best services are expected. To give an example, within a hospital, patients should get the best and most efficient care possible, and be involved in determining whether this is achieved.
The extent of citizen involvement and empowerment has progressed in consonance with the developments in public service governance principles and structures. When citizens are primarily perceived as consumers of the services delivered, service “providers are in the driver’s seat, and customers can only hope they drive where the customer wants to go” (Osborne and Gaebler, 1992, p.180). An example is that parents may accept the public schools as given, something that they cannot change. In practice, however, the largest estimated influence on the effectiveness of school organization is the role of parents in the school. All other things being equal, schools in which parents are highly involved, cooperative, and well informed are more likely to develop effective organizations than schools in which parents do not possess these qualities (Chubb, 1988, p.40).

In the NPM and Reinventing Government discourse of the 1980s and 1990s, ideas about organizing government in a more business-like manner became increasingly popular, and resulted in the infusion of competition in public service delivery and the provision of citizens with consumer choice (Osborne and Gaebler, 1992). Public organizations “began to listen carefully to their customers, through customer surveys, focus groups, and a wide variety of other responsive methods” (Ibid., 1992, p.169). Nevertheless, the citizen’s role in actual service delivery was still seen as based on the separate interests of producers and consumers rather than on the value of collaboration (Alford, 1998). At the end of the 1990s and into the 2000s, the citizen’s role as a mere ‘customer’ of the services delivered came into question (Mintzberg, 1996), and co-production as a theme arose under the New Public Governance (NPG) paradigm (Benington, 2009; Moore, 2013). NPG assumes that for the delivery of public services, the government needs to collaborate with other (public, private, and non-profit) actors (e.g., Osborne, 2010; Pollitt and Bouckaert, 2011). Citizen empowerment is seen as essential in order to enhance the quality of services, increase credibility of the decisions made, and in particular raise the government’s legitimacy (OECD, 2001; Pollitt, 2003; Pollitt and Bouckaert, 2011).

Further to being well informed customers with a voice, as advocated in the NPM and NPG approaches, citizens should be well-informed partners (Moynihan and Thomas, 2013). This concerns both citizens as a collective and as direct individual recipients and users. In order to produce a sustainable shift towards improvement in public services, it is inevitable for citizens to increasingly participate at the various production cycles (Benington, 2009). This means that citizens should be involved in co-designing, co-deciding, co-producing, and co-evaluating public services. In short, public services are no longer seen solely as for the public but also by the public, and citizens are expected to contribute to their delivery (Bovaird and Löffler, 2012), even if faced with a wide range of complex issues, the complicated society of today and the challenges of meeting
numerous life demands negatively affect civic engagement (Denhardt and Denhardt, 2007).

### 9.2.2 Limited capacity of service recipients as a challenge for the public service in SSA

In his book 'Sowing the Mustard Seed', Museveni (1997, p. 188) provides a description whereby the majority of the people in Uganda, and in Africa as a whole, are portrayed as peasants. They are largely:

- people who depend on subsistence farming, as opposed to specialisation and exchange, the crucial factors which bring about modernization, efficiency and the flow of business. But if people are frozen in their subsistence activities, effectively trying to be jacks of all trades and masters of none, the economy cannot grow and society cannot develop.
- At present, our people grow their own food; they are their own carpenters, their own masons, even their own doctors.

Hyden (2013, p. 922) points out that “African countries typically lack an independent middle class that can place meaningful policy demands on the government”. The state of affairs as described by both Museveni and Hyden demonstrates the limited capacity of service recipients and citizens in SSA to demand quality public services. This is a major challenge that negatively affects performance management and service delivery in public organizations. Worse still, “traditionally, civil servants have often tended to regard the government as their main customer or client and consequently have tended to down-play their responsibilities to the public in general and to the business community in particular” (Doodo, 1999, p.26). Subsequently “not much effort appears to have been made to acculturate civil servants to addressing the real needs of people and their customers” (Nti, 1999, p.61).

The arguments by both Doodo and Nti indicate that public servants in SSA tend to consider themselves as accountable and answerable to the government rather than to citizens (be it citizens as a collective or as direct recipients of a service), thereby creating a disconnect between what they do and the ultimate objective of service provision. For this reason, Booth (2012) argues that there is disconnect from direct responsibility for improving service delivery because ministries that provide public services do not promote citizen participation. This in effect implies that performance and service delivery problems may be known, but the incentive and capacity to address them may be lacking. In view of the above, the government’s capacity to provide high quality service delivery, and the citizens’ capacity to demand such services represents the “supply side and a demand side respectively of governance improvement” (Ibid, 2012, p.166). The author further argues that:

- on the one hand, improvements in the management of services may be expected as political systems become less patrimonial and comply more closely with modern administrative practices. On the other hand,
politicians and provider professionals will be influenced by bottom-up pressures for better performance as governance becomes more democratic and both voters and service users gain more voice or are empowered (Ibid., 2012, p.166).

It is from this perspective that Moore (2013, p.173) even demands public managers to actively "mobilize constituencies" for their agency. "In low-income Africa, for some general reasons and for some particular reasons, both voter and client pressure are weak factors for improving performance unless there is some kind of shift in incentives from the top down" (Booth, 2012, p.166). Efforts have been made to strengthen the supply and demand side of accountability. For example, the African Public Service Charter, adopted in 2001 recognizes that countries in Africa are experiencing some changes and need to reposition the public services to new requirements and expectations. In that regard, "the charter also defines a framework to guide the public services in Africa in taking such legislative, regulatory, technical, and practical measures" (Economic Commission for Africa, 2003, p.29).

This provides a ray of hope in SSA for co-production and co-creation of public value; one that is, however, yet to be realized. That notwithstanding, a potential tension for governments, in their attempt to increase legitimation by engaging more directly with civil society, lies in the possibility that more active participation by individual citizens, neighbourhood groups, and voluntary associations will result in more vocal challenge to government policies and programmes (Bennington, 2009, p.241).

Theoretical analysis also indicates that "another potential risk is consultation fatigue; whereby participants feel that they are asked for their opinions, see too few changes as a result, and lose faith in the process" (Coats and Passmore, 2008).

A number of issues are debated in the context of citizen empowerment in SSA. First, citizens who are well organized into "grassroots organizations with the incentive and the competence to use the information provided" (Rose-Ackerman 2004, p.22) can help to enhance transparency and accountability by public service institutions (Ibid., 2004). In line with this argument, the World Bank (2005, p. 278) contends that:

the capacity to organize gives citizens “voice” (the ability to monitor the performance of the bureaucracy, generate valuable information, and pressure politicians for action) and “client power” (the ability to engage directly with the providers of services).

Furthermore, the author argues that this strengthens the relationships between political leaders and bureaucrats and further improves the provision of public
services (Ibid., 2005). In line with the above arguments, Booth (2012, p.177) is of the view that “governments of developing countries might seem to have little interest in supporting donor efforts to have them held to account by civil society or voters”. The author indeed argues that donor funding to NGOs to stimulate citizens to demand service delivery may be less embarrassing that when they directly highlight the poor delivery of public services (Booth, 2012).

The issues outlined above represent loopholes in a transparent approach to addressing challenges in service delivery, which partly hinges on the presence and quality of information, education, and communication. Information is very important in terms of enhancing citizen empowerment and promoting participation in public service delivery. African traditional methods of communication were indeed effective in the delivery of information (Dia, 1996). With the introduction of bureaucracy as the public administrative system “some obstacles to development in Africa are traceable to the lack of an appropriate communication strategy that allows the full and active participation of beneficiaries”(Ibid., 1996, p.248), as well as citizens in general.

Decentralization of public service delivery has been pursued as a key reform objective intended to bring services nearer to the people (Aye, 2005). Muhumuza (2008) is nevertheless of the view that:

while local government reforms have symbolically increased participation in terms of geographical space and numbers, the status quo has not changed much. Local governments have remained the preserve of local notables who have the education, financial resources, and influence to contest for power (Muhumuza, 2008, p. 66).

This implies that even at the local level, participation is limited to those who are empowered to participate. The above theoretical discussion identifies some strategies and also some challenges encountered regarding citizen involvement in the provision of public services, specifically in a SSA context. These issues guide the empirical analysis.

9.3 Empirical findings on the role of service recipients in delivering public services

The empirical study sought to establish the responsibility of service recipients in delivering public services. On the demand side of governance improvement, the study assessed the level of service recipients’ empowerment and identified obstacles that limit the role of citizens. On the supply side of improved service delivery, the study focused on issues regarding the responsiveness of services provided. Finally, priority areas for designing stakeholder participation are discussed.
9.3.1 Empowerment of service recipients to participate in the delivery of public services

Over the years, the government of Uganda has instigated a number of initiatives aimed at involving service recipients in the delivery of public services and strengthening the demand side of accountability. As indicated in Chapter Four, ROM was designed to contribute to enhanced performance and accountability by public service organizations. The demand side of accountability falls within this objective. Interventions being implemented include: (i) National Service Delivery Surveys (NSDS) undertaken with the objective of obtaining feedback from service recipients regarding the coverage and quality of public services provided; (ii) household surveys undertaken every two years to collect data on demographic, social, and economic characteristics of the population at household level, in order to make evidence-based policy decisions; (iii) client charters implemented by different institutions within the government aimed at informing service recipients of the services available; (iv) bottom-up participatory planning and budgeting through the decentralized local government system; (v) community meetings (barazas) to discuss service delivery issues that cut across all public services provided by central and local governments; and (vi) revitalization of facility management committees, including those for health care and education. While serving as monitoring tools, these initiatives also provide avenues for providing information and education to, and engaging in communication with, citizens.

Despite these initiatives, findings from both secondary sources and respondents indicate that the level of involvement of service recipients in the provision of public services in Uganda is still minimal. For example, although client charters have been introduced to strengthen the demand side of accountability, the Client Charter Implementation Review Report (INFOC, 2011, on behalf of Ministry of Public Service) indicates that service recipients were inadequately involved in the development process of these charters and a feedback mechanism had not been institutionalized. In the NSDS 2008, only 28% of respondents indicated that they had been involved in identifying government projects, while only 11% indicated being involved in monitoring and evaluating government projects. The empirical data supports these insights. It is a contradiction that while 97% of the survey respondents recognized that client participation in public service delivery is important, only 39% believed that citizens are actually empowered to participate, as indicated in Table 9.1.
Table 9.1: Stakeholder participation and empowerment

<table>
<thead>
<tr>
<th>Client and stakeholder participation is an important aspect of performance and service delivery</th>
<th>Citizens are empowered and are knowledgeable about their rights and obligations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Frequency</td>
<td>Percent</td>
</tr>
<tr>
<td>Strongly agree</td>
<td>72</td>
</tr>
<tr>
<td>Agree</td>
<td>43</td>
</tr>
<tr>
<td>Neither agree nor disagree</td>
<td>2</td>
</tr>
<tr>
<td>Disagree</td>
<td>0</td>
</tr>
<tr>
<td>Strongly disagree</td>
<td>2</td>
</tr>
<tr>
<td>Total</td>
<td>119</td>
</tr>
</tbody>
</table>

The Constitution of Uganda (1995) sets out the rights and obligations of citizens. Among the listed duties of a citizen include being loyal and patriotic to Uganda and promoting her well-being; engaging in gainful work for the good of oneself, one’s family, and for the common good and national development; and contributing to the well-being of one’s community. For these duties to be performed, every citizen and citizen contribution needs to be valued. Paradoxically, in the Ugandan context the role of citizens as voters negatively affects more direct involvement. Respondents were generally of the view that service recipients are “highly valued as voters, and every effort is made not to upset their commitment to vote” (FGD, all LGs). As a consequence, service recipients are not adequately mobilized and sensitized in terms of the requirements of policy initiatives. For example, free education and health services do not mean that service recipients are not meant to contribute anything, yet this is not a message that is clearly communicated to the public. Furthermore, the system of clientelism is found to hinder the potential to establish participation, as citizens seek public services not only from official institutions but also from individual political leaders. In addition, because of political leaders’ own lack of commitment to paying taxes, their moral authority to demand that the public pays taxes, contributes user fees, or is engaged in community work is limited. Service delivery has been politicized, and political decisions sometimes contradict practical policy implementation issues (Informants and FGD, Kabarole and Tororo District).

An important issue raised is the lack of empowerment of communities to financially contribute to public services. People are made to believe that government has the capacity to provide all of the public services required, and yet it does not. Respondents indicated that this state of affairs contributes to poor performance and service delivery. At the end of the day, “a service is not adequately provided or it is paid for in an informal and discriminatory fashion, because standard user fees are not prescribed” (Informant, Gulu District). Free services are perceived as breeding an ‘I don’t care’ attitude among providers and recipients. Providers know that they will not be put to task by service recipients.
because of the poor pay of public servants, lack of adequate tools, and citizens who expect services free of charge. At the same time, citizens have no basis from which to demand quality (Informant, Gulu Regional Referral Hospital). Payment, it was argued, would even promote preventive care as free services are believed to have made people lazy (Informants, Tororo DLG). For instance, reference to the universal primary education programme as the “President’s programme, and the pupils as the children of the President” (FGDs, Tororo and Luweero District) is perceived to have led to the lack of commitment by parents to provide food and scholastic materials for their children. In some exceptional cases, respondents indicated that political leaders were sensitizing citizens to contribute to the delivery of the UPE programme in order to improve results (Informant, Kabarole District).

Creating a direct link between fees or taxes and services is perceived as critical for promoting ownership and empowering citizens to demand quality services. Equity is a challenge, however, between those who can and those who cannot afford services. The Household Survey 2009/10 indicated that 24.5% of Ugandans are poor, of whom the majority live in rural areas. The issue of financial contribution adds to the discrepancy between government and private services where service recipients have the capacity and willingness to contribute. Furthermore, it creates discrepancy and variance in terms of the quality of public services between the central and local governments, among local governments, and within a local government. The establishment of user fees could improve citizen participation, since it creates ownership and increases the demand for quality services. It might, however, further turn away poor people who cannot afford to pay. The influence of extreme cases of poverty on the capacity to access service delivery cannot be underestimated: “Even in the presence of universal primary education, poor families will not take children to school. When they do, the children drop out!” (Informant, Tororo District).

Another important factor is literacy. According to the NSDS 2008, 20% of the population has not attained formal education, while 30% of the pupils enrolling for school did not complete primary education. This information is comparable to that of the Household Survey 2009/10, which indicated that the literacy rate among persons aged 10 years and above was 73%. Literacy is important for empowering service recipients and increasing citizen participation. A report by Transparency International Uganda (2008-2011, p.58) that tracked government expenditure, for example, shows that:

the level of competence and activism of the citizenry (parents and communities) in northern Uganda is very low which results in a weak demand side in education service delivery. Parents are apathetic about monitoring education service delivery as well as monitoring their children’s attendance and performance.... School management committees in most of the schools surveyed do not have the capacity to supervise head teachers.
It can also be seen from the Household Survey 2009/10 that women are less empowered to participate in the delivery of public services, most especially in rural areas; the male literacy rate was assessed at 79%, while for females it was 66%; and urban literacy was 88%, while rural literacy was 69%.

9.3.2 Responsiveness of public services provided
Responsiveness of public services includes elements of accessibility and timeliness. The NSDS 2008 established that the average distance to a government health facility was 6 km. The survey also established that at the national average, about 79% of pupils travelled a distance of about 3 km to school, while 1% travelled more than 10 km. This implies that about 20% of pupils travel for a distance of between 3 and 10 km to access their school (Ministry of Public Service and Uganda Bureau of Statistics, 2009). The Household Survey 2009/10 established that 76% of all primary schools in the country were managed by the government. In rural areas, the large majority (80%) of primary schools were managed by the government, while in urban areas just over half (51%) were managed by private entities. Concerning health care, the Household Survey 2009/10 indicated that 51% of the population in urban areas and 41% in rural areas sought treatment from a private clinic as their first point of contact. These findings indicate that both the government and private providers have a responsibility in delivering services in education and health, and that there are issues of responsiveness and quality that need to be addressed.

In the empirical study, respondents indicated that structures for service delivery are in place but are not fully functional. This applies to structures at the central government, local governments, and service delivery points. A general issue raised at central government level was that recent public sector reforms have been more concerned with efficiency gains than with service delivery requirements. At the local government level, concern was raised that while decentralization should help to create a meaningful impact in terms of having government felt by the people, influencing the way in which services are provided to suit unique requirements, and creating a system that promotes participation and ownership of programmes, this has not always been the case. Although management committees are recognized as part of the structure of service delivery, these are also perceived as not very effective, either because they may not be fully functional or because they do not have the capacity to undertake their role. Management committees are perceived as being functional mainly in urban areas, where service recipients are more involved (FGD, MoPS).

In the questionnaire, respondents indicated the extent to which they felt that clients and stakeholders are satisfied with different aspects of the public services delivered. The responses are shown in Table 9.2. It is interesting to note that a reasonable number of respondents, being public servants themselves, remained neutral on most of the issues, with the exception of the aspects of public servants being helpful and services being accessible.
Table 9.2: Perceptions of respondents regarding responsiveness of public services: To what extent do you feel clients and stakeholders are satisfied with the different aspects of public services delivered by your school or health centre?

<table>
<thead>
<tr>
<th>(a) Accessibility of services</th>
<th>(b) Timeliness/responsiveness of services</th>
</tr>
</thead>
<tbody>
<tr>
<td>Frequency</td>
<td>Percent</td>
</tr>
<tr>
<td>Strongly agree</td>
<td>18</td>
</tr>
<tr>
<td>Agree</td>
<td>68</td>
</tr>
<tr>
<td>Neither agree nor disagree</td>
<td>16</td>
</tr>
<tr>
<td>Disagree</td>
<td>15</td>
</tr>
<tr>
<td>Strongly disagree</td>
<td>2</td>
</tr>
<tr>
<td>Total</td>
<td>119</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(c) Quality of services</th>
<th>(d) Cost of services</th>
</tr>
</thead>
<tbody>
<tr>
<td>Frequency</td>
<td>Percent</td>
</tr>
<tr>
<td>Strongly agree</td>
<td>9</td>
</tr>
<tr>
<td>Agree</td>
<td>55</td>
</tr>
<tr>
<td>Neither agree nor disagree</td>
<td>31</td>
</tr>
<tr>
<td>Disagree</td>
<td>20</td>
</tr>
<tr>
<td>Strongly disagree</td>
<td>4</td>
</tr>
<tr>
<td>Total</td>
<td>119</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(e) Public servants are helpful and courteous to clients</th>
</tr>
</thead>
<tbody>
<tr>
<td>Frequency</td>
</tr>
<tr>
<td>Strongly agree</td>
</tr>
<tr>
<td>Agree</td>
</tr>
<tr>
<td>Neither agree nor disagree</td>
</tr>
<tr>
<td>Disagree</td>
</tr>
<tr>
<td>Strongly disagree</td>
</tr>
<tr>
<td>Total</td>
</tr>
</tbody>
</table>

At the service delivery facility level – i.e. schools and health units – respondents identified some achievements, which included the fact that the decentralization of the service delivery system has brought services nearer to the people. One impact of this is that people no longer have to walk long distances in order to obtain a service. This is not the situation in all local governments, however. There are still areas where service recipients have to walk long distances to a service facility, mainly because of lack of uniformity in the approach to policy implementation and dysfunctionality of the facilities that are within reach. The empirical findings also indicate a gap between citizen expectations and reality, which is large in some cases, though not present in others. The lack of an expectation gap was mainly attributed to service recipients who are generally unaware of their rights and service delivery standards, and to those who have been disappointed by past experience and have either resigned themselves to what is available or have given up trying to get a service altogether. The example referred to earlier drawn from the famous book of Osborne and Gaebler (1992)
of parents accepting the functioning of public schools as given, also applies to most schools in Uganda (Transparency International Uganda, 2011).

9.3.3 Priority areas for consideration when designing stakeholder participation

This research focused on the perceptions of public servants who are in effect service providers. Respondents were requested to indicate their views on client/stakeholder participation for the services that they provide. In Chart 9.1, results were ranked according to different aspects on a scale of one to five, where one was the most preferred and five the least preferred. The aspects were: (i) well-defined roles and responsibilities of service providers and recipients; (ii) well-defined processes and service standards that service recipients should expect; (iii) appropriate user fees that are published, known, and commensurate to the service; (iv) a mechanism for clients to provide feedback; and (v) consultation of clients when policies and programmes are being designed.

Respondents put forward as a priority the need to have well-defined roles and responsibilities for service providers and recipients, followed by feedback regarding services that service recipients should expect. Respondents in FGDs indicated that effort should be made to encourage citizens to contribute to public services within their means. Examples identified within primary education included provision of meals and scholastic materials to pupils. In addition, respondents thought that parents should be vigilant about attending meetings convened by schools and participating in programmes and projects. Respondents thought that it would be good for parents to ensure that pupils attend school and to discuss the performance of pupils. Regarding health services, respondents were of the view that patients need to seek timely treatment and adhere to the advice provided by medical personnel. In addition, they indicated that minimal user fees should be charged and service recipients encouraged to pay in order to improve the quality of service delivery. Some of these observations are tenable, depending on the manner in which they are implemented.
9.3.4 Emerging contradictions affecting citizen participation in the Ugandan context

A key finding in the Ugandan context is that the engagement of service recipients in the demand for the delivery of quality public services is still limited. As a result, there is little bottom-up pressure for the public service to improve the responsiveness and quality of services. From the analysis, a number of contradictions regarding the rights and responsibilities of service recipients in public service delivery have emerged, as indicated in Table 9.3.

<table>
<thead>
<tr>
<th>Citizen right</th>
<th>Responsibility/Obligation</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Citizen as service recipient</td>
<td>Obligation to contribute to services, e.g. through user fees.</td>
<td>The expectation of ‘free services’ is not realistic/feasible. Responsible citizenship requires citizen contribution in one way or another. The current interpretation of ‘free services’ in effect may imply people fending for themselves, because a service may not be completely free.</td>
</tr>
<tr>
<td>Citizen as shareholder of services</td>
<td>Obligation to pay taxes.</td>
<td>Notwithstanding both the political interpretation of taxes and poverty levels, the government holds a responsibility to empower citizens to meet their obligations and discourage a citizen dependency syndrome.</td>
</tr>
<tr>
<td>Citizen as stakeholder</td>
<td>Obligation to monitor public services and provide feedback.</td>
<td>Because of the need to meet basic requirements, not much attention is paid by citizens to what goes on in the public sector. Citizens are not provided with relevant information to empower them to monitor and evaluate services, and to demand for accountability and quality services.</td>
</tr>
<tr>
<td>Citizen as part of the overall community in which public services are provided</td>
<td>Responsibility to participate in the community and to build a positive work culture in which public servants operate.</td>
<td>This is set against a culture that glorifies individual wealth irrespective of its source. Some citizens offer (and/or take) favours from public servants in exchange for a public service.</td>
</tr>
</tbody>
</table>

The contradictions shown in Table 9.3 in part reflect a conflict between the priorities of building a modern state and traditional structures, culture, and values. There is need to take into account the cultural reality in which public services are being delivered, and the potential conflicts that exist between norms indigenous to African societies, norms that were introduced by the colonial powers, and the public sector reform agenda (Hyden, 2013). Distinct roles and responsibilities regarding the citizen as service recipient, shareholder,
stakeholder, and as part of the service delivery environment are not clear. This partly explains the discrepancy between expectations and the quality of public services delivered. To citizens, it may not be clear that a free service is not feasible and that user contributions would enhance quality. Citizens may not be aware that they have a role to play in monitoring the quality of services provided, for instance by providing appropriate feedback. Citizens may also not be aware of the relationship between the work culture in the public service and the general living, working, and cultural environment of the population. Public servants cannot be expected to behave completely differently from the environment in which they operate. All key players, including political leaders, public servants, and citizens themselves have a role to play in strengthening citizen participation in service delivery.

9.4 Conclusion

Using the words of Heady (2001, p.276) Ugandan society is in transition: “no longer traditional and not yet modern”. The analysis shows the implications of this for the role of citizens in service delivery. Taking into account existing research and theoretical reflections, it is generally acknowledged that service recipients as stakeholders not only have a right to quality services, but also that their involvement is a prerequisite for achieving and legitimizing such services. The assessment and establishment of the desired quality and quantity of services is, certainly in a democracy, a matter of interest for the very citizens that these services exist for in the first place; be it individual citizens as users of services who should actually benefit as much as possible from these services, or the citizens as a collective demanding specific services and levels of provision.

The discussion regarding Western and SSA views on citizen engagement enables appreciation of the diversity and commonality of the contexts in which service recipients are involved. A key finding of the empirical research in the Ugandan context is that respondents clearly show that clients and stakeholders are at present inadequately engaged in the delivery of and demand for quality public services. Setting aside the difficult and particular problems of illiteracy and poverty in SSA, this is due to a number of contradictions regarding the role of the citizen as service recipient, shareholder, stakeholder, and as part of the community in which public services are provided. Although there has been some effort to include citizen participation in the design of policies and programs, there are still questions regarding the level of commitment towards them, and subsequently the intended objectives and beneficiaries of some of the policy interventions.

Building a sustainable service delivery system in Uganda needs to meaningfully involve service recipients and other stakeholders in order to promote ownership, social accountability, and good governance. In practice, however, the majority of citizens are more or less passive recipients of the available services, irrespective of their quality. They are insufficiently empowered to demand quality services.
and to hold the public service accountable for its actions or inactions. Reform management in public services is needed in order to inspire both public servants and service recipients to collaboratively pursue the attainment of common service delivery objectives.

