DEVELOPING AND SUSTAINING A RESULTS-BASED MANAGEMENT MODEL IN ZIMBABWEAN SCHOOLS IN GOROMONZI DISTRICT

by

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DEDICATION

This piece of work is dedicated to the two most significant people in my life; my late father who was an epitome of candour, and my living mother who epitomises hard work, perseverance and endurance. I am exceedingly humbled by the confidence you both had in my abilities to complete this study.

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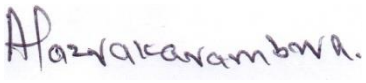
To my wife Dhora and children Aulyn, Opprah and Ishmael, I could not be with you when you needed me most, but you were both tolerant and patient with me. Indeed patience pays, Dad has set the precedence!

Lastly, my greatest thanks to the Almighty God who gave me sound health and energy to complete this mammoth task. Glory be to Him.

DECLARATION

I, Addmore Pazvakavambwa, hereby declare that: **DEVELOPING AND SUSTAINING A RESULTS-BASED MANAGEMENT MODEL IN ZIMBABWEAN SCHOOLS IN GOROMONZI DISTRICT** is my own original work and that all the sources used or quoted have been indicated and acknowledged by means of complete references, and that I did not submit this dissertation previously for a degree at another university.



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ABSTRACT

There is limited research on the use of results-based management (RBM) in schools, therefore this study focussed on developing a sustainable and effective RBM model. The objectives of the study were to identify the obstacles encountered in implementing RBM in primary and secondary schools in the Goromonzi District, identify and describe the steps taken in developing and sustaining an effective RBM model, and to develop a sustainable and effective RBM model suitable for both Zimbabwean primary and secondary schools.

A qualitative research method was used since the researcher's interest was to gain insight into and understanding of school heads' and teachers' perceptions, concerns and experiences in their real world conditions when implementing RBM. The study covered ten purposely selected schools in the Goromonzi District. Semi-structured individual and focus group interviews were conducted with the school heads and teachers. To enhance the validity of the findings, this study adhered to ethical principles and techniques.

The following salient findings that emerged from the study were that the school heads and teachers had a negative perception of IRBM because a top-down approach was used when it was introduced and the system was not customised since it was merely "imported" from a developed country whose context was different from the Zimbabwean socio-political and economic environment. There was also a serious dearth of financial resources to support the system and this affected the quality of RBM training negatively. The lack of funding also led to the non-payment of incentives for the staff with regard to implementing RBM. It was also indicated that the senior Ministry of Primary and Secondary Education officials showed a lack of commitment and support for RBM.

To address the implementation challenges it was indicated that resources had to be mobilised to ensure the capacitation of school heads and teachers and also for incentivising them. Incentivising staff is critical for the successful implementation of RBM. It was also noted that there was a need to develop a results culture in schools and train school heads in change management. It was concluded that a home grown RBM model that was context sensitive to the Zimbabwean situation was required.

As envisaged, the study resulted in the development of the three phased Zimbabwe results-based management practical model (ZRBMPM). The first phase addresses RBM implementing challenges and the second phase focusses on incentivising staff to promote the effective implementation of results management. The last phase entails the production of the results.

KEY TERMS

Results based management; results; outputs; outcomes; outcome management; results based management models; performance; performance indicators; appraisal; attribution; monitoring & evaluation; best practices.

LIST OF ABREVIATIONS AND ACRONYMS

ADB	**Asian Development Bank**
ADBG	**African Development Bank Group**
CACRS	**Closed annual confidential report system**
CeDRE	**Centre for Development and Research in Evaluation**
CIDA	**Canadian International Development Agency**
CSC	**Client Service Charter**
DAC	**Development assistance committee**
DIPA	**Departmental Integrated Performance Agreement**
DPWMP	**Digital performance work and monitor plans**
DWMP	**Departmental work and monitoring plan**
ECA	**Economic Commission for Africa**
ECD	**Early childhood development**
EG	**Electronic government system**
GAO	**General accounting office**
GOPP	**Goal oriented project planning**
HRD	**Human resources development**
HRM	**Human resources management**
IDP	**Integrated development plan**
IPMF	**Integrated performance monitoring framework**
IRBM	**Integrated results based management**
ITC	**Information and communication technology**
IT	**Information technology**
JIU	**Joint inspection unit**
KPI	**Key performance indicator**