Taking into account public servants’ perspectives on service recipients, a number of issues that affect the participation of citizens in service delivery have emerged. This provides leverage for understanding reforms in citizen engagement as a continuous process and for seeing organizations as being able to learn. Service recipients, if empowered, can play an important role in determining priorities, monitoring and providing feedback on public services delivered by government, and promoting their sustainability. More effective service delivery in the Ugandan public service will not take root, however, unless it is translated into a culture that supports the building of state capacity at all levels, not only political and administrative actors but also the community as service recipients.

A number of recommendations for areas of prioritization for the government of Uganda (and other SSA countries) as well as other actors involved in empowering service recipients to contribute to public service delivery (including development partners and civil society), which take into account the context of Uganda as a developing country, are made in Chapter Eleven. These recommendations start from the assumption that stronger and direct citizen involvement is desirable, both at the level of citizens as a collective (the public interest) and as individual users or service recipients.
CHAPTER TEN

COMPARATIVE EXPERIENCES AND EXTERNAL FACTORS THAT AFFECT THE TRANSFER OF PERFORMANCE MANAGEMENT REFORMS TO SUB-SAHARAN AFRICA

10.1 Introduction
As indicated in Chapter One, among the key research questions that this study seeks to address is the question of which external factors influence the transfer of performance management reforms from a Western to a SSA setting. In order to address this question, a comparative analysis with Ghana and Zambia is made to provide a broader scope for analysing performance management issues within the region. In addition, practices in the Netherlands and the United Kingdom are analysed to underscore specific aspects that may be taken into account when transferring performance management practices from a Western to a SSA setting.

10.2 Comparative experiences of performance and service delivery reforms in Ghana and Zambia
This section presents a comparative analysis of the practices of performance management and service delivery with Ghana and Zambia. The analysis is based on interviews with five key informants in Ghana, two experts from Zambia, and secondary information, mainly from internet sources. The analysis is not intended to provide a detailed account of the implementation of performance management and service delivery reforms in these countries. Rather, it highlights some of the main cross-cutting issues that inform the analysis of their transfer from a Western to a non-Western setting. First, a general short overview of performance management and service delivery in Ghana and Zambia is made. Thereafter, an analysis of the factors that affect performance management in the two countries is presented.

Like Uganda, both Ghana and Zambia are implementing performance and service delivery reforms within the context of a public service reform programme. As indicated in Chapter Two and later in this chapter, the reform programmes in the three countries were initiated within the framework of structural adjustments programmes (Kiragu, 2002), with their initial focus on rationalization of the public service. Currently, the reform regimes in Ghana and Zambia also focus on the improvement of performance management and public service delivery (examples from Therkildsen, 2001; Osei and Nwaseki, 2009).

In both Ghana and Zambia, the performance management framework mainly focuses on performance contracts or agreements that are applied to senior staff and individual staff performance appraisal. In both countries, staff performance
appraisal systems have been reviewed to make them more results focused. Furthermore, output-or activity-based budgeting processes have been introduced (for example, Ministry of Finance, Ghana, 2013). Like in Uganda, performance management and service delivery reforms are at the forefront of the education and health sectors in Ghana and Zambia. Universal access to primary education and health care is being promoted in line with the MDGs (Atta Mills, 2010; Ministry of Health Zambia, 2005).

It is against this background that the factors that influence performance management are discussed. In order to be able to make a meaningful comparison of performance management between Uganda, Ghana, and Zambia, the key issues that emerged from the theoretical analysis in Chapter Two are maintained, considering that the same issues are also applied in the empirical research and analysis of the experience of Uganda. These are: leadership, management of resources, institutional structures, human resources, and the participation of citizens. The service delivery policy sectors – education and health – from which examples have thus far been drawn are also maintained. Taking the experience in Uganda as the starting point, the analysis focuses on the similarities and differences in the practices of Ghana and Zambia.

10.2.1 Leadership capacity
Leadership, including concern for governance, is a key issue for the implementation of performance management and service delivery reforms in Ghana and Zambia. To this effect, a governance component has been included in the design of most reform strategies in SSA, based on the assumption that governance is a prerequisite for public sector reform and improvement in service delivery. According to Grindle (2002):

despite considerable discussion of the importance of good governance and the indication of a variety of steps that need to be taken, concern with good governance in the PSRPs often lacked depth in linking a clear diagnosis with clearly relevant remedies (Ibid., p. 5,6).

This assertion is relevant in all of the three SSA countries under study. In Ghana, for example, it is suggested that:

leadership should be at the forefront of championing performance management and public sector reform. Changes or discontinuity in political leadership has an effect on ongoing programmes, sometimes negative. This is because leaders may want to take a different line than their predecessors, perhaps because they want to show that they are different or because they do not appreciate what the previous leaders were doing. Furthermore, stay in power for a long time, as well as regular changes in leadership bring about different challenges. Having a regular and transparent system of leadership change is however, important (Informant, Ghana School of Public Administration).
Following elections in 2011 in Zambia, in which an opposition political party took over power, the country is reported to experience such related transitional difficulties:

the new government wishes to demonstrate to the electorate that substantial reforms are being undertaken, for example with regard to managing subsidies. These reforms may not be sustainable, however, if not well thought out, and may have an impact on the implementation of public service reforms (Expert Informant, the Eastern and Southern African Management Institute [ESAMI]).

At the local government level in Ghana, as in Uganda, there are issues regarding the quality of leadership:

rapid improvement in the quality of local leadership would require setting a minimum level of literacy for those seeking public office. This would, however, contradict the principles of decentralization and local democracy, which include popular participation and giving a voice to the voiceless. All local elections in Ghana are sponsored by the state in order to even out the financial requirements that would otherwise be a hindrance to some aspiring candidates. There is also effort to ensure that local interests supersede partisan politics by focusing district assembly debates on issues and not on politics. To promote this position, 70% of local council leaders are elected, and are not openly supported by political parties, while 30% of the local council is nominated by the President in consultation with traditional leaders (Informants, Ghana Ministry of Local Government; Ghana School of Public Administration).

Antwi-Boasiako (2010, p.172) however, argues that:

leaders tend to delegate responsibilities and government duties to individuals who are loyal to a ruling party instead of allowing the grassroots to elect their own leaders to ensure security. It could be argued that such appointments do not consider the interest of the citizens, who oftentimes reject the presidential appointees.

A contrary position in Uganda is that political parties support candidates in the elections both at national and district levels. In Zambia as in Ghana, traditional leadership still influences political decisions, to the extent that a traditional leadership council is in place to contribute to political decisions (Expert Informant, ESAMI). Compared to Ghana and Zambia, cultural leadership institutions in Uganda do not directly participate in the policy making process. As indicated in Chapter Two, this appears to arise from the strategies for colonisation. Some political leaders indeed argue that politics should be completely separated from cultural and religious institutions. A contrary argument is that positive traditional values can serve as a basis for building strong national values. From the above, it is clear that the three countries have
divergent and sometimes extreme experiences of what leadership and
governance is because of the different cultural diversities, economic situation,
and local and international expectations, that may result into different levels of
focus on results orientation of public services.

10.2.2 Management of resources
As highlighted in the experience of Uganda under Chapter Six, in Ghana and
Zambia inadequate resources also negatively affect the pace of performance and
service delivery reforms. According to Thirkildsen (2001, p.31) “unpredictability
of resources clearly undermines the basis for performance management”. This
challenge should normally be addressed through tax revenue collection. As
discussed under Chapter Six, it specifically emerged that the scope for increasing
tax revenue is limited and that there is a gap between plans, resources and
financial releases. According to the OECD (2010, p.16), “it is very difficult to
mobilise public support for tax reform.” All interest groups are not keen to pay
taxes because of the difficulty of clearly establishing who benefits from public
expenditure (Ascher, 1989). That notwithstanding, some effort has been made to
improve tax administration in SSA. Ayee (2005, p.25) observes that the
establishment of independent revenue authorities “has increased levels in
revenue collections, and administrative efficiency and greater compliance from
formal sector taxpayers”, although there are still challenges. Adamolekun (2007,
pp. 92-93) also specifically points out that “although some other countries that
have adopted the approach have not produced similar outstanding results
(Zambia and Uganda), performance post-enclaving has been an improvement in
every case compared to the pre-enclaving situation”. In Ghana, an example of a
good practice is:

the creation of a link between revenue, the budget, and services. For
example, there is deliberate effort to make taxpayers aware that a
specific percentage of the Value Added Tax (VAT) that they pay is a
contribution to medical services and universal primary education (2.5%
of VAT for each sector). This creates a sense of ownership of the
programmes. Activity-based budgeting and the implementation of the
Integrated Financial Management Information System (IFMIS) are other
initiatives that are being undertaken (Informant, Ministry of Finance and
Economic Development, Ghana).

According to informants, the implementation of fiscal decentralization in Ghana
has encountered a number of challenges. These include: (i) transfer of functions
to local governments without transfer of the corresponding resources; (ii) the
fact that the most difficult to collect revenues are left to the local governments
and the straightforward revenues are collected by the central government; (iii)
delays in remitting funds to the local governments; (iv) lack of harmony between
the budget and the plan at the implementation stage; and (v) reliance on donor
funds (Informants, Ministry of Local Government, Ghana; Ghana School of
Public Administration). These issues are similar to those that emerged in Uganda
as discussed under chapter Six and have far reaching implications for performance management and service delivery in the local governments in SSA, most especially in terms of coverage, timeliness, and quality of services. While a proposal for a composite budget system in Ghana has been made to enable the direct transfer of resources to local governments without channelling them through the sector ministries (Informants, Ministry of Local Government, Ghana; Ghana School of Public Administration), in Uganda, this is being implemented with respect to the two policy sectors under study, constituting one of the main areas of divergence in empirical experience. Similarly, local governments in Zambia are faced with challenges in terms of low local revenue generation and inadequate resource transfers from central government that are not in tandem with decentralized functions (Chitembo, 2009).

The experience in Zambia is comparable to that of Uganda and Ghana, as indicated above. Public sector reforms, including reforms in education and health, are largely funded by development partners with incentives that are sometimes involuntary (Dijkstra, 2002; de Kemp, Faust, and Leiderer, 2011). An issue that emerges across the three countries is the shift towards budget support as opposed to project support, in line with the Paris Declaration (2005) principles. Budget support, however, has in some instances encountered a back and forth implementation process because of the need to sustain confidence among development partners that the money will be applied as agreed (Informant, MoFPED).

In all three countries, the implementation of financial management reforms has focused on “the introduction of a medium-term expenditure framework (MTEF) and an integrated financial management information system (IFMIS)” (Wynne, 2005, p.3) that are supported by development partners. These particular reforms are, however, not a guarantee of improvement in financial management practices in SSA (Ibid, 2005). As indicated earlier in the general characteristics in Chapter One, section 1.5.2, Uganda puts more funds, as a percentage of its GDP, into health compared to education. Ghana on the other hand allocates more resources to education than health. The effectiveness of allocations in relation to the challenges needs to be established.

In all three countries, a sector wide approach (SWAP) to planning and budgeting has been adopted (World Bank, 2001; OECD, 2008). Looking at the specific example of the health sector Walford (2007) indicates that health sector SWAPs provides ground for building local leadership capacity for implementation, and integrating policy issues within the MTEF. Specifically in Uganda, Cruz, Cooper, McPake, Yates, Ssengooba, Omaswa, Kirunga Tashobya, and Murindwa (2006) are of the view that the SWAP approach created leverage for strengthening mechanisms for budget support, monitoring of performance, collaboration amongst donors and implementing MDAs. That notwithstanding,
the authors also indicate that commitments to the MDGs re-introduced project approaches that are very strenuous on the health systems.

The above analysis shows similarities of issues and challenges between the three countries, regarding the management of resources. This appears to result from borrowing practices as well as from the common conditions imposed by development partners, for example, requirements for implementation of the MDGs. Overall, in all three countries there is still a considerable degree of reliance on donor support. This implies that these governments may at times concede conditions for donor assistance contrary to local realities. In addition, there are limitations regarding both the amounts and the modalities of the transfer of resources from the centre to local governments. Although independent revenue authorities have been established, there is still a constrained revenue base that curtails the establishment of a comprehensive framework for revenue collection (Ayee, 2005; Adamolekun, 2007; OECD, 2010). Worse still, obligations are transferred to local governments without the requisite transfer of resources (for example, Chitembo, 2009; Local Governments Finance Commission Uganda, 2015). As indicated earlier in the introduction, it is a contradiction that all three countries are well endowed with natural resources, which are nevertheless poorly exploited for the provision of quality public services.

### 10.2.3 Institutional structures

Empirical analysis of the situation in Uganda, as discussed in Chapter Seven, indicates that effort has been made to redefine the role of the state and decentralize service delivery. This notwithstanding, in some instances, finding a very clear, appropriate and distinct delineation regarding what central government should do and what should be left to local governments remains a challenge. The experience in Ghana shows a combination of similarities and differences with Uganda. According an informant, the initial decentralization process in Ghana, which began in 1988, was based on a basic needs philosophy that included provision of electricity, construction of secondary schools, provision of water through mechanical boreholes, the establishment of a District Health Facility, and construction of second class roads in local governments (Informant, Ghana School of Public Administration).

Like Uganda, the number of local governments has also increased since the decentralization process began. According to an informant, even where there is an argument that local governments have led to accelerated development, the number of local governments is seen as getting too big, growing from 65 in 1988 to 170 in 2011. Agreed criteria for the establishment of new local governments should be put in place to avoid the perception that the political objective of decentralization...
overrides the development objective (Informant, Ghana school of Public Administration).

Accordingly, Atta Mills (2010, p.23) emphasizes that beyond the persistent constraints, “there is lack of shared conceptual and political understanding across governments and civil society regarding the overall direction of decentralization”. In addition, the “lack of clarity in roles and functions of MDAs often leads to the duplication and overlap of functions among the MDAs, which result in the misuse and waste of resources” (Ibid., 2010, p.23). Like Zambia, Ghana has a regional tier local administrative system in place (Informant, Ghana school of Public Administration). As in Uganda, Ghana also implements a decentralized health service delivery system:

the health administrative structure in Ghana is based on three levels: district, regional, and national. It is administered according to five functional levels, namely community health level, health centres under the sub-district level, hospitals at the district level, regional hospitals, and national hospitals (Informant, Ministry of Health, Ghana).

The public service delivery system in Zambia is also decentralized. Secondary information indicates that the decentralization of health services was prioritized in the reform process as a key driver for governance (Ministry of Health Zambia, 2005). The three levels of public health facilities are “hospitals, health centres, and health posts; the hospitals are divided into primary (district), secondary (provincial), and tertiary (central) facilities” (Chankova and Sulzbach, 2006, p. 5). Some of the arrangements for the management of health care delivery have, however, been decentralized, divested and recentralized (Ministry of Health Zambia, 2005). Overall, there appears to be a challenge between the creation of decentralized administrative units and the deepening of the service delivery process. With regard to education, the Zambia Human Development Report indicates that:

the slow pace of decentralization and the lack of a legal framework for local institutions have resulted in limited local participation and accountability, which has hindered improvements in the quality of education and skills necessary for sustainable growth and human development (UNDP, 2011, p.11-12).

The relationship between policy formulation and implementation, as discussed in Chapter Seven, emerges in the three countries. In Ghana, informants indicated that aside from the technical ministries that are responsible for policy, there is a Ghana Education Service and Ghana Health Service that are specifically responsible for implementation (Informant, Ghana MoH and Ghana Education Service).

Regarding private participation in Ghana, recognition is made of services being provided by the private sector, which are sometimes of a better quality than
public sector services (Informant, Ministry of Health, Ghana; Education Service, Ghana and Ghana School of Public Administration). In addition, “Christian organizations operate larger hospitals and clinics, mostly in rural areas” (Salisu and Prinz, 2009, pp. 13-14). Similarly, according to the Uganda Ministry of Health (2010b), faith-based:

PNFPs account for 41% of the hospitals and 22% of the lower level facilities complementing government facilities especially in rural areas. ... The PNFPs currently operate 70% of health training institutions (Ibid, p.7).

This is a substantial contribution to health care in Uganda. In Zambia, of the 1,327 health care facilities, “85 percent are government-run facilities, while 9 percent are private sector facilities and 6 percent religious affiliated (mission) facilities” (Chankova and Sulzbach, 2006, p.5). Government, however, provides subsidies to private not-for-profit (PNFP) hospitals that complement government services. The challenge is that PNFP hospitals are perceived as providing a better working environment than the government hospitals (Informant, MoH Ghana; FGD, MoH), posing a challenge in terms of HRM and subsequently performance management as discussed further below.

10.2.4 Human resources management

The theoretical analysis discussed in Chapter Two places emphasis on the need for the prioritization of HRM reforms, emphasizing that they should be at the forefront, as opposed to moving from behind on the list of reform priorities. The size, employment, staff appraisal and pay issues of the public service in all the three countries is analyzed under this section. As discussed earlier under Chapters Two and Eight, in all SSA and subsequently in all the three countries (Uganda, Ghana and Zambia), the initial focus of public sector reforms was on reduction in the size of the public service. This strategy was contrary to the requirements for an increasing population and the resultant increase in demand for services (United Nations, 2005). The scarcity and demand for public services is even more pronounced in the rural areas. A good practice that is highlighted in Ghana is:

the drive for recruitment in hard to live in areas. For example, students wishing to join teacher training colleges are recommended by local councils and commit that they will be available to return to work in the specific local government (Informant, Ghana Education Service).

Similarly, Health Training Institutions are also geographically spread out, in order to encourage training and recruitment of local manpower (Informant, Ghana Ministry of Health). These efforts notwithstanding, the perception of informants was that HRM in Ghana is still largely centralized. Accordingly, the Ghana Health Service and Ghana Education Service manage human resources for the health and education sectors respectively. This contradicts some of the legal provisions in the Ghana Health Service
and Teaching Hospitals Act (1996) and the Local Government Service Act (2003), making it difficult to effectively decentralize these areas (Informants, Ghana Ministry of Local Government, Ghana School of Public Administration).

In Zambia, the Ministry of Health (2005, p.22) indicates that the country’s health sector is:

- experiencing a human resource crisis, which is significantly undermining its capacity to provide even the basic health care services to the people.
- The extent of the crisis is such that many Rural Health Centres have no staff or are staffed by untrained personnel and new facilities have been opened without additional staff to run them.

The challenges appear to persist as “Zambia continues to face a severe skilled health workforce shortage... Despite the increase in health staff since 2005 and the support of expatriate and volunteer health workers, a gap remains between the number of available health staff and the needs of the health sector” (Ministry of Health, 2011, p.15,17). In addition to the severe staff shortage, “Zambia continues to suffer from an inequitable distribution of health workers, at the disadvantage of rural provinces” (Ibid, p.18).

Uganda and Ghana experience similar challenges, in particular with health workers being more concentrated in urban areas. According to the Ministry of Health, Uganda (2010b, p.36-37) “there is inequitable distribution of health workers among districts, between rural and urban areas, and between public and private providers”. This is emphasised by the assertion that “HRH distribution, particularly among higher-level professional cadres, is skewed toward urban areas. Likewise, regional distribution is skewed towards the central region inclusive of the capital city (Kampala)”(Ministry of Health, Health Systems 20/20, and Makerere University School of Public Health, 2012, p.45). Ghana too faces challenges in terms of distribution of its human resources, with more health workers located in urban areas (Ghana Health Service, 2011). In that regard, “Fifty percent of all Ghana’s doctors are in the Greater Accra Region”(Ministry of Health, Ghana, 2014, p.12). In all three countries, as indicated in Chapter One, section 1.5.2, physician density is less than 1:1000. Similar challenges are faced regarding the number, distribution, motivation, and facilitation of teachers in primary schools in all three countries, affecting the quality of education provision (Atta Mills, 2010; UNDP, 2011; Transparency International Uganda, 2011; Ministry of Education and Sports, 2013).

In all three countries, efforts have been made to place senior public servants on performance agreements or performance contracts, with implementation at different stages (Osei and Nwasike, 2009). Thirkildsen (2001, p.31) has expressed the view that:
the measurability of performance is problematic too, both in sectors with soft and varied outputs, and especially in the absence of a common and broadly accepted framework defining what good performance means. As a result, information about actions, including statistical data, becomes meaningless to the actors (citizens, politicians or managers) in the accountability arena (whether as citizens, politicians or managers).

The objectivity of staff performance appraisals is also still perceived as a challenge. This undermines the performance management systems that are being introduced (Osei and Naswike, 2009). As discussed in Chapter Eight, the inadequacy of sanctions regarding what happens in case of non-appraisal of staff, or underperformance of staff, undermines the entire process.

Besides the challenges of performance agreements and staff performance appraisal, the low level of pay for public servants in all the three countries is a major concern affecting the management of human resources (KPMG, 1999, on behalf of Ministry of Public Service; The Law and Development Partnership Limited, 2004, a review on behalf of Ministry of Public Service; Valentine, 2002, on behalf of Cabinet Office, Zambia; Kiragu and Mukandala, 2005). Pay reform studies and/or job evaluations have been conducted at different times in all three countries, and pay reform strategies implemented alongside employment reforms (Kiragu and Mukandala, 2005). Nevertheless, challenges in implementation persist. The Zambia medium pay strategy of 2002 indicates that the consequences of low pay have had “significant negative implications for the quality of public sector performance” (Valentine, (2002, p. 9) on behalf of Cabinet Office, Zambia).

In Ghana, teachers and health workers are relatively well paid compared to those in Uganda. This may be attributed to more advanced labour unions and negotiations (Informant, Ministry of Health, Ghana). However, implementation of the single spine salary structure is a challenge and its roll-out has indeed stalled (Informant, Ghana Public Service Commission). Public servants in Zambia also benefit from a strong negotiation machinery with the government. Some of the initial increments in pay were, however, met by development partners, with the corresponding risk that the pay demands are unsustainable (Expert Informant, ESAMI). In Uganda as well, some funds from donors are applied to pay salaries for staff positions not funded by the national wage bill. Midwives are specifically targeted as a strategy for improving maternal mortality indicators, in line with the MDGs; for example, USAID funded such a project in Kabarole District (Informant, MoH). It is assumed that the government will take over responsibility for the pay of those midwives upon completion of the project.

Of the three countries, secondary sources suggest that Zambia has perhaps seen more unique and volatile strategies for HRM reforms in terms of decentralization, contractual arrangements, and pay reforms (Expert Informant,
Arising from the discussions above, prioritizing HRM and capacity development as a driver of performance and service delivery reforms is still elusive in all three countries as human resources are mainly perceived as a cost. For example in Zambia, all sectors have been adversely affected by shortages in human resources and a general lack of motivation to provide the required services with the quality required. This has been reflected in the decline of relevant indicators, such as the ratios between doctors and the population, teachers and pupils, and extension staff and farmers (UNDP, 2011, p.20).

Kiragu and Mukandala (2005, p.8) indeed argue that “in these countries, public service pay reform was for many years focused on reducing government employment and containing the wage- bill”. The question of whether governments in SSA can afford a well paid and motivated human resource within their strategic priorities is still unresolved. As indicated earlier in the analysis in Chapter Eight, it is the human resources that will deliver badly needed public services and subsequently help in attaining the MDGs (now translated into SDGs) that affect the lives of ordinary citizens. As discussed earlier in this chapter, all three countries are faced with challenges of human resource capacity and regional distribution, staff performance appraisal and unsustainable pay reforms.

10.2.5 Citizen participation in performance management and service delivery reforms

The theoretical analysis indicates that the pressure for reforms in SSA has mainly arisen from international funding agencies. According to the UNDP, “service delivery must go hand in hand with high levels of accountability, the guarantee of basic human rights, and the empowerment of individuals and institutions at the frontline of service delivery by both state and non-state actors” (UNDP, 2011, p.10). This expectation is still far from the reality in SSA. Using an example from Zambia, Mumba and Mumba (2010) identify the major weaknesses of civil society as: (i) inadequate legislation; (ii) weak institutional mechanisms for participating in the policy making process; (iii) reliance on donors for funding and uneven distribution across regions.

These challenges appear common across all three countries, although some efforts are being made to engage citizens in the delivery of services. Some of the strategies include participatory planning and budgeting processes (CLGF, 2007), service delivery surveys (Ministry of Public Service and Uganda Bureau of Statistics, 2009; Ghana Statistical Service, Ghana Health Service, and ICF Macro, 2009), the introduction of client charters (INFOC on behalf of MoPS, 2011), and the re-activation of facility management committees (Ngulube, Mdhluli, Khuzwayo Gondwe, and Njobvu, 2004). As discussed in Chapter Six, participatory planning and budgeting is still perceived as cosmetic, because,
citizens are not confident that their input is being taken into account. Using a specific example from Ghana, Ahwoi (2011, p.13) indicates that:

a glaring omission from Ghana’s decentralization programme is the absence of any clear-cut role for civil society organizations, community-based organizations, non-governmental organizations and faith-based organizations in the local governance system. Though these organizations exist at the local level, there is no recognition given of their existence and therefore no role is carved for them. Yet without them, participatory planning and budgeting cannot be effectively implemented.

Furthermore, according to Thirkildsen (2001), it may be early to determine whether implementation of client charters is contributing to improving accountability in the region. He further argues that:

surveys may appeal to some technocrats, but are not likely to help solve the more fundamental accountability problems: the widespread public distrust of government organs and the political and financial difficulties in translating information about consumer dissatisfaction into implementation of sustainable improvements. It would seem that unless there is a political demand for such surveys, their utility is likely to be limited (Ibid, p.32).

Similarly, facility management committees are also perceived as too weak to supervise the heads of facilities. The efficacy of health centre committees or village health teams is also doubtful (Ngu lube et al., 2004; Ministry of Health, Uganda, 2010b).

A well defined role of the citizens is critical in promoting their participation in performance and service delivery. This includes what citizens expect from government and what citizens themselves are expected to do, for example, with regard to the policy on user fees for health and education services in public facilities. All three countries have in the past implemented user fees that raised questions of access and equity (for example, Kirunga Tashobya et al., 2006; Chankova and Sulzbach 2006). In all three countries, however, some government facilities run private wings alongside the free medical services (Kirunga Tashobya et al., 2006; Frimpong, 2013). Ghana has introduced an insurance scheme for health services as a step towards obtaining the commitment of citizens to participate in increasing the coverage and quality of health services. The scheme heavily relies on government funds, however, due to the limited capacity of citizens to contribute (Informant, Ministry of Health, Ghana).

In line with policy pronouncements, public health facilities in Uganda are expected to provide free medical services, except private wings. According to respondents, however, the reality of what an ordinary citizen in Uganda may
experience while accessing free services is glaringly different from what is promised. This poses a contradiction, because with or without standard user fees, “households constitute a major source of health financing (50%)” (Ministry of Health, Uganda, 2010b, p. 29). This most likely arises from the services obtained from PNFPs and private hospitals and clinics, excluding informal payments that are not documented.

Similar challenges are affecting the delivery of universal primary education. Although enrolment rates have improved, the limited capacity of parents to contribute to the education of their children affects its quality (Chileshe, Musonda, Mushibwe, Bonnevie, Jorgensen and Kiernam, 2007). Notwithstanding that Ghana has maintained its commitment to providing free school uniforms and exercise books in order to enhance participation and the quality of teaching and learning (Ministry of Finance and Economic Planning, Ghana, nd), according to Atta Mills (2010), the indicators suggest that the quality of education is declining. The issues require a collaborative approach with citizens and stakeholders.

The comparative analysis above indicates that all three countries have initiated some form of performance management and service delivery reforms, yet a number of challenges limit their implementation. The challenges that stand out are similar to those analysed in the previous chapters. Having considered the comparable experiences in SSA, it is now appropriate to discuss some of the experiences in the Netherlands and the United Kingdom.

10.3 Performance management reforms in the Netherlands and the United Kingdom

This section presents a concise and more specific comparative analysis of the practices of performance management and service delivery in the Netherlands and the United Kingdom (UK). The analysis is based on secondary information, mainly from internet sources and expert interviews with university lecturers at the Universities of Leiden and Amsterdam. The analysis is not intended to provide a detailed account of the implementation of performance management reforms and service delivery practices in the two countries. Rather, it highlights some of the key cross-cutting issues in order to appreciate the context in which ROM was developed and implemented. First, a general short overview of performance management and service delivery reform in the two countries is made; thereafter, the factors that affect performance management are discussed.

The theoretical analysis indicates that results oriented performance management systems in Western countries were a core component of public sector reforms. The driving factor for the reforms was to ensure value and accountability for resources, and involved borrowing from private sector management practices (Osborne and Gaebler, 1992; OECD, 1997; OECD, 2005; Hughes, 1998; Pollitt and Bouckaert, 2011). The role of the OECD in providing avenues for

as a general assumption, performance-based theories and models state that the mere or conditional existence of a focus on performance is necessary to have good performance. ...The positive version is that integrating performance information in all management functions results in increasing the visibility of performance as a key objective. This results in an explicit or implicit pressure to have a higher focus on performance. This higher focus may result in a better performance itself.

The experience in the Netherlands and the UK can be applied to illustrate this development. Accordingly, the discussion is premised on the issues that emerged in the theoretical and empirical analyses in the previous chapters.

10.3.1 Top-down perspectives of leadership for performance management reform

Both theoretical and empirical findings indicate that the implementation of reforms is more successful using a top-down approach sustained through commitment and leadership by example (Pollitt and Bouckaert, 2011). This is supported by an observation in the World Public Sector Report (United Nations, 2005, p. 32), that “while countries successful in strengthening public administration have pursued different reform strategies, they have all had in common leadership that possessed the capacity to make difficult decisions and implement them”. The experiences in both the Netherlands and the UK demonstrate this.

Considering the experience of the Netherlands, it is recognized that independent commissions and evaluations contribute to the development of issues for management reform. Furthermore, the reform programme has developed over time, in line with changes in governments and economy (Pollitt and Bouckaert, 2011). The social culture in the Netherlands that is deeply rooted in the values of “tolerance, compassion, and compromise” (State, 2008, p.233) also supports the reform process. This provides leverage for adaptability to change and reform.

In the UK, “most change was decidedly top-down” (Pollitt and Bouckaert, 2011, p.113), indicating leaders who had the capacity to take risks. It is indeed acknowledged that “change must start at the top. Successful civil service reform will require firm political and corporate leadership across the civil service”(HM Government, 2012, p. 9). In line with that, “nurturing and developing leadership talent at all levels is core to a successful civil service” (HM Government, 2012, p.24) that meets the expectations of citizens. The above discussion indicates that a high level of competence and commitment of leadership (both political and professional) is required to drive performance management reform.
10.3.2 Financial reforms and their implications for performance management reforms

As indicated in the earlier discussions, the pressure for performance management reform arose from the need to control public expenditure and ensure value for public resources (Osborne and Gabler, 1992; OECD, 2007; Pollitt and Bouckaert, 2011). In the Netherlands, during the 1980s, the requirement for strict financial measures influenced the result oriented performance initiatives. Since 1992, central government organizations are legally required to provide performance information that is used to make decisions regarding the use of public resources (OECD, 1997). Secondary sources indicate that these requirements are progressively modified and improved. In this regard, according to Debets (2007), in 2002 the Lower House of the Dutch Parliament initiated a new budget format: “the VBTB operation (i.e. new budget) was aimed at providing Parliament with a more policy- oriented and transparent budget document” (Ibid., 2007, p.4), with more clear information regarding the results arising from government action (Ibid., 2007).

The VBTB initiative increased accountability to parliament through the provision of both “financial and non-financial information” (Bouckaert and Halligan, 2008, p.289) and enhanced the policy, planning and implementation processes (Ibid., 2008). Van Nispen and Posseth (2006, p.46) also indicate that VBTB increased “the attention to results and thinking in terms of outputs and outcomes in the policy cycle”. The OECD (2007, p.161) further acknowledges that “the new structure of the budget is clearer. New budgets are built around strategic objectives and related policy areas. Substantial progress regarding transparency (authorisation) has been made”. Despite these improvements, Van Nispen and Posseth (2006) indicate that “a closer inspection of the VBTB elements reveals that departments have difficulties in the formulation of specific goals and performance indicators. In many cases, they do not completely conform to VBTB” (Ibid., 2006, p.46). Similarly, the OECD (2007, p. 162) highlights some challenges to overcome:

The budget bills are thick (a high degree of overlap with information in policy documents) and hard to read (budget bills contain a lot of technical information, for example about cost prices). … Objectives are formulated in such abstract terms that it is impossible to determine (in retrospect) whether they have been achieved.

Some of the above concerns regarding performance information and challenges arising from the economic crisis necessitated that “the framework of VBTB had to be adapted to become more factual and less political” through “accountable budgeting” (de Jong, van Beek and Posthumus, 2013, p. 20). They further argue that there is a need for recognition that “the budget has to be about budgetary matters first and can never offer a complete and comprehensive policy description. …in essence the budget is a financial document and not a policy note” (Ibid., 2013, pp.20-21).
In the face of the economic crisis, the basis of the Dutch budget is the “trend-based fiscal framework with multi-annual expenditure ceilings” (Inspectorate of the Budget, 2010, p.8). In effect, the term of office of a coalition government coincides with the four-year medium-term, within which budget limits are specified. Consequently, additional revenue is not spent above the set limits and neither do shortfalls result in budget cuts. This practice is an instrument for enforcing budget discipline while at the same time providing for continuity and new policies (Ibid., 2010).

According to secondary sources, Dutch central government finances local service delivery expenditure arising from national policy (Pollitt and Bouckaert, 2011) through earmarked and general grants. Social services and primary education are among the areas covered by earmarked funds (VNG, 2008). The financial crisis has, however, affected local and regional self-government. Additional responsibilities (for example in social affairs are being decentralised against cutbacks of central transfers. Upon their initiative, local governments are reducing operating costs and are being voluntarily encouraged to merge (CEMR, 2013). The discussion above underscores the fact that like SSA, Western countries too are faced with enormous constraints regarding financial resources in a decentralised service delivery context. The fixed four-year expenditure framework in the Netherlands that is directly linked to the term of office of a government would however, provide a good learning point for countries in SSA.

In the UK, two main issues have influenced financial management reforms, namely the pressure to control inflation and the 2008 global economic crisis (Pollitt and Bouckaert, 2011). Prior to the crisis, a comprehensive review of 2000 “resulted in substantial increases in spending on health care and education” (Ibid., 2011, p.313). Furthermore, an important innovation that came with the spending reviews was a system of Public Service Agreements (PSAs) where each department was obliged to make an agreement with the Treasury to the effect that, for a given level of funding, it would pursue a defined set of objectives, each of which had one or more targets attached (Ibid., 2011, p.313).

In line with this approach, performance information is perceived as critical for driving reforms in the public sector and provides the basis for decision making and determination of funding levels (Bouckaert and Halligan, 2008). There is however, a contradiction between saving expenditure, making the budget more transparent and improving performance. Worse still, there is some doubt regarding the main target for and the expected use of performance information (Ibid., 2008). Overall, the use of performance indicators to measure performance is one of the key challenges in Western countries. Accordingly, Van Thiel and Leeuw (2002, p.271) assert that: “contrary to expectation, indicators do not give an accurate report of performance. This could mean that performance is worse
than reported (overrepresentation) but also that it is better than reported (underrepresentation)”. The focus on performance information, therefore, may be inadequate to address the real issues of performance and making the budgets more transparent.

As discussed earlier in this section and under Chapter Six, the continuing global economic crisis poses a great challenge to countries in the West in the face of pressures to address the real issues of performance. For example, notwithstanding the efforts made to link resources and results, in the UK it is indicated that:

the sustained economic downturn since 2008 has had a significant impact on the size of the economy. ...Alongside this, rising consumer expectations and huge demographic change due to an aging and growing population are placing significant additional demands on public spending (HM Government, 2012, p.7)

De Geus and Kraan, (2012) highlight similar challenges that include unemployment, old age, and related pension reforms that have resulted in substantial operational expenditure cutbacks at all levels of government in the Netherlands and the UK. This trend of events implies sustained pressure for efficiency saving and “will require a better understanding of the level of resources needed to deliver priorities, and a clearer understanding of what the priorities are” (HM Government, 2012, p.16). These challenges are heightened considering that local governments heavily rely on financing from central government (The House of Commons, 2009). Strategies for expenditure savings in central government are affecting financial transfers to local governments (CEMR, 2013) and are likely to affect the pace of growth of local governments and the decentralised approach to service delivery (Nickson, 2010). It becomes evident that linking resources, results and the policy process is not an easy task even for countries in the West.

10.3.3 Institutional structures for reform

The discussions earlier indicate that redefining the role of the state through downsizing and decentralization has been the main focus of reforms in this area. In the Netherlands, structural measures included decentralizing activities to lower levels of local government, simplifying legal and bureaucratic processes, and the creation of ZBOs (Zelfstandige Bestuursondernemen, Autonomous External Agencies) based on well defined results (OECD, 1997). Annual targets that are in tandem with annual budgets and plans provide the framework for monitoring the performance of ZBOs against a performance agreement (Ketelaar, Manning and Turkisch, 2007). Important lessons can be learned from the efforts made to define the results to be achieved by ministries and agencies in relation to the resources provided, and to report performance.
Following the creation of ZBOs, concern has arisen regarding oversight responsibilities and the administrative requirements for inspecting and auditing (Pollitt and Bouckaert, 2011). Similarly, Kickert (2010, p.14) is of the view that: although not widely recognised at the time, most of the newly established ZBO’s actually had quite another motive to become autonomous, that is, the motive to escape from the inflexible financial and personal regime of civil service organisations.

Furthermore, the author argues that the “agencification can hardly be described as a rationally planned and controlled change process leading to a predetermined goal or end-state” (Ibid, 2010, p.18). This implies that agencification in the Netherlands as well appears not to have been an obvious solution to some of the performance challenges.

As discussed earlier under Chapter Two and Seven, the Netherlands, like other countries in the West also decentralised public services. The economic challenges have, however, resulted in the merger of neighbouring municipalities through both top-down and bottom-up processes. In effect, the number of municipalities in the Netherlands shrunk from 1,015 in 1950, to 811 in 1980, 431 in 2010, and in 2015 to 393 (VNG, 2008; CBS, 2015). Further mergers of municipalities still appear on the political agenda. Though it is acknowledged that small communities cannot afford to have a fully fledged administrative apparatus in place to meet the needs of citizens, there is some opposition to these mergers, as citizens in small communities perceive it as a loss of their autonomy (Informant, University of Amsterdam). The form and size of the structure of local government therefore continues to be an issue for performance management reform.

The experience in the UK indicates that at the beginning of the 1990s, among the beliefs of the then Conservative government “was that the private sector is innately superior to the public sector” (Flynn, 1997, p.40), and that there was need to contain public spending (Ibid., 1997). As a result, agencies were created to separate the delivery of services from policy formulation and strengthening accountability for performance. For this reason, flexibility in financial and staffing matters was provided, taking into account unique circumstances of each agency (OECD, 1997). According to James, Moseley, Petrovsky, and Boyne (2011, p. 14):

Executive Agencies are incorporated into the system of ministerial accountability to parliament. They set high level ministerial performance targets which must be announced by the minister to parliament, and ministers report to parliament on agencies’ strategic performance and strategic issues. Performance targets are set out in agencies’ corporate and business plans, and agencies are required to report on performance against ministerial targets in their annual reports and accounts.
The setting of targets for Public Service Agreements (PSAs) is informed by the spending review process (OECD, 2007), that emphasises the alignment of resources to long term strategic objectives, decentralizing operational responsibility, auditing and inspecting performance against targets, providing performance information about results, and performance improvement (HM Treasury, 2002). James et al. (2011, pp. 19-20), however, indicate that:

- it is not clear to what extent the Executive Agency revolution has created overall efficiencies for central government. … While individual agencies have reported yearly improvements in running costs, the impact on central government expenditure as a whole is less clear.
- …The accountability arrangements of Executive Agencies continue to be much more focused on accountability to executive politicians than to service users, despite the intentions of the original reformers for a much more customer-focused approach.

In addition to the above shortcomings, it is not practically possible to completely separate policy formulation and public administration and management (Hughes, 1998). The National Health Service (NHS) in the UK provides an example of an agency where the purchaser-provider split that sought to separate policy from implementation did not work as expected (Buchan, 2000). A cross-cutting challenge running through the creation of Next Step Agencies is the requirement of new forms of regulation. As discussed earlier, there are now increasing calls for partnerships and joined-up government (United Nations, 2005, p. 77).

In addition to agencification, decentralization is another institutional reform that was pursued in the UK with the objective of bringing services nearer to citizens. Local government in the UK, however, is perceived to be “less protected from central government interventions than in most other European states. … close central regulation and supervision of local authorities has continued” (Pollitt and Bouckaert, 2011, p. 316). House of Commons (2009, p.13) also observes that: “there remains a sizeable gap between the newly empowered local governments that the government believes it has established in principle, and the actual impact as witnessed at the local level”. Worse still, “local authorities remain subject to invasive central government scrutiny and interference” (Ibid., 2009, p.30). Cutting across agencification and decentralization is the strategy of benchmarking, which was pursued in order to deepen the efficiency and positive competitiveness of organizations (Cowper and Samuels, nd; Pollitt and Bouckaert, 2011).

The above experiences highlight challenges regarding the continued focus on securing efficiency gains in the public service. The Civil Service Reform Plan (HM Government, 2012, p.11), indicates that although;

- there are no targets for any further headcount reductions but the current financial pressures and the Government’s commitment to reforming major services means that the Civil Service must ensure it is resilient to
any future decisions about its size and shape, and embrace the principle of a smaller and more strategic Civil Service that delivers services differently.

That appears to be in recognition that there are signs of “reform fatigue and measurement fatigue” (Pollitt and Bouckaert, 2011, p.316). As in the Netherlands, the issue of redefining the role of government institutions to deliver the expected results in a cost effective manner is an ongoing challenge. Worse still, the short comings in agencification and decentralisation, and the effects of the global economic crisis cannot be underestimated.

### 10.3.4 Human resources management capacity for reform

The theoretical analysis earlier in Chapter Eight indicated that human resource reforms in the West came from behind, following the initial focus on downsizing. Acknowledgement of human resources as a central requirement for performance and service delivery reforms contributed to the search for sustainable public sector reforms. Available secondary sources, (for example Bouckaert and Halligan, 2008; Pollitt and Bouckaert, 2011) indicate that the experience in both the UK and the Netherlands with this aspect has seen mixed approaches and results. As in most Western countries, human resource reforms have included decentralization of human resource management, introduction of employment contracts, and paying for performance (OECD, 2005). The persistent global economic crisis however, continues to affect human resource reforms (Pollitt and Bouckaert, 2011; HM Government, 2012).

In the Netherlands, external consultants are being engaged in making contribution to reforms processes (Pollitt and Bouckaert, 2011). In addition, appraising the performance of civil servants has been one of the areas of reform. Contrary to previous practice of closed appraisal systems, working agreements specify individual objectives for senior public servants and provide opportunity for regular meetings to discuss performance between supervisors and their staff (Ketelaar, Manning and Turkisch, 2007). As earlier indicated at 8.4.3 and 8.4.4 this practice is perceived to promote a focus on results. According to James et al. (2011, pp. 19-20), “the practice of setting specific performance targets spread from the agencies to the core departments alongside the system of Public Service Agreements”. Overall, the focus on individual performance in the agencies helped ministries to increase similar focus on their core functions (Ibid., 2011).

In line with the experience of the Netherlands outlined above, in the UK, it is indicated in the Civil Service Reform Plan (HM Government, 2012, p. 7) that “the appointment of experienced non-executives from a variety of sectors and industries to departmental boards has further increased the range of skills and experience that civil servants can draw on”. This implies the earlier assumption expressed at 7.2.3 that the private sector is better managed than the public sector
and that the public sector has a lot to learn from its counterpart. Similar to the Netherlands: “senior civil servants in the United Kingdom will have a performance agreement, covering twelve months, which is developed in consultation with their line manager” (Ketelaar et al., 2007, p.54). Accordingly, performance agreements focus on two key issues: delivery and capability. The delivery side is linked to the objectives and targets outlined in documents such as the PSAs, while capability (for the individual) focuses on personal development (Ibid., 2007, p.55).

It is implicit that under this arrangement, the objectives are cascaded downwards at different levels of the organization. Related to performance agreements is the issue of pay. In this regard, the perception of the pay structure in the UK is that it “is no longer an effective mechanism for supporting a modern workforce, and there is insufficient link between performance and reward” (HM Government, 2012, p.28). It is important to note that just as in SSA adequate pay is an equally challenging issue affecting performance in Western countries. Aside from pay is the question of values. In the UK, civil service values “have always been regarded as a model for others to follow to create effective, trustworthy institutions” (HM Government, 2012, p.7). That notwithstanding, the culture of being “cautious and slow-moving, focused on process not outcomes” (Ibid., 2012, p.9) requires to be addressed.

It is noteworthy that the civil service in more developed settings such as the Netherlands and the UK is faced with challenges that appear to be similar to those in SSA. The emerging HRM issues that require further comparative analysis include the internal and external selection of staff, linking employment terms to results, open staff appraisal, challenges in pay, the importance of core values and principles, the (un)responsiveness of civil servants, and the necessity to recognize the different roles and contributions of frontline personnel in engaging citizens at service delivery centres.

10.3.5 Citizen engagement in reform

In both the theoretical and empirical analyses discussed in Chapters Two and Nine, the stakeholder approach is highlighted as a key issue for the implementation of reforms in Western countries. The multiple role of citizens of paying tax, being clients, and stakeholders is relatively more appreciated in Western countries than in SSA, notwithstanding the fact that the initiation of reforms in both the UK and the Netherlands was driven by top leadership, with minimal participation of citizens (Pollitt and Bouckaert, 2011). A brief experience of each of these countries is highlighted below.

In the UK, the launch of the Citizen’s Charter in 1991 to increase the responsiveness of public services demonstrated a top-down approach to citizen engagement. The Citizen’s Charter introduced six principles of public service namely: (i) service standards; (ii) information about services provided; (iii)
citizen’s choice and consultation; (iv) courteousness and helpfulness of public servants; (v) addressing shortfalls through complaints mechanisms; and (vi) efficiency and effectiveness (OECD, 1997).

There is no doubt that the Citizen’s Charter “led to improvements in the delivery, culture, and responsiveness of many services” (House of Commons, 2007, p.10). The scope of citizen engagement has changed as observed by Gaventa (2000, p.10) that:

changing meanings of rights and citizenship, as well as the opening up of new roles and spaces for citizen participation raise critical questions about the ways in which civil society, state and market actors hold each other into account. Rather than focusing simply on the role of the state in ensuring rights of citizenship, new models of accountability are emerging which focus on the role of citizens themselves in monitoring the enforcement of rights, and in demanding public scrutiny and transparency.

Increasing the responsiveness of public services is part of the process of modernization of government and includes building partnerships between service providers and users (HM Government, 1999). This involves innovations in public service processes to tailor them to citizen requirements (HM Government, 2012). It is indeed acknowledged that giving citizens voice and choice has contributed to the pressure for reforms in service delivery (Prime Minister’s Strategy Unit, 2006). The responsiveness of public services, citizen trust, and constructive feedback thus require continuous and innovative ways of engaging citizens.

In the Netherlands, it is indicated that “Dutch public opinion also places a high value on institutions such as parliament, social security, health care, and education” (Pollitt and Bouckaert, 2011, p. 293), which demonstrates a high level of trust in government. This is likely to arise from an acceptable minimum level of connection between leadership approaches and the aspirations of citizens. This observation is also confirmed by the illustration of citizen trust across Europe indicated in the figure below:
Notwithstanding the level of trust, over recent years, a growing cleft between citizens and politics has also been perceived in terms of the growth of populism and nationalism and counter-votes, because many citizens do not feel represented. This partly explains why engaging citizens is important, especially involving them in direct service delivery that is closer to home than 'politics' in the big cities or at the national level (Informant, University of Amsterdam). Both the UK and the Netherlands still face some challenges in engaging citizens.

10.3.6 Observations that have implications for transfer

The above analysis indicates that the introduction and implementation of performance management reforms in the Netherlands and the UK are aimed at addressing challenges in existing situations, based on responses to local political and citizen demands on a continuous basis. The issues of leadership, management of resources, institutional structures, human resources, and participation of citizens, remain paramount in influencing both the nature and scope of reforms. In addition, the origin of reform ideas, the strengthening of legal frameworks and the timeframe for implementation also emerge as critical for introducing sustainable reforms.

Some of the challenges identified above confirm the assertion that “although performance management principles and practice may be fairly well developed they are inclined to be neither integrated, nor systematic” (Bouckaert and Halligan, 2008, p. 50). The UK is regarded as one of the countries that has “come closest to the stringent requirements” (Ibid., 2008, p.50) for performance management, although some limitations are acknowledged. The authors however, also indicate that while managerial issues are much more prioritised in the UK, the Netherlands places more emphasis on policy evaluation (Ibid, 2008). The issues that denote areas of convergence but also disparity in the Netherlands
and the UK provide the basis for analysing the transfer of performance management reforms to SSA.

10.4 External factors affecting the transfer of ROM from a Western to a SSA setting

10.4.1 Introduction
This section focuses on the analysis of external factors affecting the transfer of the ROM performance management system from a Western setting to SSA and Uganda specifically, in the context of policy transfer theory. The analysis is premised on the discussions in the previous chapters and the comparative experiences above. First, a definition of policy transfer is made. Thereafter, the external factors that affect the transfer of ROM are discussed.

10.4.2 Appreciating the concept of policy transfer
According to Dolowitz and Marsh (2000, p. 5), policy transfer is “the process by which knowledge about policies, administrative arrangements, institutions and ideas in one political system (past or present) is used in the development of policies, administrative arrangements, institutions and ideas in another political system”. Dolowitz and Marsh further identify the degrees of policy transfer as including:

- **copying**, which involves direct and complete transfer;
- **emulation**, which involves the transfer of ideas behind the policy or programme;
- **combinations**, which involve mixtures of several different policies; and
- **inspiration**, where policy in another jurisdiction may inspire a policy change, but where the final outcome does not actually draw upon the original (Ibid., p.13).

The authors also argue that “it is common for governments and agents to transfer policies from one nation to another”(Dolowitz and Marsh, 2000, p.12). They further argue that within a nation, lessons can be drawn from other political systems or units. In addition, local governments can draw lessons from the national government and from each other, and the national government can draw lessons from local governments (Ibid., 2000).

According to Grin and Loeber (2007), policy transfer theory indicates that policy transfer is a “social learning process” cutting across individual, team to institutional level. Indeed, “learning has come to be looked at as a collective rather than individual act” (Ibid., p.214). The challenges of policy transfer are recognised within policy transfer theory. According to Dolowitz and Marsh (2000, p.17), the main risk is “policy failure” that is explained by three scenarios: uninformed, incomplete and inappropriate transfer. Stone (1999, p. 54) also argues that “some practices or ideas cannot be translated to another context. Policy transfer is likely to result in implementation problems and policy failure”.

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Under this section, it is imperative to analyse the extent to which the implementation of ROM in Uganda constitutes policy transfer, and the extent to which the transfer has been (un)informed, (in)complete, and/or (in)appropriate. The analysis is mainly based on the literature by Dolowitz and March (2000), with other literature also applied as indicated. The analysis also draws from the comparative lessons and experiences in the first part of this chapter. Furthermore, some of the lessons from the internal factors discussed in Chapters Five to Nine of this research are also applied. The issues centre around the origin of reform ideas, external financial support, the establishment of new structures, and the use of technical support and information and communications technology (ICT) for the implementation of reforms.

### 10.4.3 Origin of performance management reform ideas

From the theoretical and empirical findings highlighted earlier, it has emerged that the origin of reform ideas in SSA is mainly international funding agencies and commitments made with international organizations (Kiragu, 2002; United Nations, 2005). According to Dolowitz and Marsh (2000, p. 11):

> International governing organizations (IGOs), such as the OECD, G-7, IMF and the UN and its various agencies, are increasingly playing a role in the spread of ideas, programs and institutions around the globe. These organizations influence national policy-makers directly, through their policies and loan conditions, and indirectly, through the information and policies spread at their conferences and reports.

Dolowitz and Marsh (2000, p.15) further argue that “national governments can be forced to adopt programs and policies as part of their obligations as members of international regimes and structures”. This in effect constitutes both voluntary and involuntary external leadership influence for transfer and implementation of reforms. The authors further indicate that “while politicians tend to look for quick-fix solutions and thus rely upon copying or emulation, bureaucrats, on the other hand, are probably more interested in mixtures” (Ibid., 2000, p. 13); confirming the role of both political and professional leaders in the policy transfer process.

Gaps in the prioritization and implementation process (voluntary or involuntary) usually arise. Differences in priorities regarding where development partners wish to apply their support may affect the scope and depth of the transfer process. Well intended reform interventions often turn out to be ambitious and unrealistic (Informant, Danish Aid), resulting in what is commonly referred to as the rhetoric of reform programmes (Pollitt and Bouckaert, 2011). Agreement on the primary objectives of the reforms amongst political leaders, public servants and donors is critical to avoid reforms that are uninformed, incomplete, or inappropriate. In line with the analysis in Chapter Four, the origin of the idea of ROM and the role of political and professional leadership in Uganda demonstrates both voluntary and involuntary approaches to its transfer (Ministry

10.4.4 Financing performance management reforms

Earlier analysis in Chapters Six and Seven indicates that performance management reforms in developing countries “were embedded in structural adjustment programmes (SAPs) sponsored by the World Bank and the International Monetary Fund (IMF)” (Kiragu, 2002, p.2). According to Dolowitz and Marsh (2000, p.14), “transitional organizations and international aid agencies have been able to compel governments to adopt programmes and policies against their will”. Arising from this, donor financial support appears to be the most common vehicle for involuntary policy transfer. Thirkildsen (2001, p. 39) indeed observes that:

the effects of donor imposition are sometimes difficult to distinguish from the effects of the adaptation of ideas from elsewhere. Despite the disparity of national contexts and domestic influences on reform, ideas about reform are remarkably similar.

This may arise when reform interventions are tied to the release of direct financial support and the international obligations signed up to by developing countries that may constitute “obligated transfers” (Dolowitz and Marsh, 2000, p.15). For example, the implementation of universal primary education and primary health care programmes for the attainment of the MDGs may constitute such transfer. As discussed earlier under Chapter 6, aid that is tied to specific conditions undermines the capacity of aid reliant countries to implement development programmes (Ayee, 2005).

While development partners acknowledge that use of sanctions can promote performance, they also recognize that it is not sustainable to rely on sanctions to promote the delivery of reform results as this can hurt well intended programmes (Informant, World Bank). The requirements of meeting the MDGs challenged donors and developing countries to streamline donor assistance with local development strategies in accordance with the Paris Declaration on Aid Effectiveness (2005). In this regard, development partners recognize that budget support can promote consistent implementation of reforms and policy dialogue (Informant, World Bank). Some development partners, however, wish to apply different approaches and support different programmes, depending on the priorities that are perceived as producing quicker tangible results for their home countries (Informants, World Bank and Danish Aid). Examples of donors still providing project aid include USAID and the governments of Japan, Germany, and China (Informant, MoFPED). While some processes for coordinating external funding have improved, internal challenges in terms of managing the budget are likely to slow down the extent to which budget support is pursued. For example, the mismanagement and loss of donor resources meant for the rehabilitation of northern Uganda in 2011, affected the disbursement of aid to
Uganda. The ongoing global economic crisis is further deepening the problem, as donors require more assurance that their taxpayers’ money is not being put to waste (Informant, MoFPED).

The introduction of ROM was largely funded through donor support (Ministry of Public Service, 2005). The implementation of Output Oriented Budgeting (OOB) and the Integrated Financial Management Information System (IFMIS) led by the Ministry of Finance, Planning and Economic Development also benefitted from donor financial support (Informant, MoFPED). A question that has emerged is the extent to which the implementation of reforms in Uganda will continue to rely on donor financial support, considering the indication that local revenue generation has improved. Sustainable implementation of reforms requires prioritization within the local budget (FGD, MoPS).

10.4.5 Structures to drive implementation of reforms

Dolowitz and Marsh (2000) indicate that institutions are among the issues that are transferred. They observe that:

   policies borrowed from other political systems, particularly when they have been borrowed in an attempt to transform an existing set of structures, develop over time and that much of the development involves a mixture of voluntary decisions and coercive pressures (Ibid., 2000, p.16).

As discussed earlier in Chapters Two and Seven, countries in SSA were obligated through SAPs to rationalize and abolish some structures and at the same time set up specific ones. A significant number of “Project Implementation Units (PIUs)” (Kiragu, 2002, p.16), that were set up to coordinate various reforms duplicated the existing management structures and undermined local capabilities (Ibid., 2002). Although some effort has been made to mainstream PIUs (Ministry of Finance, Planning and Economic Development, 2004b), others continue to emerge in different circumstances and forms.

Stone (1999) contends that structural factors condition the degree of transfer and the character of implementation, for example in terms of institutional architecture, political culture, and state structures. As discussed earlier in Chapter Four, a ROM Unit was established in the Ministry of Public Service in Uganda. Implementation was mainstreamed into the inspection department of the same ministry when the reform programme was mainstreamed. Questions nevertheless still arise regarding its domicile within the ministry and across government. This affects the embeddedness of the transfer process (FGD, MoPS).
10.4.6 The role of consultants in the transfer of reforms

Arising from the analysis of the experience in the three SSA countries, as well as the Netherlands and the UK, it emerges that human resources capacity affects the implementation of reforms. According to Dolowitz and Marsh (2000, p. 10):

> it is becoming increasingly clear that policy-makers, at both the national and international levels, are relying on the advice of consultants, whether individuals or firms, who act as policy experts in the development of new programs, policies and institutional structures.

The authors however argue that consultants “tend to offer advice based upon what they regard as the ‘best practice’ elsewhere, often paying little attention to the particular context in the borrowing political system” (Ibid., 2000). In light of the above, Ayee (2005, p.38) warns that “heavy use of expatriate technical assistance from implementation of donor projects has probably weakened local capacities in aid-receiving countries, with perverse institutional consequences”. Governments in SSA should however, develop the capacity to choose appropriate policy options and reform agents should act in the public interest.

In Uganda, as part of the overall reform programme, ROM was developed using technical support funded by development partners. Over a period of time, however, the strategy has involved a combination of international and local capacity. Using the ROM example, it is appreciated that external technical support can be applied to develop local capacity. Thereafter, use of technical support can be minimized and local human resources capacity empowered to lead the implementation of reforms. This option requires matching the requisite complementary resources for local personnel against the observation that external consultants are always very well facilitated (FGD, MoPS).

In the policy sectors of education and health, a perception exists that there is an adequate number of trained health workers and teachers, which limits the use of technical support, except in very specialized areas. Among the two policy sectors, the retention of health workers, especially medical doctors, is perceived as more challenging. Government is also perceived as actively encouraging the exportation of these professional staff, instead of addressing their basic working terms and conditions, in effect undermining the country’s human resources capacity against the increasing demands for essential services (FGD, MoH). Consequently, donors have directly hired frontline staff in order to contribute to the attainment of the MDGs (Informants, MoH; Kabarole Regional Referral Hospital). At the same time, donor projects contribute to the depletion of skills in the health sector, as medical officers are employed to manage donor projects (Informant, MoH). This may undermine HRM capacity in terms of both numbers and skills, and may provide an artificial justification for technical support from advisors.
10.4.7 Information and communications technology in the transfer of reforms

Information, communication technology (ICT) emerges as an issue affecting policy transfer. Although it is not the main focus of this study, it is important to discuss the issue considering that it was highlighted by respondents as impacting the availability and quality of performance information. Different management information systems are being implemented by different sectors across SSA, with support from development partners. These commonly include the Integrated Financial Management Information System (IFMIS) (Wynne, 2005) and an Integrated Personnel and Payroll System (IPPS) (Ministry of Public Service, 2005). Each of the three SSA countries looked at in this study (Uganda, Ghana, and Zambia) has initiated implementation of these reforms, with the support of donors. It is assumed that the systems will enhance efficiency and accountability, and lead to better management and use of budget information and subsequently performance improvement (Wynne, 2005; Hove and Wynne, 2010).

Some challenges have emerged from the introduction of the systems, as highlighted by respondents: (i) the physical/manual systems that should inform the computerized systems are still weak; (ii) designs are not adapted to local user needs; (iii) use of different platforms that do not interact; (iv) limited technical expertise; and (iv) logistical challenges such as lack of electricity, limited connectivity to the internet, the cost of maintenance, and lack of performing/utilization capacity. Overall, it is perceived that ICT reforms are initiated and funded by international funding agencies. Furthermore, the systems are designed through technical support, sometimes to address specific donor information requirements, making them appear more imposed than voluntary. An emerging lesson is that ICT in itself does not improve the quality of performance information or the decisions made. Transfer of technological reforms in SSA should match the level of development of other administrative systems and capabilities in order to be appropriate and complete.

10.5 Perceived status of the transfer of ROM

Considering the implementation of ROM as a policy transfer intervention requires a discussion regarding the extent to which the transfer was/is (un)informed, (in)complete, or (in)appropriate, as well as the external factors discussed above that influence such a transfer. Arising from the findings and analysis in all preceding chapters, the slippage in implementation of reform activities, and specifically that of the ROM performance management system, may be attributed to a number of factors: (i) Limited focus on the overall picture that the reform wishes to create, arising from both limited political and professional leadership, conceptualization, ownership, and commitment to ROM. ROM is being implemented piecemeal without clarity of a comprehensive roll-out plan and the intended outcome. (ii) Sequencing and prioritizing of
sustainable reform initiatives is not well thought out (Ministry of Public Service, 2005), because of contradictions between local priorities and the priorities and expectations of development partners. (iii) There are numerous challenges regarding retaining competent and committed personnel necessary to deepen the reform process. Finally, (iv) there are challenges in terms of systems and processes for technology transfer.

It is acknowledged that while the implementation of ROM has realized progress in terms of development of the idea and the instruments applied, general state capacity affects the sustainability of its implementation. Progress in implementation of the overall reform programme is a cause and result of the level to which performance management can be entrenched. A circle for the transfer of ROM performance management reforms is not systematic, as indicated in the figure below.

**Figure 10.2: ROM Performance management policy transfer circle**

The circle above involves the review and/or identification of performance problems that need to be addressed. Reform strategies are then designed to address the problem, most usually through technical support. The interventions are piloted for a short period of time or with limited geographical coverage, after which they are reviewed. The intervention may be scaled up or terminated altogether, usually leading to another review circle. More successful transfers should ideally include: (i) identifying, adapting, and prioritizing sustainable reform options, taking into account the political, social, and administrative systems in place; (ii) complimenting technical expertise with local staff capacity; (iii) appropriately defining business processes and manual systems as a prerequisite for technology transfer; (iv) allowing time for transfer to embed; and (v) sensitizing beneficiaries in order to obtain buy in.
10.6 Conclusion

This chapter provided a comparative analysis of performance and service delivery practices in SSA, based on the countries of Ghana and Zambia, and of Western experiences, based on the Netherlands and the UK. Some similarities and some glaring differences emerged from the comparative analysis. The first issue concerns the origin of performance management reform ideas. There is theoretical evidence that reform ideas in SSA have arisen from the influence of international funding agencies and other bilateral development partners. In Western countries, reform ideas have arisen from the private sector or are borrowed from regional and international practices. In addition to the origin of ideas is the extent to which results oriented performance management reforms are implemented. In SSA, both theoretical and empirical evidence suggests that the implementation of results oriented performance management systems is still in the early stages. In Western countries, written evidence indicates that the reforms have been ongoing over a considerable period of time and that the current focus is on improving the quality and depth of their implementation.

Beyond the level of implementation are the factors that affect implementation. The first consideration is leadership for performance management reforms. In Western countries, a clear top-down approach to the implementation of reforms is evident. In SSA, there is a perception that a decisive and consistent top-down approach is still limited. The second consideration is the financing of the reforms. Theoretical and empirical evidence indicates that in SSA, performance management reforms are mainly implemented with donor support. In Western countries, economic challenges and the requirement of promoting value for money drive the implementation of reforms.

The third issue relates to redefining the role of government. In SSA, the emerging challenge is the dysfunctionality of established institutions. In Western countries, the challenge is the continued call for smaller government, arising from the persistent economic crisis and the subsequent dilemma between decentralization, agencification, and the role of the market. The fourth issue is the management of human resources. In SSA, human resources are still largely regarded as a cost. Although various tools have been designed to support a results oriented HRM approach, there are glaring gaps in implementing basic HRM procedures and processes. In Western countries, while it is appreciated that human resources are critical for transforming national economies, the economic crisis and the constant calls for downsizing public services inhibits the sustainability of HRM reforms. Common values and principles however, sustain a positive perspective of performance management in Western countries. The fifth issue regards the empowerment of citizens to demand quality services. In SSA, the level of engagement of citizens is still very limited, with public services being regarded more as a favour than a right. In Western countries, though still faced with some challenges, the level of citizen engagement is more developed, with more defined service delivery standards and feedback mechanisms for the
services that citizens expect. Overall, legal and regulatory frameworks are in place to promote ROM practices.

Different issues in Western countries that are likely to influence the transfer of performance management reforms to a SSA setting, and the challenges that limit such transfer, have been highlighted. It has emerged that although at different stages in different countries, most of the practices in SSA are similar and point to the role of development partners in the transfer of such practices. From the analysis of written sources and examples of what works or does not work, a transfer process becomes uninformed to the extent that the transfer agents may have limited appreciation of the local factors that influence the transfer. Local agents may also have limited information regarding what is required for a complete transfer to take place. Inappropriate transfer may result from uninformed transfer or the deliberate imposition of practices by both external agents and local implementers that do not take into account the specific local context. In addition, the options identified earlier at section 10.4.2 that could guide this process include the transfer of reforms in their current form (copying), adaptation of reform interventions (emulation or combinations), or the design of new ones (inspiration). As pointed out earlier in the theoretical analysis section 2.5.2, internalization alone, which involves the reliance on or copying of Western practices, is not sustainable. At the same time, indigenization does not apply because local customs are not immune to external influence. Adaptation and modification of reform interventions from the Western context to suit the local SSA environment is a good starting point, as it provides room to learn from what works well and what does not work.

Based on the above analysis, and notwithstanding the identified shortcomings, there are some common aspects that inform the transfer of ROM and which require strengthening across SSA. In identifying the issues in the table below, recognition is made of the different performance management reform challenges in SSA countries. The intention is to highlight those aspects that positively inform the transfer process to SSA.
<table>
<thead>
<tr>
<th>Policy transfer option</th>
<th>Transfer process/ methodology</th>
<th>Perceived status</th>
<th>Risk in transfer process</th>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Voluntary or involunta ry transfer through copying, emulation and combinat ion</td>
<td>Supply of performance management reform ideas</td>
<td>Development partners contribute to performance management reform ideas. Effort has been made to adapt the implementation of ROM to the situation in Uganda.</td>
<td>Uniformed and inappropriate transfer</td>
<td>Modification or adaptation to local circumstances. Transformational and top-down leadership approach. Sustained focus, allowing time for ROM to embed.</td>
</tr>
<tr>
<td>Financing performance management reforms</td>
<td>The implementation of ROM has been mainly through donor financial support.</td>
<td>Inappropriate and incomplete transfer</td>
<td>Sustained prioritization of ROM within national local resources. Sensitivity to citizen demands for value for public resources.</td>
<td></td>
</tr>
<tr>
<td>Structures to drive implementation of reforms</td>
<td>A Central ROM Unit was established to lead the implementation of ROM. The unit was mainstreamed into the MoPS structure.</td>
<td>Incomplete transfer</td>
<td>Increase the capability of established institutions to drive implementation of ROM.</td>
<td></td>
</tr>
<tr>
<td>The role of consultants in the transfer of reforms</td>
<td>Consultants/advisors, funded by financial contributions from development partners, supported the design and implementation of ROM.</td>
<td>Uninformed and incomplete transfer</td>
<td>Prioritize building local human resources capacity. Continuous training and sensitization on ROM.</td>
<td></td>
</tr>
</tbody>
</table>
Arising from the above, it has emerged that in the transfer process donors play a considerable role in providing reform ideas, financial and technical support, and may also influence the institutional arrangements for implementation. Donors wish, however, to see immediate outcomes of ROM and other reforms, without due regard for the local circumstances and cultural change that would be required for it to become embedded. This explains the challenges in the transfer of the ROM performance management system, which may result in aspects of uninformed, incomplete, or inappropriate transfer. Notwithstanding the gains realized following its implementation, there is still a widely held perception that the expectations of what ROM should achieve are very high compared to the reality of the environment in which it is expected to operate. Therefore, the transfer process has not been completed.
CHAPTER ELEVEN
CONCLUSIONS AND RECOMMENDATIONS

11.1 Introduction
This study sought to address the following key question: What are the critical factors affecting the implementation of results oriented management in Uganda from the perspective of public servants? The study also sought to propose a normative model for ROM in the context of Uganda. In this chapter, conclusions are made regarding both the theoretical and empirical analyses related to the specific research sub-questions, namely:

(i) What is ROM?
(ii) What are the critical factors affecting the implementation of ROM and subsequent improvement in public service delivery in the Ugandan setting?
(iii) What are the external factors that affect the transfer of ROM from a Western setting to a SSA situation like Uganda?

Conclusions and recommendations relating to these questions are made in order to contribute to improving the implementation of ROM and providing a basis for the development and implementation of a normative model.

11.2 The meaning of results oriented management in the Ugandan context
As indicated above, one of the questions that this study sought to address related to the question of what ROM is. In answering this question, the study also sought to address the concern of whether ROM can be applied uniformly across the public service in Uganda. According to the theoretical analysis and findings from the literature, ROM practices in Western countries were borrowed from the private sector. The models are continuously being improved upon in terms of both content and application, depending on unique circumstances in each country. Findings further indicate that results oriented performance management includes as key factors the manager, the process of management, the tools applied in management, and the results of management. The scope of ROM relates to performance, from the individual to the organizational level, from the operational to the strategic level, and from the micro to the macro level. The theoretical analysis also indicates that efficiency and effectiveness at the different levels of the results chain – namely inputs, activities/processes, outputs, outcomes, and impact, as indicated in the performance management model by Pollitt and Bouckaert (2011) – can be considered the bedrock of ROM, with performance being evident in terms of both tangible and intangible results to citizens. In effect, results imply performance.

The empirical findings of this study indicate that ROM in Uganda came about as the result of a policy transfer adaptation process over a period of time, with combinations of both compulsory and voluntary approaches. Empirical findings in Chapter Four, section 4.2.1, also indicate a considerable level of knowledge
about ROM in the public service in Uganda. Despite some mixed perceptions, ROM is broadly appreciated as a system that encompasses other sub-systems and tools that are at different stages of implementation; for example, output oriented planning and budgeting, client charters, performance agreements, and staff performance appraisal. Furthermore, findings indicate that among public servants there is a broad range of knowledge about and appreciation of what ROM is, including: (i) public servants who are informed and knowledgeable about and implement ROM in their day-to-day work; (ii) public servants who have received some limited information about ROM that is not adequate to support its implementation; and (iii) public servants who are not well informed about ROM due to limited avenues for continuous sensitization and training, partly explaining the gap between knowledge and implementation. In addition, according to the emerging perception of public servants, citizens that have the capacity to demand for service delivery accountability from public servants have a positive role to play in strengthening a results oriented focus.

From both the analysis of the literature and the empirical study, it has been established that as both an approach and a tool, ROM involves: (i) deliberate action based on the objectives to be achieved; (ii) the expected results to be achieved; (iii) the process of achieving the results; (iv) individual and institutional (team) values, capacity, and effort to achieve results; (v) accountability for results that are achieved or not achieved; (vi) learning and improvement; (vii) sustainability of results; and (viii) trust between providers and recipients of results. It has also been established that service delivery is evidence of policy results or objectives that are deliberately pursued by public organizations or institutions.

Based on the above observations and conclusions, the recommendations focus on establishing a common operational definition of ROM and, engaging in continuous advocacy for its implementation. A working definition of ROM, is proposed as, influencing the manner in which results are achieved (through systems, processes, people, and other resources), and the actual results (in terms of quantity, quality, accessibility, responsiveness, cost, and equity/fairness of services) as perceived and experienced by citizens. This in effect translates into service delivery, which includes tangible and intangible products or services provided by public organizations. This denotes ROM as an integrated performance management system that is concerned with economy, efficiency, effectiveness, and equity in the delivery of public services.

Arising from both the theoretical analysis and the perceptions of respondents regarding the position of citizens in performance management and service delivery, it might be necessary to review the current ROM model in order to take into account the issues that affect its implementation and the expectations of citizens, as discussed in more depth in Chapter Nine and in section 11.3.5 of this chapter. Dedicated effort ought to be applied to reach a common understanding of what ROM is, the benefits of using ROM to transform public service delivery,
and what organizations, public servants, and citizens need to do in order to have it implemented. This requires a communication strategy to widely disseminate and inform public servants about ROM.

Emerging perceptions indicate, however, that the depth of knowledge and quality of application of ROM varies among: (i) the MDAs at central government level; (ii) the MDAs and district LGs; and (iii) the different LGs and service delivery facilities in a diminishing order. This is in tandem with the finding that public servants in ministries and higher local governments are more knowledgeable about ROM compared to those at the service delivery facility level. The differences in application from the centre to the local governments and eventually the service delivery facility level are an indication that the hierarchical top-down cascade approach from sector policy level to service delivery facility level and from top management to support staff appears not to have worked well. A general perception is that new tools are introduced without evidence of a commitment to institutionalizing the desired change that the previous tools were intended to achieve, a situation that is tantamount to putting “new wine in old wineskins” and raises the issue of sustainability.

Notwithstanding these observations, there is concern regarding whether ROM can be uniformly applied across different policy sectors. Empirical findings established that in the Ugandan situation, ROM is being applied across the public service in the MDAs and LGs and that it is possible to apply ROM across the two policy sectors of education and health with minimum modification. Although not fully embedded, the areas of its application are indicated as the definition of institutional performance elements (including vision statements, mission statements, objectives, indicators, outputs, and outcomes), linking plans and budgets to defined results (OOB), staff performance appraisal, performance agreements for senior public servants, service delivery standards, client charters, monitoring and evaluation, performance reporting, and institutional reviews, among others. Unique circumstances are nevertheless acknowledged in each sector that manifest in different levels of both the breadth and depth of the adaptability of ROM, such as the overall position of a specific ministry or local government in terms of a wide range of internal and external factors. The ROM system is perceived to accommodate sector specific dimensions; for example, the results elements (outputs, indicators, and targets) are defined in line with what is specific to each sector.

Arising from the conclusions above and notwithstanding the overall uniformity of the application of ROM as a model, the analysis of findings reveals the importance of continuous sensitization and training of public servants, as discussed in Chapter Four, which are necessary in order to secure buy in and motivation to implement the system until it becomes embedded. Tailor made training programmes for the different sectors seem the best way to realize this, taking into account unique needs and circumstances, as well as the nature of the services provided. In addition, MDAs and LGs require strengthening
mechanisms to enable them to obtain feedback from citizens and use performance information to influence decision making and policy.

Mainstreaming objective performance assessment and periodic reporting to ascertain the organizations that are implementing ROM is another consideration for strengthening its implementation. The Ministry of Public Service is expected to continue to provide policy guidance for the implementation of ROM and strategic advocacy and capacity development, including avenues for sharing good practices through both top-down and bottom-up approaches. Implementation of ROM should not be optional but a requirement that is backed up by appropriate legal and administrative provisions, as good practices in the UK and the Netherlands indicate.

Notwithstanding the challenges of measuring performance against performance indicators, appropriate rewards for compliance, sanctions for non-compliance, and underperformance also need to be defined at both the institutional and individual level. This observation is intended to take into account the respondents’ voiced frustrations regarding a perceived tolerance of non-performance. Such an action should address the question of what happens if an institution or an individual is not results oriented. Institutionalization of ROM across the public service in Uganda will remain a challenge, however, until strategic and operational issues that affect its implementation, some of which are discussed in this research, are systematically addressed. The issues are discussed in the paragraphs that follow.

11.3 Critical factors affecting the implementation of ROM and service delivery in Uganda

An underlying assumption is that ROM works differently depending on the situation in which it is implemented. Arising from this assumption, one of the research questions that this study sought to address concerned the critical factors that affect the implementation of ROM. As identified in the theoretical analysis, the systems approach is fundamental for the identification of factors that impinge on the implementation of performance management and service delivery reforms. Accordingly, a set of different factors (or systems) have to collectively and collaboratively (systematically) operate in order for performance management and service delivery to take place. Both the theoretical and empirical research identified a multiplicity of factors that affect ROM and service delivery. The critical issues that emerge include the commitment of leadership, inadequate and inefficient use of financial resources, dysfunctional institutional structures, basic human resource management practices, and limited engagement of citizens. Aside from there being a harmonized appreciation of what ROM is, it is imperative that outstanding issues are addressed in order to strengthen its implementation.
11.3.1 Mutual trust and commitment of political and professional/administrative leadership

Chapter Five indicates that leadership, both political and administrative/professional, positively influences performance management and service delivery. As earlier discussed, clarity of leadership vision and appropriate focus on public services that are responsive to citizens’ needs are a prerequisite for performance management. In Western countries, a top-down approach is considered central for driving performance management reforms. Although still a challenge, the relationship between political leaders and professional leaders in Western countries is shown to promote performance governance and mutual responsibility for performance results driven by common values and concern for the public good.

Both the theoretical and empirical analyses of the position of leadership in SSA countries demonstrate limited clarity of leadership vision for the public good, lack of mutual trust and commitment, and undefined boundaries between political leaders and administrative/professional leaders, all of which constrain performance management reform. The empirical study shows that respondents acknowledged that political leadership vision seems to exist, but they also held a general view that the vision is not shared either between political leaders and administrative leaders on the one hand, or between political leaders, administrative leaders, and citizens on the other, contributing to perceived limited ownership of national service delivery policies and programmes.

The study highlights that the limited shared understanding regarding the role of the public service appears to create a disconnect in terms of the design and implementation of service delivery priorities, making it difficult for agreement to be reached on the most relevant results for citizens, and thus undermining cost efficiency of the results chain within and across institutions. Furthermore, there is a perceived gap in the top-down approach with regards to leadership focus and support for performance management, creating the potential risk of rendering the reforms mere technical exercises that do not yield expected results.

Moreover, empirical findings indicate that there is some tension between political and administrative leadership and also amongst administrative leaders themselves. Consequently, a perception exists that there are glaring gaps in terms of expectations between the service delivery priorities of political leaders, public servants, and citizens. Respondents were of the view that political leaders are not reading from the same page as citizens, either because they are not in touch with the reality on the ground or because of limited capacity to address the glaring gaps in service delivery. Overall, the level of sensitivity of leaders to basic issues that affect basic service delivery was called into question.

Arising from the above, respondents recommended that in order for performance management reforms and the implementation of ROM to stand the test of time, it is necessary to develop transformational leadership capacity that is
hinged on the principles of selflessness and public good/trust through both positive traditional cultural values and the national education system. Leadership, both political and administrative/professional, ought to be “the fountain” of good governance, and experienced by citizens through tangible and intangible results. This would promote the legitimacy of leadership, and participation and harmony among citizens. Proposing a concrete solution to this is, however, beyond the scope of this research.

Nevertheless, suffice it to say that taking into account the centrality of leadership, having a common vision for performance and public service delivery would create a shared appreciation and foundation for building common values and principles, which would in turn influence work and service delivery practices. Political leaders and administrative/professional leaders in MDAs and LGs require a greater appreciation and prioritization of ROM as the bedrock for the development and maintenance of an efficient and effective service delivery system. In line with the cascade approach discussed earlier in Chapter Five, this would require the ROM performance management system to cease being seen as an intervention driven by the Ministry of Public Service with the support of development partners, and instead be perceived as being owned and internally driven within each policy sector, MDA, and LG. Strengthening human development initiatives in a fair and equitable manner and upholding the merit principle in recruitment is essential in order to have a wider pool of human resources capacity from which leaders can emerge. A performance and service delivery framework for Uganda will require mutual trust and commitment to common performance and service delivery priorities.

11.3.2 Efficient generation and management of financial resources
According to the theoretical analysis and available literature, a central theme behind most reform interventions in Western countries is the need to provide value for available constrained public resources against an increasing demand for public services. This is further challenged by the continued economic crisis within a decentralized service delivery system. Empirical findings in Uganda identified both positive and negative aspects of financial management reforms that affect results oriented performance management. The establishment of a semi-autonomous Uganda Revenue Authority, macro-economic stability, the standard planning and budgeting cycle, and budgeting tools across the government are some of the celebrated milestones. As highlighted in Chapter Six, output oriented budgeting (OOB) provides a positive step towards linking resources and results. Transfer of resources to local governments through both conditional and unconditional grants is perceived as promoting their application to address critical national service delivery priorities. Furthermore, the capacity for policy formulation is perceived as having greatly improved. The findings also indicate, however, that a number of challenges still persist. Respondents were in general agreement that the low local revenue base in Uganda is inadequate to meet the priorities for service delivery, necessitating continued reliance on donor
aid that is in most cases conditional to specified reform and/or service delivery interventions. In addition, it is perceived that there is some inefficiency in the allocation and use of the limited resources in both central MDAs and LGs, in effect implying that some critical reforms – which on paper are governmental priorities – are either grossly underfunded or left to donor funds, notwithstanding the fact that donor and local priorities do not always necessarily match.

Despite improvements in the planning and budgeting process, the biggest challenge is reported to arise from the gap between annual fixed indicative planning and budgeting ceilings and the actual releases of the funds for implementation. It is perceived that a predictable relationship between revenues, the budget, implementation, and the public services provided is generally lacking. This is further perceived as creating a gap between policy objectives, what is planned, what is delivered/implemented, and the actual services that citizens access, putting the credibility of the budgeting and implementation process at stake. A glaring contradiction as expressed by respondents is the magnitude of the commitments made by political leaders on the one hand and the scarcity of resources on the other, thus a gap exists between what is desirable and what is realistically feasible. Respondents expressed concern that the celebrated rapid economic growth is not evidently translated into sustainable responsive public services and improvements in the welfare and quality of life of citizens.

Arising from the above observations, the perception of respondents was that the implementation of ROM in Uganda requires the establishment of appropriate mechanisms for increasing revenue generation and the application of available resources in the most efficient and effective manner. Respondents also held the view that the credibility and predictability of the budget and the medium-term expenditure framework (MTEF) require improvement in terms of efficiency in allocation and accountability for the use of scarce resources. This involves a detailed explanation of the planned results and services, where local revenue resources are allocated, and where resources from development partners are applied, in order to strengthen the logic of resource allocation to policy priorities. Furthermore, meeting targets set with development partners should avoid the risk of engaging in ‘technical exercises’ that have no effect on sustainable results. This would require setting a zero base budget at a specific point in time (for example, at the commencement of a clear-cut MTEF cycle) as opposed to a rolling one, or following the launch of a new national plan.

There was also a general perception that it is important for policy coherence to be promoted at two levels, namely within the policy arena itself and across other sector policies. Harmony and consistency between what is planned and the resources that are actually released within the expected timeframe is necessary in order to reduce the gap between planning, budgeting and implementation. Strengthening the implementation of budgeting and financial management reforms to all MDAs and LGs, and continuous training on their application, is
inevitable. Furthermore, confidence in the participatory planning process is required through evidence that the views of stakeholders are taken into account. Subjecting private providers of public services and other non-state actors who receive funds from the government or donors to open performance accountability processes is also necessary. Performance-based reporting to promote accountability and value for resources in relation to service delivery outcomes will build confidence in the planning, budgeting and implementation process.

11.3.3 Functionality of institutional structures
The theoretical and empirical findings discussed in Chapters Two and Seven respectively indicate that institutional structures affect performance management and service delivery. In line with this, classical theories of organization are still relevant in terms of providing lessons for building institutions based on well defined roles, responsibilities, and processes. Institutional theory that emphasizes common norms as a source of motivation, and a compliance mechanism for the enforcement of rewards and sanctions, are also very relevant for performance management. Experiences from Western countries indicate that restructuring is not an automatic solution to performance problems. Redefining the role of the state through privatization and decentralization come along with different challenges. In addition, the extent to which markets can be left to function as the main mechanism for public service delivery is highly doubtful. Theoretical analysis in SSA highlights that restructuring and downsizing are used as tools for “treatment before diagnosis”. Furthermore, the decentralization of functions to local governments encounters a number of challenges.

The empirical analysis established that central government ministries in Uganda have been reviewed a number of times in a bid to streamline institutional mandates, clarify objectives and define staffing norms. This notwithstanding, there was a general perception among respondents that functional overlaps among ministries, and between ministries and some of the agencies, still exist. In addition, the structures are generally perceived as dysfunctional, mainly because they are both inherently inappropriate in their design and not fully operational. An emerging perception was that the government cannot afford to recruit staff to all of the established posts, especially in the local governments and service delivery units, resulting in high vacancy rates. In effect, this implies that the government cannot afford to provide the expected services at those levels. Overall, in both the policy sectors of education and health, dysfunctionality of the structures was also attributed to functional overlaps, the architecture of the structures, the cost of implementing the structures, problems of coordination, and “political intervention” in the management of the public service. Compounding the problem, public service institutions sometimes appear to pursue contradictory and competitive objectives among themselves.
The increase in the number of local governments is perceived as shifting scarce resources from direct service delivery priorities to administration and coordination. The objectives of creating additional local governments are being questioned, with the political objective being seen as overriding the service delivery objective. There appears to be insufficient explanation provided to citizens that decentralization is not equal to service delivery, and that service delivery can be improved without creating more districts. In effect, administrative structures appear to be used to resolve political challenges that go beyond “tinkering” with the administrative structure. Aside from the challenges of decentralization, a widely held impression among the respondents was that a contradiction exists between highly bureaucratic systems and an underdeveloped bureaucracy, to the extent that in some cases public services are administered outside of the formal structure.

As indicated in the theoretical analysis, a more clear definition of what each MDA and LG is expected to do is the starting point for managing performance. Respondents were of the view that in order for ROM to work, it is critical for the government to define the level of service delivery that it can afford, and to match that level with the required structures for MDAs and LGs, taking into account the results chain and changing service delivery priorities. In addition, it is imperative that public service structures are made functional through the appropriate placement of staff in vacant positions and the provision of basic working tools and facilities.

Determining the number of local governments upfront using defined criteria, and systematically planning for their establishment, will eliminate speculation regarding what the next new local government administrative unit will be. Furthermore, it is necessary to explain to citizens that new local governments represent an opportunity cost for quality services, and that it is possible to improve public services without establishing new administrative units. It is imperative that bureaucratic procedures and processes are streamlined and compliance enhanced through defined service delivery standards, regulation, and quality assurance. Strengthening functional coordination within and across MDAs and LGs to minimize under- and over-reporting and inadequate support supervision at the same time will enhance service delivery. The increasing role of the private sector in the provision of public services requires that capacity for its engagement is developed and appropriate legal and regulatory frameworks for maintaining service delivery standards established. All this will go a long way to enhancing ROM and service delivery.

11.3.4 Establishing basic human resource management practices

Building and maintaining adequate and motivated human resources is a very important aspect of managing organizational performance and service delivery. How staff management contributes to the achievement of overall organizational strategic objectives emerges from both human relations and social psychological
theories and practices. The experience in Western countries, however, indicates that new human resource management practices, for example performance contracting or performance related pay, are not easy solutions. Although the work ethic and capacity of the civil service is widely applauded in Western countries, the economic crisis undermines efforts in sustaining HRM and its capability to meet the ever changing and rising expectations of citizens.

According to the empirical analysis of the situation in Uganda, a number of reform interventions aimed at enhancing personnel performance have been implemented. These include the introduction of different recruitment exercises for senior positions in the public service, incremental pay awards, implementation of staff training and development initiatives, placement of administrative and professional leadership staff on performance agreements that stipulate their annual performance targets, review of the staff performance appraisal instrument, and decentralization of the HRM function.

Overall, since the initiation of the reforms, improvement in the quality of human resources and the review of performance management instruments were appreciated by respondents. Despite these reform milestones, however, challenges still prevail; in particular, the task of enlisting adequate numbers of required personnel was listed as a critical issue. Respondents indicated that essential staff for health care and education services are not adequately attracted and retained in some LG areas, resulting in task shifting or the utilization of lower level grade personnel. Specifically, decentralization is perceived to have complicated the efficient deployment and effective utilization of medical personnel, especially doctors. While requirements such as pay, tools, and facilities are perceived as outweighing training as the main cause of underperformance, professional leaders such as hospital directors and head teachers were perceived as being overloaded with management responsibilities for which they seem ill-prepared.

Respondents were of the view that HRM challenges such as absenteeism and poor service delivery at service delivery facilities are well known, but the level of commitment and the institutional capacity to address them was called into question. Another general perception that emerged as indicated in Chapter Eight is that the personnel in the public service doubt whether they are truly valued. This perception is attributed to inadequate pay, discrepancies in pay, and shortage of tools and equipment to work with. As a result, public servants live and work under difficult circumstances, and often have to supplement their income one way or another. Subsequently, the focus and commitment to service delivery desired of public service personnel is undermined. Worse still, institutionalizing appropriate sanctions against non-performance and non-compliance to performance and service delivery standards is also undermined.

“Prescription before diagnosis” has not only been applied in terms of restructuring but in the management of human resources as well. Assumptions
are drawn about the issues that affect performance without delving into the real causes. A general perception of respondents was that there is an imbalance in the application of McGregor’s assumptions of Theory Y and Theory X. The attempt to focus primarily on the latter – the carrot and stick theory – is inadequate because it does not resolve the basic HRM issues affecting public servants and partly explains the alienation and attrition of highly skilled staff. Some respondents also indicated that their commitment to performance was affected by the perception that political leaders endorse the view of public servants as incompetent, non-performing, corrupt, or saboteurs of government programmes, a view that undermines human resources as an integral part of the service delivery framework.

Arising from the above, selecting and deploying human resources in MDAs and LGs through a process that is perceived as open and transparent is essential for maintaining professional standards. Defining individual staff targets in accordance with departmental objectives will clearly demonstrate the link between individual and organizational performance. Staff performance appraisal (if promptly undertaken), will enable the use of appraisal results to address performance gaps. Appropriate rewards and sanctions will make individual public servants appreciate their contribution to both team and organizational performance. It would be good practice to continuously sensitize and train leaders in management position and other public servants to take into account transfers, promotions, new leaders, new appointments, and innovative practices, as discussed in Chapter Four. Specifically, the management and administrative role of hospital directors and school head teachers requires redefinition. Furthermore, deliberate effort is required to ensure that public servants in MDAs and LGs, including support staff, are sensitized and trained about ROM through induction programmes and continuous personnel development programmes. Armstrong (2006, p. 508), however, advises that “performance management should not be imposed on managers as something special that they have to do. It should instead be treated as a natural function that all good managers should carry out”.

The quality of human resources in the public service is a mirror of institutional and state capacity. It is not realistic to expect a ‘weak’ and ‘demotivated’ public service to provide quality services. Ugandan public servants are usually expected to “turn water into wine”, as well as to “multiply fish and bread”. A general view is that fairness and equity in terms of pay and facilitation would build up commitment to performance management and lead to improvement in service delivery. Human resources are not only a cost but an investment, with the potential to yield positive returns. Treating public servants with respect and dignity is likely to result in them treating citizens with respect and dignity in line with shared values and principles (Denhardt and Denhardt, 2007). As indicated earlier in Chapter Two, it is important to clarify expectations of human resources
“in terms of role responsibilities and accountabilities (expected to do), skills (expected to have) and behaviours (expected to be)” (Armstrong, 2006, p. 496).

11.3.5 Participation of citizens and stakeholders

One of the key lessons drawn from the theoretical analysis is the requirement of listening to citizens, and of communicating with and engaging them in the co-production of public services. In this regard, Pollitt and Bouckaert (2011, p.126) raise concern that “a full discussion of results, therefore, embraces the wider questions of results for whom, defined by whom, against what criteria, and in pursuit of which objectives?”. As discussed in Chapters Two, Nine, and Ten, although the reforms in the Western setting have been top-down, citizen capacity to demand quality public services and value for public resources implies increased pressure on various leaders in government to deliver quality public services. This has promoted the development of what is referred to as performance governance and the search for creation of public value through co-production of public services.

As discussed in Chapter Nine, the concept of participation has developed from simply informing, through consulting, involving, and collaborating, finally to empowering (Coats and Passmore, 2008). Although the views of service recipients were not directly sought in this study, it is evident from both the theoretical and empirical findings that the role of service recipients and stakeholders in performance management and service delivery is critical. Notwithstanding the fact that some interventions have been initiated in this direction – for instance, participatory planning and budgeting, client charters, citizen forums, and service delivery surveys – the scale and depth of implementation remains minimal.

The empirical findings have established that service recipients in Uganda are inadequately involved in the planning, delivery, and monitoring and evaluation of public services. As a result, there is a limited sense of ownership of policies and programmes. As indicated in the theoretical analysis and arising from the perceptions of respondents, there are divergent views of what the government counts as achievements/results and what citizens experience in service delivery institutions. A general emerging perception was that limited public confidence and trust in public services is a reflection that the public service is out of touch with the reality encountered by ordinary citizens as service recipients. Respondents perceive that the quality of public services varies in a diminishing order from the centre to the local governments, and from higher local governments (district headquarters) to lower local governments, perpetuating inequality and extreme poverty in some areas. Worse still, respondents indicated that citizens perceive some services as a push to them by leaders who do not utilize the same services. It is perceived that inadequate and/or inappropriate
information and poverty disempower citizens from meaningfully engaging in public programmes and building up a sense of duty to monitor public services. This is a dilemma in a country well endowed with natural resources but with limited capacity to exploit them in a fair and equitable manner.

Arising from the above, the general perception among respondents was that it would be good to consider citizens not only as customers but also as key stakeholders who are part of the process of initiating, implementing, and monitoring and evaluating policies and programmes. A sustainable performance and service delivery system has to bring on board service recipients and stakeholders who feel valued, empowered to promote ownership, and who demand accountability and good governance. The model of citizens being mere passive recipients of public services irrespective of their quality results in and causes untold suffering, particularly for women, children, and other disadvantaged groups. It is desirable to implement an accountability framework for the provision, non-provision, or under-provision of expected public services and a binding commitment on institutions, both government and private, regarding the quality of services that citizens should expect, as well as a sound procedure for redress when service provision does not meet promises and expectations.

Respondents also recommended that minimal user fees should be prescribed in order to promote participation, ownership, and accountability for service delivery, and enable citizens to ask binding questions regarding the quality of public services. Realism in what the government can afford to provide is furthermore required, and appropriate explanation availed to citizens regarding what is and what is not possible. This nevertheless presents a paradox for citizens who have no means to contribute. Empowering citizens to openly discuss issues that affect them on a regular basis, namely shelter, energy, food, health care, and education, is inevitable and necessary in order to build common values and enhance a common sense of responsibility for the public good. Specifically, the roles and responsibilities of service recipients with regard to the implementation of universal primary education and primary health care should be clearly defined and articulated. The capacity of citizens to play the multiple roles of service recipients, consumers, taxpayers, and co-producers of public value is fundamental for sustained improvement in service delivery, and subsequently economic growth and development.

11.3.6 Summary of internal critical factors affecting the implementation of ROM

Arising from the discussion above, the table below provides a summary of the critical factors that affect the implementation of ROM.
Table 11.1: Summary findings on critical factors affecting the implementation of ROM

<table>
<thead>
<tr>
<th>Issue</th>
<th>Findings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Results oriented performance management approach/practice</td>
<td>ROM involves a set of performance management concepts and instruments that still require common understanding and appreciation across the public service. Its application in the various aspects of performance management – for example, planning, budgeting, performance agreements, staff performance appraisals, service standards, client charters, monitoring and evaluation – varies from institution to institution and from the centre to local governments. There are still challenges in achieving economy, efficiency, effectiveness, and equity.</td>
</tr>
<tr>
<td>Effective leadership</td>
<td>Lack of a common vision undermines the focus on the public interest and the top-down approach to performance management reform. Tension exists between political and administrative leaders and among administrative leaders. Citizens are not empowered to hold leaders to account.</td>
</tr>
<tr>
<td>Efficient and effective generation and use of financial resources</td>
<td>There are resource constraints, notwithstanding the fact that Uganda is well endowed with natural resources. There is over-commitment by leaders regarding what public services can be realistically provided. There is still reliance on donor aid. Obligations are transferred to LGs without adequate resources. Accountability for resources still has some weaknesses.</td>
</tr>
<tr>
<td>Functional organizational structures</td>
<td>Restructuring exercises have not eliminated mandate overlaps and duplication of functions. The increased numbers of LGs are perceived to be under tight central government control. Restructuring and decentralization have not addressed the challenge of a dysfunctional bureaucracy.</td>
</tr>
<tr>
<td>Prioritization of HRM</td>
<td>Human resource capacity is inadequate in terms of numbers and skills. HRM instruments – for example, performance appraisal forms and performance agreements – are in place but not fully operational. The low level of pay and the high salary discrepancies undermine commitment to performance. Decentralization of HRM is affecting the quality of human resources and service delivery.</td>
</tr>
<tr>
<td>Empowering service recipients, citizens, and stakeholders</td>
<td>Citizens have limited capacity to meet their responsibilities as service recipients, shareholders/stakeholders, and members of the community. Limited involvement of citizens affects the ownership of programmes.</td>
</tr>
</tbody>
</table>

The theoretical and empirical findings indicate that concepts and tools for ROM are extensively defined and some are being applied. There is, however, need for them to be commonly appreciated across the public service. A common appreciation that ROM involves implementation from the individual to the organizational level, the operational to the strategic level, and the micro to the...
macro level is still limited. A top-down leadership approach that provides a clear vision upon which common values can be built to support performance management and service delivery reform faces shortcomings in the Ugandan public service.

ROM assumes that an incentive framework to efficiently and effectively utilize scarce resources in order to create public value is in place. ROM also assumes that a functional structure is in place to support the delivery of public services contrary to the reality on the ground. The theoretical analysis and empirical findings indicate that human resource capacity is a prerequisite for performance management and service delivery reform. Even in the face of economic crisis, human resources should not come from behind but be at the forefront of reform efforts. In Uganda, however, a multiplicity of challenges prevail regarding HRM. There is a low level of prioritization and investment in building human resources capacity, including meeting the basics of ensuring adequate and regular pay for public servants. A stakeholder approach to service delivery emerged as a major theoretical issue for results oriented performance management. Listening to citizens, communicating with and engaging them in genuine participation, are still challenges that the public service in Uganda requires to address.

11.4 External factors that affect the implementation of ROM

Having discussed the internal critical factors affecting the implementation of ROM in Uganda, it is of paramount importance to also discuss the external factors that affect its transfer from a Western to a SSA setting. The question of transferability applies at two levels, namely the overall implementation of the public service reform programme and the implementation of performance management initiatives specifically. Arising from the theoretical analysis, as indicated earlier, successful implementation of a reform in one country is not a guarantee that it will be successfully implemented in another. The environment in which a reform is implemented is important. For example, historical, cultural, political, and administrative leadership factors in different countries affect the implementation of reforms (Brasser Pereira, 2004). Furthermore, Dolowitz and Marsh (2000) indicate that there are a number of intervening factors that determine whether transfer is (un)informed, (in)appropriate, or (in)complete. Considering that there is a high risk of failure when borrowing or transplanting reforms from Western countries to SSA countries in their entirety, modification of the options, or development of interventions specific to the SSA setting is the most realistic option.

It has been established that most reform ideas and impulses in SSA come from international funding agencies and development partners. Both the theoretical and empirical findings indicate that borrowing ideas from regional experiences or from countries under similar social and economic development conditions would be more realistic than copying ideas from a developed country. It has also been established that ROM was initially designed and implemented using
technical support. In that regard, building and sustaining local capacity for ROM implementation is necessary. It is critical that capacity development initiatives for performance management are mainstreamed and prioritized within each MDA and LG budget. Furthermore, it has emerged that most of the reforms are funded by donors. Notwithstanding budget constraints, it is important that performance management reform is prioritized within the national budget and not left to donor support. Furthermore, caution has to be taken while adapting information technology in order to avoid white elephants. Based on the issues identified in the earlier chapters, and specifically in Chapter Ten, Table 10.3, recommendations for the transfer of ROM are made in Table 11.2 below.

Table 11.2: Summary recommendations on external issues for the transfer of reforms

<table>
<thead>
<tr>
<th>Issue for transfer</th>
<th>Recommendation for SSA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Origin of reform ideas</td>
<td>ROM can be modified to suit local needs. Standard definitions can be applied without reinventing them.</td>
</tr>
<tr>
<td>2 Leadership for performance management reform</td>
<td>Identify good practices for adaptation. Collaborate with traditional leadership institutions to promote positive common traditional values. Build sensitivity of leaders to public interest.</td>
</tr>
<tr>
<td>3 Financial resources</td>
<td>Empower citizens to generate household income in order to contribute to public services through tax obligations and user fees. Prioritize reforms within national local budgets.</td>
</tr>
<tr>
<td>4 Institutional structures</td>
<td>Make public service structures functional and promote the provision of public services through formal established structures.</td>
</tr>
<tr>
<td>5 Human resources management</td>
<td>Uphold the merit principle in recruitment. Build local capacity through continuous training and development, and provide a conducive work environment. Prioritise the cost of HRM reforms.</td>
</tr>
<tr>
<td>6 Citizens</td>
<td>Promote public trust in public services and participation through information, education, and communication.</td>
</tr>
</tbody>
</table>

Other recommendations that emerged in the study that affect the transfer of reforms include; (i) addressing gaps in the legal framework and enforcing compliance through rewards and sanctions; (ii) developing appropriate performance measures and promoting the use of performance information; (iii) allowing time for reforms to embed and sustaining reform efforts.

Arising from the above, transfer requires a comprehensive approach that takes into consideration internal and external environmental factors, which in turn promotes ownership and sustainability of the interventions. As indicated in the discussion in Chapter Ten, three main options with regard to transferability are available to SSA countries, namely: (i) implement public sector management
reform options as implemented by Western countries; (ii) modify the strategies; or (iii) develop something that is specific to the SSA environment. What is good in the SSA setting should be retained and what is applicable from the Western context adapted. The underlying principle is that ROM involves a continuous learning process.

11.5 Conclusion

Arising from the analysis above, a combination of internal and external factors – which mainly include underdeveloped administrative systems, inadequate leadership capacity, limited financial resources, dysfunctional institutional structures and systems, weak HRM practices, citizen disempowerment, and weak adaptability of reforms – is inevitably both a cause and a result of deficiency in terms of state capacity to manage performance and deliver effective public services. As a result, a vicious circle of underperformance is maintained, as indicated in the figure below.

Figure 11.1: Vicious circle of underperformance

Issues that negatively affect the implementation of ROM have been identified and analysed, as presented in Figure 11.1. The issues currently suggest a seemingly hostile environment. They seem to raise more challenges than solutions for ROM and service delivery, yet they inform the conclusions and recommendations provided in this chapter, and ultimately the ROM model for Uganda that is proposed in section 11.7 below.

ROM is both an approach and a tool that can be applied to break this vicious circle. The emerging theoretical issues from both the literature review and the
empirical study indicate that unique circumstances for the implementation of ROM need to be put in place. First, attention needs to be paid to the different requirements for ROM, which include the leader as a manager, human resources that produce results, the other resources involved/required, the systems in place, the results produced, and the citizens affected. Second, a top-down shared vision for performance management is critical as it promotes common values among leaders, public servants, and citizens, and is the foundation for the transformation of the public service. Third, it is important that the use of public resources is informed by common values and priorities if public value is to be produced. Fourth, the functionality of the public service as a system is very critical. Restructuring alone is inadequate to make the public service delivery system functional. Fifth, human resources are an investment. The most perfect results oriented tools cannot work unless the human resources are positively engaged. Sixth, citizens must also actively participate in the delivery of public services as owners, stakeholders, and service recipients. The seventh issue is that although external factors in the transfer of reforms cannot be undermined, the local environment needs to be taken into account in adapting the reforms in order to make them work. Finally, leadership, financial resources, human capital, structures and systems, and empowered citizens constitute the total capacity of the public service. The focus on ROM is the starting point for building the capacity for improving the performance of the public service and the provision of quality public services.

11.6 Limitations and areas for further research
A number of limitations were encountered during this study and are highlighted so as to propose areas for further research. As indicated earlier, the design of this research aimed to study the perceptions of public servants regarding the implementation of ROM in Uganda, rather than make objective measures of its implementation. The study therefore does not measure the outcomes of ROM itself, but focuses on the perceptions of key actors in terms of their assessment of ROM and the factors influencing its implementation. A detailed study on the outcomes of ROM, for example in terms of policy realization and citizen satisfaction, would be valuable, as it would provide information regarding its benefits at the individual, organizational, and national performance levels.

Furthermore, the scope of this study was broad and involved different issues, which included the role of leadership, the availability of resources, the appropriateness of structures, the position of human resources, the role of citizens, and the external factors that affect the implementation of ROM. Each of these areas is wide in nature and deserving of further individual in-depth study.

Under the issue of leadership, the identified need for leaders to build a common vision that can shape common performance and national service delivery values and principles requires further examination. Regarding financial resources, it
would be good to analyse in detail the priorities to which local national revenue is applied versus contributions from development partners. It would also be good to examine in more detail the appropriateness of the current organizational structures and the role of public-private partnerships in service delivery.

The position of human resources in performance management and the transformation of a national economy also emerged as an issue. Examining in detail the terms and conditions under which public servants should work in order to be effective would be valuable. It would also be good to examine the questions of building trust in the public service delivery mechanism, as well as co-production and value addition of citizens in a developing context.

Finally, this study focused on examples from the sectors of education and health. Focus on other sectors in the public service might be a good step considering that the challenges might turn out to be different. Furthermore, the countries for comparison within SSA as well as in the West may be altered. Future studies undertaken may bring on board other countries and other good practices, especially in the new emerging economies.

11.7 A proposed results oriented management and service delivery model for Uganda

Arising from the discussion in the previous chapters and the critical factors as summarized in Tables 11.1 and 11.2, it has emerged that there is scope for improving the ROM model currently being applied in the public service in Uganda. In this section, a proposal for a ROM model for Uganda, and for SSA more broadly, is made. The proposal recognizes that it is unrealistic to expect there to be a universal approach regarding how nations should organize and deliver public services. Figure 2.1 in Chapter Two provides a model that may be most suitable for a Western setting, as evidenced from the emerging issues in the analysis. At the same time, the analysis reveals that the model in Figure 2.2 does not allow for some critical factors that affect ROM. If left unaddressed, these issues may sustain a vicious circle of underperformance, as reflected in Figure 11.1 above. A results oriented culture that supports the building of state capacity at all levels is required to break the vicious circle.

Arising from the above, it has generally emerged that it is contingent upon each country to tailor reforms and good practices to suit local needs and realities. This requires a contingent approach to performance and service delivery that recognizes that ROM enhances the responsiveness and sustainability of public service delivery (in terms of accessibility, quantity, quality, time, and cost) to the needs and expectations of citizens. In addition, a systems approach to performance management is also critical. In the Ugandan context, it emerges that the following constitute systems issues that need to be taken into consideration: (i) the quality of leadership (shared vision for the public good); (ii) cost efficient policy priorities (value for money and accountability for public resources); (iii) functional institutional structures (appropriate levels of centralization,
decentralization, administrative efficiency, and private provision); (iv) human resource capacity (in terms of numbers, skills, and attitude); and (v) citizen participation (including the capacity of service recipients to demand public services and contribute to public value creation).

This implies that Model 4.1 in Chapter Four, section 4.2.1, which is currently being applied in Uganda, has some limitations, as it does not capture the critical issues that emerged in this study. Furthermore, the external factors that affect the transfer of ROM to a SSA situation like Uganda, as discussed in detail in Chapter Ten, imply that complete adaptation of a ROM model has to be informed by a number of issues, namely:

a) The process of adaption itself, whether voluntary or compulsory. This consideration is necessary as it involves identifying the aspects to be adapted. The role of external technical support, external and local financing, and structural and human resource capacity have to be taken into account to ensure sustainability of the adaptation process. In order to create ownership, it is important that the adaptation process is perceived as owned and not as imposed. Regional integration issues, the role of development partners, and the challenges of globalization affect the adaptation of performance management reforms.

b) The design and architecture of the model itself. The analysis indicates challenges that are associated with borrowing models as blueprints. If the actual position of a country or organization is taken into account in order to consider the realistic assumptions of an ideal model in an ideal implementation situation, this may bridge the gap between the model and actual implementation.

c) The expected levels of implementing the model. Theoretical and empirical analysis confirms that the span and depth of implementation of performance management ranges from individual to the national level. This has to be taken into account in designing a model, including the modalities for it to be cascaded at the appropriate levels, both vertically and horizontally.

d) The internal critical factors that shape implementation from within a country or an organization. The analysis of findings indicates that a top-down approach provides clarity on the direction of performance management reforms. Establishing an appropriate balance between top-down and bottom-up mechanisms, however, promotes ownership and sustainability.

e) Implementation results. In designing a results oriented performance management model, it is necessary to take into account how evidence that implementation is producing the desired results is generated.

Arising from the above, a proposal for a ROM model for Uganda and SSA is indicated in the figure below.
The proposed model above is informed by both theoretical and empirical analyses regarding the definition of ROM in the Ugandan context, the manner of application across the different sectors, the key issues that affect its implementation, and the external factors that influence its adaptation. There are four steps to the design and implementation of the model that are taken into account, namely: (i) the performance elements; (ii) the performance levels; (iii) the critical factors likely to affect performance management; and (iv) the process of implementing the performance management model.
The first issue of concern in the model are the performance elements. The theoretical and empirical findings discussed in Chapters Two and Four indicate that considerable effort has been made to define the key performance elements usually referred to as the results framework. Although these may be subject to different interpretations in the different contexts, most of the elements can be adapted and harmonized within the situation in Uganda. Performance levels may follow a top-down or bottom-up approach. The top-down approach requires clarity in terms of the national or institutional vision and strategic objectives to be attained. It is assumed that such a vision is provided by leadership, and owned by public servants and citizens. The vision and objectives inform the nature of results (outputs and outcomes) that are produced by public servants and expected by citizens. The delivery of results is verified through set performance indicators and targets. Planned activities are performed to deliver outputs against set indicators and targets. Inputs are required to undertake planned activities in order to deliver outputs.

The performance elements can also be presented using a bottom-up approach. In such an approach, inputs are required in order to undertake activities, and activities are undertaken in order to deliver outputs. Outputs are expected to be in line with performance indicators and targets. Furthermore, they may translate into outcomes that enable an institution to attain its objectives and vision. In order to attain the expected results, prior identification and planning of the activities has to be undertaken to promote economy, efficiency, effectiveness, and equity.

The second issue of concern are the performance levels. The performance levels may likewise have a top-down or bottom-up approach. From the top down, the performance levels follow a downward cascade approach. The national level vision cascades to the sector level and indicates the impact that performance management is intended to create. Sector level outcomes determine the results that the institution will focus on. The key expected outputs at the institutional level inform the priorities for the departments. Team and individual staff activities should be aligned to departmental outputs. The bottom-up approach follows an upward cascade. Individual plans and activities should be designed to contribute to the objectives and outputs of the departments. Departmental objectives and outputs should also be designed to contribute to the objectives of the institution/organization. Organizational objectives and outputs contribute to outcomes at the sector level. Outcomes at the sector level contribute to outcomes and impacts at the national level. It is very important at this stage to clearly identify and align the linkages that will enable both the top-down and bottom-up approaches. There is a risk that if the alignment is not well undertaken, each of the different levels may be involved in activities that do not generate the expected results.

The third issue of a ROM model is the requirement to take into account the critical factors that affect its implementation. Both the theoretical and empirical
analyses indicate that implementation of ROM requires: (i) the commitment of political and technical leadership to common performance and service delivery objectives; (ii) realism in efficient generation, allocation, and use of public resources; (iii) functional institutional structures; (iv) the application of basic HRM practices; (v) ownership of policies and programmes by citizens and stakeholders; and (vi) a conducive external environment of a nation and/or MDA or LG, including a harmonized role of development partners.

The fourth issue concerns the implementation of the ROM model. The implementation of ROM begins with planning and budgeting. A top-down cascade approach is most suitable for this, creating a link between the plans and budgets at the levels of the nation, sectors, institutions, departments, and individuals. Attention needs to be paid to ensure that there is consistency between policies, plans, budgets and implementation strategies, within the available resources. This is in tandem with the argument by Van der Knaap (2001, p.361) who indicated earlier that ROM clarifies “the relation between the deployment of resources, products and services and the outcomes to be attained”.

ROM requires plans and budgets to be implemented in relation to set targets, and that human resources are at the centre of implementation. Implementation of activities should take into account the arrangements for monitoring and evaluation in light of well defined performance indicators and targets. Performance assessment is undertaken at the different levels of performance, including individual, departmental, institutional, sector, and national. The performance information that is generated is applied in performance reporting in accordance with the established accountability framework within the public service and with regard to citizens. Corrective action to improve performance should be taken on the basis of performance information, and rewards and sanctions applied appropriately. This involves confirming whether: (i) appropriate choices regarding what is to be achieved have been made; (ii) the most appropriate actions to achieve what is prioritized have been undertaken; and (iii) the cost of the actions is economical, efficient, effective, and equitable. This represents the proposed model for Uganda and SSA at large.

This study has examined the critical factors affecting the implementation of ROM in Uganda from the perspective of public servants. It is expected that the theoretical and empirical findings will add to the body of knowledge and be applied in further academic research. It is also expected that the findings and recommendations will be applied to improve the implementation of ROM and public service delivery in Uganda.
ABSTRACT

1 Introduction
This study seeks to examine the critical factors affecting the implementation of results oriented management (ROM) in the public service, and the subsequent effect on public service delivery in Uganda. The main objective of implementing ROM is to enhance efficiency and effectiveness in public service delivery. Nevertheless, a number of challenges are encountered in performance management and service delivery.

The broad research question that the study sought to address is:

What are the critical factors affecting the implementation of results oriented management in Uganda from the perspective of public servants?

The specific research questions are:

a) What is ROM?
b) What are the critical factors affecting the implementation of ROM and subsequent improvement in public service delivery in the Ugandan setting?
c) What are the factors that affect the transfer of ROM from a Western setting to a Sub-Saharan African situation like Uganda?

2 Research methodology
The research design for the study was based on a case study of Uganda. A comparative analysis with Ghana and Zambia, which have similar characteristics, was also made. Furthermore, comparison with the Netherlands and the United Kingdom, mainly based on secondary information, was undertaken to identify good practices. Although largely qualitative, the study included quantitative aspects. It focused on the policy sectors of education and health because all citizens are directly or indirectly affected by these services on a regular basis. Within the education sector, the study focused on the provision of universal primary education, while in the health sector the focus was on primary health care.

To facilitate both the theoretical and empirical research, a review of literature regarding Western and SSA experiences of performance management reforms was undertaken. In addition, a review of literature regarding the key concepts of performance management and service delivery was conducted, to build up an appreciation of what performance management is and to derive a working definition for the purposes of this study, as indicated in Chapters Two and Eleven. In addition to the literature review, interviews with key informants deemed to have an informed picture of public sector management issues, especially those within their organizations, were conducted using an interview guide. Furthermore, focus group discussions with selected participants from
ministries and local governments were held. A self-administered questionnaire was also applied.

For each specific research question, comparative analysis was undertaken, mainly through the review of secondary literature that was obtained both from books and website materials. Seventy informants were interviewed, 12 focus group discussions were held, and 119 respondents completed the self-administered questionnaire. The key findings and emerging issues are presented in the paragraphs that follow.

3 What is results oriented management?
The first key research question that this study sought to address asked what results oriented management (ROM) is. According to the theoretical analysis, concern for better government performance in Western countries led to the search for systemic incentives for improved performance, which needed to stimulate and enhance government performance in terms of economy, efficiency, effectiveness, equity, and service quality. Public administrative arrangements have developed progressively from public administration to new public management, public governance, and public value management. The analysis confirms that all those developments in one way or another have informed modern performance management reforms and practices. Results orientation was the main focus of the performance management reforms (Hood, 1991; Osborne and Gaebler, 1992; OECD, 1997; Hughes, 1998; OECD, 2005; Pollitt and Bouckaert, 2011).

ROM is both an approach to management and a set of tools applied in management (Bastoe and Henderson, 2006). ROM emphasizes development results in planning, implementation, monitoring and evaluation, learning and reporting, and stakeholder participation (OECD, 2005; 2007; CIDA, 2008; UNESCO, 2008). This explains the level of prioritization and focus attached to results orientation in some Western countries. From the empirical analysis, findings regarding what ROM is perceived to be in the public service in Uganda indicate that there is a general appreciation of ROM as a performance management system. There were, however, some isolated respondents who perceived it to be a project. Though not highly pronounced, there was also a perception that ROM is a tool not a system, and that performance management is limited to individual staff performance appraisal as opposed to institutional performance. This diverse interpretation of ROM is likely to affect its implementation.

Within the question of what ROM is, is the concern of whether the ROM approach can be uniformly applied in the policy sectors of health and education. Although faced with challenges, findings demonstrate a wide range of application and standardization of ROM in the various instruments, processes, and practices. Among the common areas indicated by the respondents were
planning and budgeting, staff performance appraisal, performance agreements, client charters, policy statements, strategic plans, training, performance reporting, and monitoring and evaluation. The findings confirm that to a great extent, respondents perceive that ROM can be applied in a uniform way, with minimal modification, taking into account specific policy sector situations.

4 What are the critical factors affecting the implementation of ROM and subsequent improvement in public service delivery in the Ugandan setting?

The second research question sought to identify the critical issues affecting the implementation of ROM. Arising from the theoretical analysis, the performance management conceptual framework of Pollitt and Bouckaert (2011), as well as the empirical analysis of the perceptions of public servants in Uganda, it was found that the main issues that affect results orientation are centred around leadership commitment, value for public financial resources, the functionality of institutional structures, basic human resources management (HRM) practices, and the capacity of citizens to demand public services. A short discussion of these issues from both a Western and a SSA perspective, taking into account the empirical findings in Uganda, is presented in the paragraphs that follow.

4.1 Leadership commitment

The theoretical analysis indicates that the commitment of leadership influences performance management and service delivery. In Western countries, “public management reform—certainly in central governments—is a process that tends to begin in the upper, rather than the lower reaches of governance” (Pollitt and Bouckaert, 2011, pp. 33). It is assumed that a strategic leadership approach permits organizations to clearly focus on priorities that are perceived to be in line with the results deemed to be of greatest importance to citizens (Pollitt and Bouckaert, 2011). This involves taking and implementing difficult decisions (United Nations, 2005).

Regarding SSA, Ayee (2005, p.16) contends that “African post-independence elites appear to have been motivated much more by political and personal concerns than by economic and social development”. It appears that “a compelling vision, beyond the dry realities of economic efficiency, about where their societies are headed” (World Bank (1997, p.155) is absent. While performance management reforms in Western countries ride on the commitment of transformational leadership, inadequate leadership focus and commitment in SSA has resulted in a lack of clear vision for performance management and public service delivery. In both contexts, the role of both political and administrative leadership in driving performance management reform is identified as critical.

Empirical findings indicate that in Uganda, political leaders’ capacity to provide a shared vision and their commitment to the public good was called into question
by respondents. This concern, though more pronounced at the local government level, also arose in central MDAs. As a result, there was a perception that there are some gaps in policies and programmes and a limited sense of ownership of national service delivery objectives. Regarding administrative/professional leadership, there is concern over the lack of appreciation of a results chain within and across institutions, which has caused inefficiency and disconnect in service delivery. Lack of mutual trust and confidence between political and administrative/professional leadership that blurs the boundaries of operation between the two was perceived to create and perpetuate a salient form of tension. Leadership involvement of citizens was also perceived to be superficial, which appears to explain the limited sense of ownership of service delivery programmes. The respondents were also concerned that the gap between the expectations of political leaders, administrative leaders, and citizens is widening.

4.2 Management of financial resources

Concern for the proper management of public resources and obtaining value for taxpayers' money has driven the implementation of public sector reforms in Western countries. There is a growing frustration among taxpayers that they do not know what they are getting for their money (Osborne and Gaebler, 1992). There is also a sense of urgency to enhance performance management and provide quality public services within constrained public expenditure frameworks (OECD, 2005). The situation has become even more challenging with the advent and persistence of the global economic crisis since 2008 (Pollitt and Bouckaert, 2011). In the SSA setting, the dilemma of resource constraints on the one hand and inefficiency on the other is acknowledged (World Bank, 1998; Okwero, et al., 2010). There is also concern that the capacity of governments to formulate and implement sustainable policies, without undue influence from international funding organizations, is limited (Conteh and Ohemeng, 2009; Hughes, 1998; Thirkilden, 2001; Kiragu, 2002; Hove and Wynne, 2010).

Empirical findings indicate that there has been some progress in the implementation of budget and financial management reforms in Uganda. The Medium Term Expenditure Framework (MTEF) projections, the introduction of the Integrated Financial Management Information System (IFMIS), and the promotion of Output Oriented Budgeting (OOB) were some of the positive milestones identified by respondents. There was also perceived improvement in revenue generation, though respondents were generally of the view that this has remained stagnant as a ratio of GDP over the years.

Notwithstanding these identified achievements, respondents also indicated some challenges. A general agreement among respondents was that there seems to be a glaring contradiction between the level of resources and the level of priorities and commitments that are set by political leadership. Furthermore, efficiency in the allocation and use of the limited resources to critical policy sectors like education and health was questioned. In addition, a common perception
emerged that efforts to promote bottom-up participatory planning and budgeting processes do not meet the intended local objectives due to predetermined national priorities funded through the conditional grants to LGs. Respondents were also generally of the view that although the capacity of public servants to formulate policies and programmes has greatly improved, gaps between policy and implementation remain. Politicization and perceived ‘ownership’ of policies by individuals and/or groups of leaders has led to different interpretations by leaders, implementers, and service recipients, which accounts for the widest gap between a policy objective, its implementation, and the service delivery reality on the ground.

4.3 Functionality of institutional structures
Aside from the challenges arising from the scarcity and management of resources, institutional structures through which public services are provided pose another challenge. The theoretical analysis indicates that a more developed polity and bureaucracy has contributed to the sustainable implementation of reforms in Western countries (Heady, 2001). Furthermore, it is now acknowledged that downsizing the public service or altering structures are inadequate for transforming public service delivery (Caiden, 2001; Peters, 2001; United Nations, 2005; Pollitt and Bouckaert, 2011). Furthermore, the global economic crisis implies a continuous search for the most efficient avenues for providing public services through cost saving (Pollitt and Bouckaert, 2011).

In the Ugandan context, despite rationalization efforts the extended political structure of government is perceived to directly negatively affect its administrative organization (Ministry of Public Service and Cabinet Affairs, 1990). While decentralization is pursued as a strategy to bring services closer to citizens, the unintended outcome may actually be to strengthen central government rather than local government (Ayee, 2005). This affects the functionality of both central government and local government structures. Both the theoretical and empirical analyses established that the benefits of restructuring and downsizing have been minimal. In addition, most organizational structures in the public service in Uganda are dysfunctional, mainly because they are inherently inappropriate in their design and not fully operational.

Compounding the problem, the number of local governments continues to rise, in effect shifting scarce resources from direct service delivery priorities to administration and coordination duties. The increasing number of local governments is also perceived as a means through which political objectives at the cost of service delivery and national cohesion. The country's undeveloped and dysfunctional bureaucracy is also perceived to arise from contradictions in the structures, systems, procedures, and actual practices. Respondents were generally of the view that progress in terms of building a distinct and functional
SSA bureaucracy is being curtailed, and this in turn constrains the functionality and responsiveness of public service structures.

4.4 Human resources management

Next to the issues of institutional structures is the management of human resources. The theoretical analysis indicates that a competent human resource is an important aspect in terms of state capacity for reform. In Western countries, the key interventions for HRM reforms include reform of the recruitment process and decentralization of HRM (Farnham and Giles, 1996; OECD, 2005; United Nations, 2005; Van der Meer, Steen and Wille, 2007; Pollitt and Bouckaert, 2011), as well as performance contracting, whereby terms of service, expected deliverables and PRP are specified (Farnham and Giles, 1996; United Nations, 2005; Van der Meer, Steen and Wille, 2007). These reforms, however, have encountered a number of limitations.

In SSA, HRM reforms also initially focused on downsizing the public service. The scope and sustainability of the reforms is still limited due to resource constraints and the subsequent overriding perception of human resources as a cost (United Nations, 2005). Regarding the pace of pay reforms, although it is appreciated that public service reform is not only about reducing numbers (Stevens, 1994), a situation persists where the government ‘pretends’ to pay its employees, and its employees, ‘pretend’ to work (Ministry of Public Service and Cabinet Affairs, 1990) and the capacity of public servants is undermined. Performance management instruments that are perceived to be well designed are not well implemented, providing some explanation for the gaps in performance management and delivery of public services in SSA.

Empirical findings reveal that while some progress has been realized in HRM, a number of challenges persist, including inadequate staffing positions, inappropriate grading, a long recruitment process, and poor work practices. Although most of the respondents acknowledged that the staff performance appraisal form being used was results focused, there were concerns that there was no evidence on how appraisal results are actually used in order to improve performance. Moreover, there was concern that the risk of the government ‘pretending to pay while public servants pretend to work’ may drift on or even exceed the pre-reform period if left unaddressed.

Respondents were generally strongly against selective pay awards, which have resulted in wide discrepancies in pay across the public sector. In addition, although decentralization was reported to have contributed to the reduction in bureaucracy in the HRM function, the general perception was that a number of new challenges had subsequently emerged. These include localization of recruitment, lack of opportunity for staff rotation, limited sharing of knowledge and experience, and political intervention in the management of performance and service delivery. Appreciation that human resources are not merely a cost to
government but an integral part of managing organizational performance and the service delivery system, and in which investment should be made if the much desired MDGs are to be attained, is paramount. The quality of human resources is indeed a mirror of institutional and state capacity.

4.5 Participation of citizens and stakeholders

In Western countries, a stakeholder approach is critical for performance management and service delivery (Freeman, 2010). This approach recognises people as “citizens who have the right to hold their governments to account for the actions they take or fail to take” (Minogue, Polidano and Hulme, 1998, p.5). Citizens are stakeholders, taxpayers and customers (Hoogwout, 2005; Moore, 2013). In that regard, the “customer is a collective public” (Moore, 2013, p.3). Citizens are indeed recognized as contributors to the creation of public value (Bennington, 2009; Moore, 2013). In SSA, public servants tend to view the government, and not citizens, as its client (Doodo, 1999; Nti, 1999; Booth, 2012) contributing to the limited level of participation of clients and stakeholders in service delivery.

An emerging finding in SSA in general, and in the Ugandan context in particular, is therefore that citizens are not yet adequately engaged in the delivery of and demand for quality public services. This is due to some contradictions regarding the role of the citizen as service recipient, as a stakeholder of public services, and as part of the community in which public services are provided. Subsequently, the expectations of service recipients seem to be low since they are generally not empowered to demand or expect more. Although there has been some effort to improve citizen participation in the design of policies and programmes, the study findings have established that there are questions regarding the level of commitment shown towards this goal, as well as regarding the intended objectives and beneficiaries of some of the policy interventions. Respondents perceived some of the policies to be short-run projects for targeted beneficiaries and not for the broader public good, leading to a limited sense of ownership of policies and programmes. A sustainable performance and service delivery system meaningfully involves service recipients and other stakeholders to promote ownership, social accountability, good governance, and co-production of public value.

5 What are the factors that affect the transfer of ROM from a Western setting to a SSA situation like Uganda?

One of the key questions that this research sought to address was regarding the transferability of performance management practices from the Western to the SSA setting. From the theoretical analysis, it was established that in Western countries, reform ideas are drawn from the private sector or from regional experiences (OECD, 2005; Pollitt and Bouckaert, 2011). In SSA, it emerged that international funding agencies and other donors compelled countries to implement some reforms in order to obtain donor financial assistance or to meet
international obligations (Kiragu, 2002; Dolowitz and Marsh, 2000; United Nations, 2005; Conteh and Ohemeng, 2009). Most of the reform programmes, including the introduction of ROM was funded by development partners and designed using technical support (Ministry of Public Service, 2005). Worse still, according to the empirical findings, dysfunctional institutions and undeveloped administrative systems limit the transfer of reforms. The transfer of ROM is indeed not yet complete.

In line with the theoretical analysis and the empirical findings, the transfer of reforms may therefore be uninformed, inappropriate, and/or incomplete (Dolowitz and Marsh, 2000). Arising from that, three main options available to SSA countries were identified as: (i) to implement public sector management reform options as implemented by Western countries; (ii) to modify the strategies to suit the local context; or (iii) to develop something new that is specific to the SSA context. Taking into account the analysis above, adaptation of reform options or development of interventions specific to the SSA setting would be the most realistic proposition.

6 A proposed performance and service delivery model for Uganda

One of the objectives of this study was to propose a performance and service delivery model for the public service in Uganda. A vicious cycle of underdeveloped administrative mechanisms, plus inadequate leadership capacity, resources, structures and systems, human resources, and citizen empowerment is inevitably a cause and result of a deficiency in state capacity to manage performance and deliver responsive public services. These issues provide a seemingly hostile environment for the implementation of ROM and need to be addressed.

The proposed ROM model requires: (i) the commitment of political and technical leadership to a common vision for performance and service delivery objectives; (ii) realism in the efficient generation and use of public resources; (iii) functional institutional structures; (iv) the application of basic HRM practices; (v) ownership of policies and programmes by citizens and stakeholders; and (vi) a conducive external environment of an MDA or LG, which includes the role of development partners. A common appreciation that delivery of responsive public services is a collective responsibility that requires a holistic systems approach, with particular attention to making service recipients meaningfully engaged in demanding quality services and providing constructive feedback, is critical. This will close the gap between the aspirations of citizens and the services provided by government.

7 Conclusion

Arising from the findings in both the theoretical and empirical analyses, there is evidence that efforts to inculcate ROM in Uganda are being made. There are, however, a number of issues that affect its implementation not only in Uganda
but in SSA as a whole. It is imperative that the issues that sustain a vicious circle of underperformance are decisively addressed in order for ROM to work. Each country in SSA has the responsibility to develop a performance management system that addresses its own unique local needs and challenges.

Of primary importance are: (i) the commitment of leadership and transformational capacity to drive a result oriented performance management reform; (ii) the efficient generation and use of scarce resources; (iii) clarifying the results and services that institutions are expected to provide and enabling them to perform; (iv) placing human resources at the forefront of performance management reform; and (v) meaningfully engaging citizens in co-production of public services. These conditions would necessitate the building of a common vision for performance and service delivery, and the use of performance information for decision making, learning, and improvement. ROM consistently and systematically enhances the development of individual, institutional, and state capacity, and subsequently the sustainability of improvements in service delivery. ROM can go a long way to enhancing accountability for results and building confidence and trust in public service delivery, and subsequently to transforming Uganda’s economy and society.
SAMENVATTING (Dutch)

Dit onderzoek gaat over de kritische factoren bij de implementatie van resultaatgericht management (Results Oriented Management – ROM) in de publieke sector in Uganda. Terwijl de invoering van ROM er in de eerste plaats op gericht is om de efficiëntie en effectiviteit van de publieke dienstverlening te verbeteren, stellen zich bij de implementatie ervan een aantal uitdagingen. De centrale onderzoeks vraag luidt:

Wat zijn, vanuit het perspectief van ambtenaren in de centrale en lokale overheid in Uganda, de kritische factoren die van invloed zijn op de implementatie van resultaatgericht management?

De meer specifieke onderzoeksvragen zijn:

a) Wat is resultaatgericht management?

b) Wat zijn de kritische factoren die een impact hebben op de implementatie van resultaatgericht management en op de daaruit voortkomende verbetering van de publieke dienstverlening in Uganda?

c) Wat zijn de factoren die een impact hebben op de transfer van resultaatgericht management van een Westerse naar een Sub-Sahara Afrikaanse omgeving?

Om tot verbetering van het functioneren van de overheid te komen is in Westerse landen gezocht naar een systematische aanpak om te komen tot prestatieverbeteringen. Daartoe is in de loop der tijd het concept van ROM ontwikkeld als een sturings- of management model waarin een geheel van instrumenten in samenhang wordt ingezet met de nadruk op resultaten in zowel planning, uitvoering, controle, evaluatie, leren, rapporteren en stakeholderparticipatie. In Uganda en breder Sub-Sahara Afrika is de invoering van ROM inmiddels omarmd als middel om te komen tot verbetering van het overheidsfunctioneren.

Dit onderzoek start met een literatuurstudie naar de aard van ROM en de ervaringen met resultaat- of prestatiemanagementhervormingen in de publieke sector in het Westen en in Sub-Sahara Afrika. De kern van het onderzoek is vervolgens een empirische studie naar de ervaringen met resultaatgericht management in twee sectoren in Uganda: het lager onderwijs en de primaire gezondheidszorg. Informatie over de visies van Ugandese ambtenaren en sleutelfiguren in de centrale overheid en enkele lokale besturen werd hierdoor verzameld via 70 interviews, 12 focusgroepdiscussies en een vragenlijst (N=119). Om de resultaten te kunnen duiden is vervolgens een beperkte studie gemaakt van de ervaringen met ROM in Ghana en Zambia, als vergelijkbare
landen, en de ervaringen in Nederland en het Verenigd Koninkrijk, als representanten van de Westerse Landen waar ROM is ontwikkeld.

Het empirisch onderzoek laat zien dat resultaatgericht management in de publieke sector in Uganda breed wordt opgevat als een prestatierichtingsmanagementssysteem dat in verschillende beleidssectoren kan worden toegepast. Tegelijkertijd blijken er tussen organisaties (ministeries, departementen, agentschappen, lokale overheden) en tussen individuele ambtenaren duidelijke verschillen te bestaan in de kennis over en implementatie van resultaatgericht management. Belangrijke kritische factoren die de implementatie beïnvloeden zijn: het commitment van de (politieke) leiding, de inzet van publieke financiële middelen (zowel genereren, verdelen als verantwoorden), het algemene functioneren van de overheid (de politieke en ambtelijke instituties, met name centraal versus lokaal), de inzet van human resources management (HRM) (regelmatige betaling van salarissen, bemensing, bevordering en dergelijke) en de capaciteit van burgers om kwalitatieve dienstverlening af te dwingen. Voor elk van deze factoren worden in het onderzoek theoretische inzichten over de impact op succes van resultaatgericht management in een Westerse en een Sub-Sahara Afrikaanse omgeving geconfronteerd met de bevindingen uit het empirische onderzoek naar de ervaringen en inzichten van ambtenaren in de overheidspraktijk in Uganda.

Op de achtergrond bij de invoering van resultaatgericht management in Uganda, speelt de vraag in hoeverre een voor Westerse omstandigheden ontworpen benadering te transponeren is naar een Sub-Sahara Afrikaanse omgeving. Een dergelijke transfer kan volgens de literatuur drie vormen aannemen: (i) rechtstreeks implementatie van de Westers werkwijze; (ii) aangepaste invoering waarbij rekening wordt gekeken naar de lokale omstandigheden; en (iii) het ontwerpen van specifieke toepassingen voor de Sub-Sahara Afrikaanse omstandigheden. Belangrijk bij de vraag naar transfemogelijkheden zijn vervolgens (i) de mate waarin een hervorming vrijwillig gebeurt of wordt opgelegd (bijvoorbeeld door financierende landen of organisaties), (ii) de sociale context in een land; en (iii) de aanwezige institutionele context waarmee of - binnen de implementatie moet plaatsvinden (Stone, 1999; Dolowitz and Marsh, 2000). Eerder onderzoek laat zien dat de transfer van Westerse managemethervormingen binnen de publieke sector in niet-Westerse landen vaak onvoldoende geïnformeerd of onvolledig gebeurt en dan ook onvoldoende is aangepast aan de lokale context.

Op belangrijke punten blijkt ook de invoering van ROM in Uganda aandacht voor de context te vereisen. Op basis van het onderzoek wordt geconstateerd dat er momenteel sprake is van een vicieuze cirkel van onder-prestatie in management en dienstverlening van de publieke sector in Uganda: inadequate leiderschapskapaciteit, gebrekkige middelen, structuren en systemen, achterblijvende human resources en gebrekkige burger-empowerment zijn zowel oorzaak als gevolg van de beperkte overheids capaciteit voor
prestatiemanagement en responsieve dienstverlening. Hoewel belangrijke inspanningen geleverd worden in Uganda, zijn er nog veel uitdagingen. Belangrijk is de vicieuze cirkel van onder-prestaties te doorbreken en een prestatiemanagementsysteem te ontwikkelen dat rekening houdt met de eigen unieke lokale noden en uitdagingen.

Dit onderzoek leert vervolgens dat succesvolle implementatie van resultaatgericht management een aantal zaken vereist waar aan succesvolle implementatie van ROM in Uganda modelmatig aan zou moeten voldoen: (i) betrokkenheid van politieke en administratieve leiders met een gedeelde visie op prestaties en dienstverlening; (ii) realistische en efficiënte verzameling en gebruik van publieke middelen; (iii) verduidelijking van de prestaties en te leveren diensten en bijpassende functionele institutionele structuren; (iv) toepassing van basisprincipes van HRM; (v) eigenaarschap van programma's door burgers en stakeholders via coproductie en zeggenschap. Het is belangrijk dat door de betrokken actoren een visie gedeeld wordt op responsieve dienstverlening als een collectieve verantwoordelijkheid. Bijzondere aandacht is nodig voor de gebruikers van de publieke dienstverlening, hun betrokkenheid in het formuleren van de vraag naar kwaliteitsvolle diensten en hun feedback over verkregen diensten, en voor het gebruik van deze prestatie-informatie voor besluitvorming. Allen zo kan de kloof tussen verwachtingen en behoeften van burgers en de geboden publieke dienstverlening worden overbrugd.

Resultaatgericht management in de Ugandese publieke sector kan een belangrijke bijdrage leveren voor het versterken van verantwoording van resultaten en het creëren van vertrouwen in publieke dienstverlening, en het – als een volgende stap – transformeren van de economie en samenleving.
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## Annexes

### ANNEX 1: GENERAL CHARACTERISTICS OF RESPONDENTS

#### Annex 1 (A) Common Characteristics of respondents to the Self-administered Questionnaire

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<td>2. Commissioner, Quality Assurance</td>
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<td>3. Commissioner, Health Planning</td>
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<td>4. Assistant Commissioner, Human Resources Management</td>
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<td></td>
<td><strong>2. Ministry of Education and Sports</strong></td>
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<td></td>
<td>5. Commissioner, Education Planning</td>
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<tr>
<td></td>
<td>6. Commissioner, Primary Education</td>
</tr>
<tr>
<td></td>
<td>7. Commissioner, Private Secondary Schools</td>
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<td></td>
<td>8. Assistant Commissioner, Education Social Work</td>
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<td></td>
<td><strong>3. Public Service Commission</strong></td>
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<tr>
<td></td>
<td>11. Secretary, Public Service Commission</td>
</tr>
<tr>
<td></td>
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<td></td>
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<td></td>
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<td></td>
<td>17. Commissioner Boards, Education Service Commission</td>
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<td><strong>8. Ministry of Finance, Planning and Economic Development</strong></td>
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<td>22. Director Budget Policy</td>
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<td>23. Assistant Commissioner/Economist</td>
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<td>36. Head of Human Resources</td>
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Annex 2: Summary of Responses from Self-administered questionnaire

**Annex 2 (a) Responses on ROM**

### 2(a-i) ROM is being applied in my organization

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### 2(a-ii) The ROM Performance Management System is easy to understand and convenient to apply

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2(a-iv) The Institutional Structure of my Organization affects ROM and Service Delivery

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2 (a-v) A Decentralised service delivery system enhances performance and public service delivery

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2 (a-vi) I am Knowledgeable about ROM

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2 (a-viii) Some form of ROM is being applied in my Organization

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### Annex 2 (b) Responses on Leadership

#### Annex 2 (b-i) Responses on political leadership

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#### A culture of teamwork and collective responsibility

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Annex 2 (c) Responses on the Management of resources

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Annex 2 (d) Ranking of various aspects in private facilities

**Analysis of private providers of public services**

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### Payroll Category

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#### Local Government Payroll

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**Grand Total** 293,940
Annex 3: Inventory of Issues for framing Questions for research instruments

1. Leadership:

1.1 Political leadership
a) Clarity of vision and purpose of the organization
b) Commitment to common performance and service delivery priorities
c) Commitment to efficient allocation and use of public resources
d) Realistic policy priorities and commitments in line with resource constraints
e) A culture of social and collective responsibility amongst the population
f) Enlisting support of communities for ownership of policies and programmes

1.2 Technical leadership
a) Promotion of common organizational objectives
b) Promotion of a results oriented performance management system
c) Commitment to efficient allocation and use of resources
d) Promotion of teamwork amongst staff
e) Prioritizing human resources
f) Putting in place appropriate structures and systems
g) Engagement of service recipients in the delivery of public services
h) Leadership by example

2. Management of financial resources
a) Revenue generation
b) Resource allocation
c) Timely release of resources
d) Utilization of resources in accordance with approved budget and regulations
e) Accountability for resources in terms of expenditure and results
f) Development partners contributions
g) Central government transfers to local governments
h) Identification of policy priorities
i) Harmonious and mutually supportive policy options and priorities

3. Institutional structures
a) Availability of appropriate legal framework
b) Mandate and functions of organizations
c) Structure of the organization
d) Number of established posts
e) Level and grading of the posts
f) Vacancy position of the established posts
g) Overall institutional capacity for implementation of policies and programmes
h) Institutional overlaps with other government organizations
i) Bureaucracy
j) Coordination to harmonize cross-cutting issues
k) Private providers of public services
l) Centre-local relationships

4. Human Resources Management:

a) Recruitment
b) Availability of staff at appropriate grading level
c) Pay and motivation
d) Availability of tools and equipment
e) Staff performance appraisal
f) Training and staff development
g) Decentralized human resource management system

5. Clients and Stakeholders:
a) Definition of roles and responsibilities of in service recipients
b) Regulation of private providers of public services
c) User fees
d) Feedback mechanism
e) Consultation/involvement of clients and stakeholders
f) Accessibility, timeliness/responsiveness, quantity, quality and Cost of services
g) Citizen empowerment

6. Results Oriented Performance Management System
a) Knowledge of ROM
b) Practice/application of ROM
c) Areas of application of ROM
d) Transferability of ROM to local environment
e) Challenges encountered in the implementation of ROM
f) Recommendations for the implementation of ROM
g) Recommendations for the improvement of service delivery

7. General Issues
   Overall implementation of the public service reform programme.
Annex 4: Interview Guide for Senior Managers

This interview guide has been prepared to enable collect data and information from senior staff in targeted ministries, departments, local governments, and service delivery facilities.

Ministry/Department/Agency/Local Government/Service Facility -------------------
Senior Staff---------------------Position Held--------------------------- Salary Scale--

1. Overall, what do you consider to be the key achievements improvements in service delivery of your organization over the previous year? What key factors do you consider to have brought about those particular achievements?
2. What are the key service/results areas that you are responsible for?
3. Are the service areas in line with what is set out in the vision and objectives of your organization?
4. Would you consider the leadership of your organization to be committed, supportive and facilitative in the work of the organization? What leadership responsibilities would you recommend to be improved upon?
5. To what extent is the budget provision adequate to meet the requirements of the organization? If no, what can be done to:
   a) Improve the use of available resources
   b) Generate additional revenue for the organization.
6. Have the restructuring exercises that have been undertaken in your organization helped to streamline its roles and functions? Are there any outstanding structural challenges that still require to be addressed?
7. What steps are being undertaken to build and sustain human resource capacity in your organization? Are there any specific challenges in human resource management that need to be overcome to improve performance?
8. What mechanisms has your organization put in place to receive feedback from your service recipients? In what ways is the feedback applied?
9. In what areas is Results Oriented Management (ROM) being applied in your organization?
10. What recommendations would you make for improvement of the ROM system and the Public Service Reform Programme generally?
Annex 5: Questions for Focus Group Discussions

These questions have been prepared to guide the focus group discussions. They are centred on the five perspectives of leadership, public resources, institutional arrangements, human resources and stakeholder approach to public service delivery. An additional question that takes into account the implementation of public sector reforms generally is also included. The questions may be modified to fit specific situations.

1. Under the various reforms, the Government is making effort to improve public sector performance and public service delivery. What factors do you consider critical in improving public sector performance and public service delivery?
   a) In what specific areas do you consider progress is being realized?
   b) What factors are influencing the realization of gains from the reforms being made?

2. Leadership:
   2.1 Political Leadership
   Political leaders are elected every five years through an open system. The leaders are expected to provide a vision, mobilize resources, identify priorities and mobilize the population towards attainment of common service delivery objectives.
   a) To what extent are political leaders committed to pursuit of the public good?
   b) What specific examples are available to support your response?
   c) What challenges are faced by leadership in this pursuit?
   d) What proposals do you wish to make to strengthen leadership capacity?

   2.2 Technical Leadership
   Technical leaders (Chief Executive Officers and Heads of Department) are expected to provide technical expertise for the implementation of government policies and programmes that enhance performance management and public service delivery.
   a) To what extent are technical leaders committed to the pursuit the good of public organizations?
   b) What specific examples are available to support your response?
   c) What challenges are faced by technical leadership in this pursuit?
   d) What proposals do you wish to make to strengthen technical leadership capacity?

3. Public Resources
   Reports and budget allocations indicate that national revenue collection has improved. At the same time however, government still relies on funds from development partners to supplement development programmes. The budgeting process has been reformed and efforts made to link it to outputs. Expenditure limits are set within which institutions are required to budget. At the local government level, effort is being made to institutionalize the bottom up participatory approach to budgeting.
   a) What do you consider be the key milestones in the budget reform process?
   b) What do you consider to be the key achievements under budget implementation?
   c) What are the key challenges being faced in both the budgeting process and budget implementation?
   d) What recommendations would you make for:
      i) Alignment of budgets to results/services
      ii) Accountability for both financial resources and results
      iii) Central government transfers to local governments
      iv) Contributions from development partners.
4. Institutional structures:
4.1 Restructuring of central government ministries:
Restructuring central government ministries has been undertaken to streamline roles and responsibilities, remove overlaps and enhance efficiency in public service delivery.

a) To what extent have government mandates and functions been streamlined?
b) What areas are you particularly happy about?
c) What are the key challenges impacting on the effort to streamline government functions?
d) What proposals do you make to address those challenges?

4.2 Decentralization of service delivery:
Decentralization has been undertaken with the objective of taking decision making and service delivery responsibilities nearer to the people. Political leadership has been strengthened at the local government level and local governments restructured to enable them deliver services. The human resource management function has been decentralized. Local governments have the leeway to collect revenue and to apply it on local priorities.

a) To what extent has decentralization led to improved public service delivery?
b) What areas are you particularly happy about?
c) What are the key challenges impacting on the management of the decentralized service delivery system?
d) What proposals do you make to address those challenges?
e) What recommendations do you make for decentralization generally?

4.3 Private providers of public services
Private providers of public services are making substantial contribution to the primary education and health care services:

a) In what aspects should the private providers of the services be commended?
b) How would you compare the quality of services between the private for profit providers and those for non-profit (foundation bodies)
c) What challenges do private providers face?
d) What recommendations do you wish to make for the improvement of services by private providers?
e) What recommendations do you wish to make for improvement of partnership between the government and private providers of public services?

5. Human resource capacity
A number of efforts have been made by the government to enhance human resource capacity in the public service. Amongst others, some of the key strategies that have been implemented include reviewing staff establishments, improvements in payroll management, training and staff development, reviewing the staff performance appraisal instrument, putting in place a single spine salary structure and harmonizing duty facilitating allowances.

a) What do you consider to be the key achievements in developing human resource capacity in the public sector?
b) What are the key challenges impacting on human resource management and capacity?
c) What recommendations do you wish to make to improve human resource management and human resource capacity generally?

6. Citizen/stakeholder participation in service delivery:
It is government responsibility to provide minimum/defined level of public services to its citizens in order to promote their well being. Citizen participation and feedback is critical to ensure that services are responsive to the needs of the people. Some of the key
policies that are being implemented where citizen participation is required is Universal Primary Education and Primary Health Care.

a) What do you consider to be the key achievements in the implementation of Universal Primary Education and Primary Health Care?

b) In what ways have citizens and stakeholders been involved in the provision of those services?

c) What bottlenecks have been encountered in enlisting the participation of citizens?

d) What proposals do you wish to make to in order to improve:

   i) Universal primary education.
   ii) Primary health care.
   iii) Citizen participation generally.

7. Increasing results focus in the public service:

   One of the key initiatives that is being implemented under the public service reform programme is results oriented management, with the objective of enhancing efficiency, effectiveness in public service delivery and accountability for public resources.

   a) What do you consider to be the key milestones that have been attained in the implementation of ROM?

   b) What challenges have been encountered in the implementation of ROM?

   c) What recommendations do you wish to make for strengthening the implementation of ROM in the public service?

   d) What recommendations do you wish to make for strengthening the implementation of the public service reform programme generally?
Annex 6: Self Administered Questionnaires for Central Ministries, Local Governments and Service Delivery Facilities

Annex 6a: Self-Administered Questionnaire for Respondents in Central Government Ministry, Department or Agency

I am a public servant in the Ministry of Public Service, Kampala, and a PhD student of Amsterdam University in the Netherlands. I am undertaking research on Public Sector Performance and Public Service Delivery. The purpose of the research is to generate theoretical and empirical information that can support the development of a performance and service delivery model for the public service in Uganda. The topic for the research is “Improving performance management in the public service of Uganda: The implementation of Results Oriented Management”.

This self-administered questionnaire has been prepared to enable me collect data and information from individual respondents in ministries and central government departments. You have been identified as one of the key respondents. I am requesting you to complete the questionnaire with openness and sincerity. The responses that you provide will be treated with utmost confidentiality. When completing the questionnaire, for the questions where options have been provided, please tick only one option that represents your choice of response. Where open space is provided, you are free to indicate any response that you deem appropriate. It will take you only about thirty minutes to complete the questionnaire. I wish to thank you very much, for accepting to participate and to contribute to this research.

Section A General Information

Ministry
Department
Designation/Post title
Salary Scale
Gender
Male
Female
Length of Service (Years) (A) 1-5 (B) 6-10 (C) 11-15 (D) 16-20 (E) 20+

Section B: Please Rank the options provided according to the order of your preference

1.1. Political Leadership (Minister or Chairperson)

1.1.1. What aspects of Political Leadership listed below are most prevalent in your organization? (Your responses should be in order of your preference, from 1 -5, where one represents the highest prevalent)
1) Clarity of vision and direction of the organization
2) A culture of team work and collective responsibility
3) Service delivery priorities that address pressing needs of service recipients
4) Commitment to efficient allocation and use of public resources
5) Consults staff and stakeholders

1.1.2 Besides the above, please indicate other aspects of political leadership that you would like to see in your organization? (please indicate ranking from 1-5)
1) 
2) 
3) 
4) 

1.2 Administrative/professional leadership (e.g Permanent Secretary, Executive Director, Director, Head of Department)
1.2.1 What aspects of Administrative/professional Leadership below are most prevalent in your organization? Please rank in order of preference, on a scale of 1-5, where one is most prevalent and 5 is least prevalent.

1) Promotion of the common objectives of your organization
2) Effective management, in control of the affairs of the organization
3) Commitment to efficient allocation and use of public resources
4) Team approach, meetings to address key issues that affect the organization are held
5) Effective communication of decisions and results to stakeholders

1.2.2 Besides those identified above, what other aspects of administrative/professional leadership would you like to see in your organization? (Please provide your responses in order of preference, from 1 -5, where one represents the highest preference)

1) 
2) 
3) 

2. Management of Financial Resources
2.1 Which of the aspects below best describe the status of financial resources management in your organization? Please rank in order of preference, on a scale of 1-5, where one is most prevalent and 5 is least prevalent.

1) Identification of priorities in a participatory approach with service recipients
2) Resources are always released in time
3) Resources are accounted for in terms of both expenditure and results
4) Incentives that promote better use of resources are in place
5) Development partners influence policy priorities

2.2 Besides the above, what other aspects of Financial Management would you like to see in your organization?

1) 
2) 
3) 

3. Institutional Structures:
3.1 Central Ministry/Department
3.1.1 What aspects of Institutional structures represent the status in your organization? Please rank in order of preference, on a scale of 1-5, where one is most prevalent and 5 is least prevalent.

1) Well defined roles and responsibilities within the organization
2) An appropriate structure and staff establishment
3) Uniform application of bureaucratic processes
4) Effective coordination to discuss and harmonize cross-cutting issues
5) An appropriate regulatory framework for government and non-government providers of public services

3.1.2 Besides the above, what other aspects of institutional structures would you like to see in your organization?

1) 
2) 

307
3.2 Local Government

3.2.1 What aspects identified below appropriately reflect the current status of the decentralized service delivery system. Please rank in order of preference, on a scale of 1-5, where one is most prevalent and 5 is least prevalent.

1) The legal framework for the decentralized service delivery system is appropriate/adequate
2) There are no overlaps of functions between the central and local governments
3) The number of established posts in local governments are adequate
4) Most of the established posts in local governments are filled
5) Central government funding is adequate to meet decentralized and delegated services

3.2.2 Besides the above, please identify what you consider critical aspects for improving the decentralized service delivery system are: (Please indicate in order of importance).
1) 
2) 
3) 

4. Human Resources Management

4.1 What aspects identified below that are having a negative effect on the performance of your Local Government? Please rank in order of preference, on a scale of 1-5, where one is most prevalent and 5 is least prevalent.

1) Lack of a fair and transparent recruitment and deployment process
2) Poorly defined outputs and targets for individual staff
3) An unfair and transparent pay system
4) Irregular staff performance appraisal
5) Non-availability of tools and equipment

4.2 Rank in order of preference, the aspects below that you would like to see in your organization? Please rank in order of preference, on a scale of 1-5, where one is most preferred and 5 is least preferred.

1) Contract terms of employment for public servants
2) Adequate pay in line with the responsibilities of the job
3) Appropriate tools and equipment to perform duties
4) A fair and transparent system to regularly review and address training needs
5) Effective rewards and sanctions framework for non-compliance

4.3 Besides the aspects identified above, what other human resource management issues would you like to see in your organization?

1) 
2) 
3) 

Section C Select one option of your preference from the scale indicated against each question
5. Results Oriented Management (ROM): (ROM is an integrated performance management system. It seeks to promote optimum use of resources by organizations through: clear definition of the purpose for the existence of an organization; setting clear objectives for the services provided; specification of the key outputs that it must deliver, and, development and use of performance indicators to measure the level of performance). Please tick the response of your choice.

5.1 ROM is being applied in my organization.

5.2 The ROM Performance management system is easy to understand and convenient to apply.

5.3 In my organization, Political leadership promotes management that focuses on results and services.

5.4 In my organization, Technical leadership promotes management that focuses on results and services.

5.5 In my organization, efficient management of public financial resources positively promotes ROM and public service delivery.

5.6 The institutional structure of my organization positively affects ROM and public service delivery.

5.7 A decentralized service delivery system positively enhances performance and public service delivery.

5.8 I am knowledgeable about Results Oriented Management

6. Service delivery facilities (Education sector will respond on education facilities and Health on Health Units). Please tick the response of your choice.

6.1 Established posts are filled with appropriate numbers of staff.

6.2 There is an adequate budget to provide the defined services.
6.3 Tools and equipment required to provide services are available.

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<th>Disagree</th>
<th>5</th>
<th>Strongly disagree</th>
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6.4 Supervision by a central government ministry/agency or local government is sufficient.

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<th>Disagree</th>
<th>5</th>
<th>Strongly disagree</th>
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6.5 There is overall institutional implementation capacity at the facility.

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<th>4</th>
<th>Disagree</th>
<th>5</th>
<th>Strongly disagree</th>
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7. Clients and Stakeholders

7.1 What aspects identified below promote client and stakeholder participation in service delivery? Please rank in order of preference, on a scale of 1-5, where one is most preferred and 5 is least preferred.

1) Well defined roles and responsibilities of service providers and recipients
2) Well defined processes and service standards service recipients should expect
3) Appropriate user fees that are published, known and commensurate to the service
4) A mechanism for clients to provide feedback
5) Consultation of clients when policies and programmes are being designed

7.2 Besides the above, what other aspects do you think will promote client and stakeholder participation in public service delivery?

1) __________________________________________________________
2) __________________________________________________________
3) __________________________________________________________

7.3 Client and stakeholder participation is an important aspect of performance and service delivery. (Please select one option)

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<th>Disagree</th>
<th>5</th>
<th>Strongly disagree</th>
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7.4 To what extent do you feel clients and stakeholders are satisfied with the different aspects of public services delivered by your organization? Please tick the response of your choice.

7.4.1 Accessibility of services

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<th>Neither Agree or Disagree</th>
<th>4</th>
<th>Disagree</th>
<th>5</th>
<th>Strongly disagree</th>
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7.4.2 Timeliness/responsiveness of service provision

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7.4.3 Quality of the service

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<th>5</th>
<th>Strongly disagree</th>
</tr>
</thead>
</table>
7.4.4 Cost of the service

| 1 | Strongly Agree | 2 | Agree | 3 | Neither Agree or Disagree | 4 | Disagree | 5 | Strongly disagree |

7.4.5 Public servants being courteous/helpful.

| 1 | Strongly Agree | 2 | Agree | 3 | Neither Agree or Disagree | 4 | Disagree | 5 | Strongly disagree |

7.4.6 Citizens are empowered and are knowledgeable about their rights and obligations.

| 1 | Strongly Agree | 2 | Agree | 3 | Neither Agree or Disagree | 4 | Disagree | 5 | Strongly disagree |

8. Private providers of Primary Education or Health Service

8.1 The legal framework for the private providers is appropriate/adequate.

| 1 | Strongly Agree | 2 | Agree | 3 | Neither Agree or Disagree | 4 | Disagree | 5 | Strongly disagree |

8.2 Funding is mainly through collection of fees.

| 1 | Strongly Agree | 2 | Agree | 3 | Neither Agree or Disagree | 4 | Disagree | 5 | Strongly disagree |

8.3 The Facilities have basic infrastructure to provide the services.

| 1 | Strongly Agree | 2 | Agree | 3 | Neither Agree or Disagree | 4 | Disagree | 5 | Strongly disagree |

8.4 Human resources to provide the service are adequate.

| 1 | Strongly Agree | 2 | Agree | 3 | Neither Agree or Disagree | 4 | Disagree | 5 | Strongly disagree |

Section D Please fill in the blank spaces provided

9.1 May you please indicate the challenges being faced in service delivery (Universal Primary Education or Health Care delivery):

(i) ________________________________________

(ii) ________________________________________

(iii) ________________________________________

9.2 Is there any form of Results Oriented Management (ROM) approach that is being applied in your organization? Yes----------------- No----------------.

9.3 If yes, may you please indicate the areas of application of ROM in your organization:

a) ________________________________________ (b) ____________

c) ________________________________________ (d) ____________

e) ________________________________________ (f) ____________

9.4 May you please list the key challenges being faced in the implementation of ROM in your organization:

(i) ________________________________________

(ii) ________________________________________

(iii) ________________________________________

(iv) ________________________________________

9.5 May you name at least three challenges that you think are faced in matching resource allocation to services.

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9.6 Besides increasing pay, what proposals would you make to motivate public servants? (Please indicate in order of priority).

9.7 What recommendations do you wish to make for the improvement of performance and service delivery?
   a)  For the implementation of ROM
       (i)  
       (ii) 
       (iii) 
   b)  For improvement in service delivery (Universal Primary Education and Primary Health Care as applicable)
       (i)  
       (ii) 
       (iii) 
   c)  For the implementation of the Public Service Reform Programme
       (i)  
       (ii) 
       (iii) 
       (iv) 

9.8 What proposals do you wish to make for improvement of partnership with private providers of public services?
Annex 6b: SELF-ADMINISTERED QUESTIONNAIRE FOR RESPONDENTS IN
LOCAL GOVERNMENTS

I am a public servant in the Ministry of Public Service, Kampala, and a PhD student of Amsterdam
University in the Netherlands. I am undertaking research on Public Sector Performance and Public
Service Delivery. The purpose of the research is to generate theoretical and empirical information
that can support the development of a performance and service delivery model for the public
service in Uganda. The topic for the research is “Improving performance management in the
public service of Uganda: The implementation of Results Oriented Management”.

This self-administered questionnaire has been prepared to enable me collect data and information
from individual respondents in ministries and central government departments. You have been
identified as one of the key respondents. I am requesting you to complete the questionnaire with
openness and sincerity. The responses that you provide will be treated with utmost confidentiality.
When completing the questionnaire, for the questions where options have been provided, please
tick only one option that represents your choice of response. Where open space is provided, you
are free to indicate any response that you deem appropriate. It will take you only about thirty
minutes to complete the questionnaire. I wish to thank you very much, for accepting to participate
and to contribute to this research.

Section A General Information
Local Government-----------------------------------------
Department-------------------------------------------------
Designation/Post title ----------------- Salary Scale-------
Gender Male-----------------------------------Female---------
Length of Service (Years) (A) 1-5 (B) 6-10 (C) 11-15 (D) 16-20 (E) 20+

Section B: Please Rank the options provided according to the order of your preference.

1.1 Political Leadership (LCV - LCIII)

1.1.1 What aspects of Political Leadership listed below are most prevalent in your
Local Government? (Please rank in order of prevalence, from 1 -5, where one represents
the highest prevalence).
1) Clarity of vision and direction of the Local Government
2) A culture of team work and collective responsibility
3) Service delivery priorities that address pressing needs of service recipients
4) Commitment to efficient allocation and use of public resources
5) Consults staff and stakeholders

1.1.2 Besides the above, please indicate other aspects of political leadership
that you would like to see in your Local Government?
1) ...........................................................................................
2) ...........................................................................................
3) ...........................................................................................

1.2 Administrative/professional leadership (e.g Chief Administrative Officer,
Town Clerk, Head of Department)

1.2.1 What aspects of Administrative/professional Leadership below are most
prevalent in your Local Government? Please rank in order of prevalence, on a scale of 1-
5, where one is most prevalent and 5 is least prevalent.
1) Promotion of the common objectives of your Local Government
2) Effective management, in control of the affairs of the Local Government
3) Commitment to efficient allocation and use of public resources
4) Team approach, meetings to address key issues that affect the Local Government are held
5) Effective communication of decisions and results to stakeholders

1.2.2 Besides those identified above, what other aspects of administrative/professional leadership would you like to see in your Local Government?

1) 
2) 
3) 
4) 
5) 

2. Management of Financial Resources

2.1 Which of the aspects below best describe the status of financial resources management in your Local Government? Please rank in order of prevalence, on a scale of 1-5, where 1 is most prevalent and 6 is least prevalent.

1) Identification of priorities in a participatory approach with service recipients
2) Resources are always released in time
3) Resources accounted for in terms of both expenditure and results
4) Incentives that promote better use of resources
5) Development partners influence policy priorities

2.2 Besides the above, what other aspects of Financial Management would you like to see in your Local Government?

1) 
2) 
3) 

3. Local Government Institutional Structures:

3.1 What aspects identified below appropriately reflect the current status of the decentralized service delivery system. Please rank in order of prevalence, on a scale of 1-5, where one is most prevalent and 5 is least prevalent.

1) The legal framework for the decentralized service delivery system is appropriate/adequate
2) There are no overlaps of functions between the central and local governments
3) The number of established posts in local governments are adequate
4) Most of the established posts in local governments are filled
5) Central government funding is adequate to meet decentralized and delegated services
3.2 Besides the above, please identify what you consider critical aspects for improving the decentralized service delivery system are: (Please indicate in order of importance).

1)  
2)  
3)  

4. Human Resources Management:

4.1 What aspects identified below that are having a negative effect on the performance of your Local Government? Please rank in order of prevalence, on a scale of 1-5, where one is most prevalent and 5 is least prevalent.

1) Lack of a fair and transparent recruitment and deployment process
2) Poorly defined outputs and targets for individual staff
3) An unfair and transparent pay system
4) Irregular staff performance appraisal
5) Non-availability of tools and equipment

4.2 What aspects identified below that you would like to see in your Local Government? Please rank in order of preference, on a scale of 1-5, where one is most preferred and 5 is least preferred.

1) Contract terms of employment for public servants
2) Adequate pay in line with the responsibilities of the job
3) Appropriate tools and equipment to perform duties
4) A fair and transparent system to regularly review and address training needs
5) Effective rewards and sanctions framework for non-compliance

4.3 Besides the aspects identified above, what other human resource management issues would you like to see in your organization?

1)  
2)  
3)  

Section C Select one option of your preference from the scale indicated against each question. Please tick the response of your choice.

5. Results Oriented Management (ROM): (ROM is an integrated performance management system. It seeks to promote optimum use of resources by organizations through: clear definition of the purpose for the existence of an organization; setting clear objectives for the services provided; specification of the key outputs that it must deliver, and, development and use of performance indicators to measure the level of performance).

5.1 ROM is being applied in my Local Government.
5.2 The ROM Performance management system is easy to understand and convenient to apply.

1 Strongly Agree 2 Agree 3 Neither Agree or Disagree 4 Disagree 5 Strongly disagree

5.3 In my Local Government, Political leadership promotes management that focuses on results and services.

1 Strongly Agree 2 Agree 3 Neither Agree or Disagree 4 Disagree 5 Strongly disagree

5.4 In my Local Government, administrative/professional leadership promotes management that focuses on results and services.

1 Strongly Agree 2 Agree 3 Neither Agree or Disagree 4 Disagree 5 Strongly disagree

5.5 In my Local Government, efficient management of public financial resources positively promotes ROM and public service delivery.

1 Strongly Agree 2 Agree 3 Neither Agree or Disagree 4 Disagree 5 Strongly disagree

5.6 The institutional structure of my Local Government positively affects ROM and public service delivery.

1 Strongly Agree 2 Agree 3 Neither Agree or Disagree 4 Disagree 5 Strongly disagree

5.7 A decentralized service delivery system enhances performance and public service delivery.

1 Strongly Agree 2 Agree 3 Neither Agree or Disagree 4 Disagree 5 Strongly disagree

5.8 I am knowledgeable about Results Oriented Management (ROM).

1 Strongly Agree 2 Agree 3 Neither Agree or Disagree 4 Disagree 5 Strongly disagree

6. Service delivery facilities

(Education sector will respond on education facilities and Health on Health Units).

Please tick the option of your choice.

6.1 Established posts are filled with appropriate numbers of staff.

1 Strongly Agree 2 Agree 3 Neither Agree or Disagree 4 Disagree 5 Strongly disagree

6.2 There is an adequate budget to provide the defined services.

1 Strongly Agree 2 Agree 3 Neither Agree or Disagree 4 Disagree 5 Strongly disagree

6.3 Tools and equipment required to provide services are available.

1 Strongly Agree 2 Agree 3 Neither Agree or Disagree 4 Disagree 5 Strongly disagree

6.4 Supervision by a central government ministry/agency or local government is sufficient.
6.5 There is overall institutional implementation capacity at the facility.

7. Clients and Stakeholders

7.1 Rank the aspects identified below in order of priority that promote client and stakeholder participation in service delivery. Please rank in order of preference, on a scale of 1-5, where one is most preferred and 5 is least preferred.

1) Well defined roles and responsibilities of service providers and recipients
2) Well defined processes and service standards service recipients should expect
3) Appropriate user fees that are published, known and commensurate to the service
4) A mechanism for clients to provide feedback
5) Consultation of clients when policies and programmes are being designed

7.2 Besides the above, what other aspects do you think will promote client and stakeholder participation in public service delivery?

1)  
2)  
3)  

7.3 Client and stakeholder participation is an important aspect of Local Government performance and service delivery.

7.4 To what extent do you feel clients and stakeholders are satisfied with the different aspects of public services delivered by your Local Government? Please tick the option that reflects your view.

7.4.1 Accessibility of services

7.4.2 Timeliness/responsiveness of service provision

7.4.3 Quality of the service

7.4.4 Cost of the service
7.4.5 Public servants being courteous/helpful


7.4.6 Citizens are empowered and are knowledgeable about their rights and obligations.


8. Private providers of Primary Education or Health Service

Please tick the option that reflects your choice.

8.1 The legal framework for the private providers is appropriate/adequate.


8.2 Funding is mainly through collection of fees.


8.3 The Facilities have basic infrastructure to provide the services.


8.4 Human resources to provide the service are adequate.


Section D Please fill in the blank spaces provided

9.1 May you please indicate the challenges being faced in service delivery
(Universal Primary Education or Health Care delivery):

(i).........................................................................................
(ii).........................................................................................
(iii).........................................................................................

9.2 Is there any form of results oriented management approach that is being applied in your organization? Yes-------- No---------

9.3 If yes, may you please indicate the areas of application of ROM in your Local Government:

a) .................................................................
(b) .................................................................
(c) .................................................................
(d) .................................................................
(e) .................................................................
(f) .................................................................

9.4 May you please list the key challenges being faced in the implementation of ROM in your Local Government:

(i).........................................................................................
(ii).........................................................................................
(iii).........................................................................................

9.5 May you name at least three challenges that you think are faced in matching resource allocation to services.
9.6 Besides increasing pay, what proposals would you make to motivate public servants? (Please indicate in order of priority).

9.7 What recommendations do you wish to make for the improvement of performance and service delivery?

a) For the implementation of ROM
   (i)........................................................................................................
   (ii)...........................................................................................................
   (iii)......................................................................................................

b) For improvement in service delivery (Universal Primary Education and Primary Health Care as applicable)
   (i)........................................................................................................
   (ii)...........................................................................................................
   (iii)......................................................................................................

c) For the implementation of the Public Service Reform Programme
   (i)........................................................................................................
   (ii)...........................................................................................................
   (iii)......................................................................................................

9.8 What proposals do you wish to make for improvement of partnership with private providers of public services? ..................................................
Annex 6c SELF-ADMINISTERED QUESTIONNAIRE FOR RESPONDENTS AT A SERVICE DELIVERY FACILITY (SCHOOL OR HEALTH CENTRE)

I am a public servant in the Ministry of Public Service, Kampala, and a PhD student of Amsterdam University in the Netherlands. I am undertaking research on Public Sector Performance and Public Service Delivery. The purpose of the research is to generate theoretical and empirical information that can support the development of a performance and service delivery model for the public service in Uganda. The topic for the research is “Improving performance management in the public service of Uganda: The implementation of Results Oriented Management”.

This self-administered questionnaire has been prepared to enable me collect data and information from individual respondents in ministries and central government departments. You have been identified as one of the key respondents. I am requesting you to complete the questionnaire with openness and sincerity. The responses that you provide will be treated with utmost confidentiality. When completing the questionnaire, for the questions where options have been provided, please tick only one option that represents your choice of response. Where open space is provided, you are free to indicate any response that you deem appropriate. It will take you only about thirty minutes to complete the questionnaire. I wish to thank you very much, for accepting to participate and to contribute to this research.

Section A General Information

Local Government
Service Delivery Facility (School or Health Centre) ____________________________________________________________

Designation/Post title ------------------- Salary Scale ______________________________________________________

Gender   Male ------------------------Female-----------------------------------------------------------------

Length of Service (Years) (A) 1-5 (B) 6-10 (C) 11-15 (D) 16-20 (E) 20+

Section B: Please Rank the options provided according to the order of your preference

1. Administrative/Professional leadership (e.g Head teacher or In-charge, Hospital/Health Centre)

1.1 What aspects of administrative/professional leadership below best describe the status in your organization. Please rank in order of prevalence, on a scale of 1-5, where one is most prevalent and 5 is least prevalent.

1) Promotion of the common objectives of your organization ______________________________
2) Effective management, in control of the affairs of the organization ______________________
3) Commitment to efficient allocation and use of public resources _________________________
4) Team approach, Meetings to address key issues that affect the are held organization ________________________
5) Effective communication of decisions and results to staff and stakeholders ________

1.2. Besides the aspects identified above, what other aspects of Administrative/Professional Leadership would you like to see at your School or Hospital/Health Centre?

1) ________________________________________________________________________________________
2) ________________________________________________________________________________________
3) ________________________________________________________________________________________

2. Management of Financial Resources
2.1 What aspects of Financial Management best describe the status in your School or Health Centre? Please rank in order of preference, on a scale of 1-5, where one is most prevalent and 5 is least prevalent.

1) Allocation of resources is done in line with common service delivery priorities
2) Resources are always released on time
3) Resources are accounted for both in terms of expenditure and results
4) Incentives are in place to promote better use of resources
5) Development partners influence service delivery priorities

2.2 Besides the aspects identified above, what other aspects of financial management would you like to see in your School or Hospital/Health Centre? Please indicate in order of ranking?

1) ........................................................................................................................................
2) ........................................................................................................................................
3) ........................................................................................................................................

2.3 There is an adequate budget to provide the defined services at the school or health centre. Please tick the response of your choice.

1 Strongly Agree 2 Agree 3 Neither Agree or Disagree 4 Disagree 5 Strongly Disagree

3. Human Resources Management

3.1 Rank in order of preference, the aspects below that are having a negative effect on the performance of your School or Health unit? Please rank in order of preference, on a scale of 1-5, where one is most prevalent and 5 is least prevalent.

1) Lack of a fair and transparent recruitment and deployment process
2) Poorly defined outputs and targets for individual staff
3) An unfair and transparent pay system
4) Irregular staff performance appraisal
5) Non-availability of tools and equipment

3.2 Rank in order of preference, the aspects below that you would like to see in your School or Health Unit? Please rank in order of preference, on a scale of 1-5, where one is most preferred and 5 is least preferred.

1) Contract terms of employment for teacher or health workers
2) Adequate pay in line with the responsibilities of the job
3) Appropriate tools and equipment to perform duties
4) A fair and transparent system to regularly review and address training needs
5) Effective rewards and sanctions framework for non-compliance

3.3 Besides the aspects identified above, what other human resource management issues would you like to see in your organization?

1) ........................................................................................................................................
Section C: Select one option of your preference from the scale indicated against each question

4. Results Oriented Management (ROM): (ROM is an integrated performance management system. It seeks to promote optimum use of resources by organizations through: clear definition of the purpose for the existence of an organization; setting clear objectives for the services provided; specification of the key outputs that it must deliver, and, development and use of performance indicators to measure the level of performance). For each of the questions, please tick the response of your choice.

4.1 ROM is being applied in my School or Health Centre.


4.2 The ROM Performance management system is easy to understand and convenient to apply.


4.3 In my school or health centre, Technical leadership promotes management that focuses on results and services.


4.4 In my school or health centre, efficient management of public financial resources positively promotes ROM and public service delivery.


4.5 The institutional structure of my positively school or health affects ROM and public service delivery.


4.6 A decentralized service delivery system enhances performance and public service delivery.


4.7 I am knowledgeable about Results Oriented Management (ROM).


5. Institutional arrangements at Service delivery facility (School or Health Unit)

5.1 Established posts are filled with appropriate numbers of staff.


5.2 Tools and equipment required to provide services are available.

5.3 Supervision by a central government ministry/agency or local government is sufficient.

1  Strongly Agree  2  Agree  3  Neither Agree or Disagree  4  Disagree  5  Strongly disagree

5.4 There is overall institutional implementation capacity at the school or health unit.

1  Strongly Agree  2  Agree  3  Neither Agree or Disagree  4  Disagree  5  Strongly disagree

6. Clients and Stakeholders
6.1 Rank the aspects identified below that promote client and stakeholder participation in service delivery. Please rank in order of preference, on a scale of 1-5, where one is most preferred and 5 is least preferred.

1) Well defined roles and responsibilities of service providers and recipients
2) Well defined processes and service standards service recipients should expect
3) Appropriate user fees that are published, known and commensurate to the service
4) A mechanism for clients to provide feedback
5) Consultation of clients when policies and programmes are being designed

6.2 Besides the above, what other aspects do you think will promote client and stakeholder participation in public service delivery?

1) ______________________________________________________
2) ______________________________________________________
3) ______________________________________________________

6.3 Client and stakeholder participation is an important aspect of performance and service delivery at the school or health centre. Please tick the response of your choice.

6.4 To what extent do you feel clients and stakeholders are satisfied with the different aspects of public services delivered by your school or health centre? Please tick the response of your choice.

6.4.1 Accessibility of services

1  Strongly Agree  2  Agree  3  Neither Agree or Disagree  4  Disagree  5  Strongly disagree

6.4.2 Timeliness/responsiveness of service provision

1  Strongly Agree  2  Agree  3  Neither Agree or Disagree  4  Disagree  5  Strongly disagree

6.4.3 Quality of the service

1  Strongly Agree  2  Agree  3  Neither Agree or Disagree  4  Disagree  5  Strongly disagree

6.4.4 Cost of the service
6.4.5 Teachers or health workers being courteous/helpful

6.4.6 Citizens are empowered and are knowledgeable about their rights and obligations

7. Private providers of Primary Education or Health Service
For each of the questions, please tick the response of your choice.

7.1 The legal framework for the private providers is appropriate/adequate

7.2 Funding is mainly through collection of fees.

7.3 The Facilities have basic infrastructure to provide the services.

7.4 Human resources to provide the service are adequate.

Section D Please fill in the blank spaces provided

8.1 May you please indicate the challenges being faced in service delivery (Universal Primary Education or Health Care delivery):
(i)--------------------------------------------------------
(ii)--------------------------------------------------------
(iii)--------------------------------------------------------

8.2 Is there any form of Results Oriented Management (ROM) approach that is being applied in your organization?
Yes----------------- No----------------.

8.3 May you please indicate the areas of application of ROM in your School or Health Centre:
 a)-------------------------------------------------------- (b)------
 c)-------------------------------------------------------- (d)------

8.4 May you please list the key challenges being faced in the implementation of ROM in your School or Health Centre:
(i)--------------------------------------------------------
(ii)--------------------------------------------------------
(iii)--------------------------------------------------------

8.5 May you name at least three challenges that you think are faced in matching resource allocation to services.

------------------------------------------------------------------------------------------
8.6 Besides increasing pay, what proposals would you make to motivate public servants? (Please indicate in order of priority).

8.7 What recommendations do you wish to make for the improvement of performance and service delivery?

a) For the implementation of ROM
   (i) .........................................................................................
   (ii) .........................................................................................

b) For improvement in service delivery (Universal Primary Education and Primary Health Care as applicable)
   (i) .........................................................................................
   (ii) .........................................................................................

c) For the implementation of the Public Service Reform Programme
   (i) .........................................................................................
   (ii) .........................................................................................

8.8 What proposals do you wish to make for improvement of partnership with private providers of public services?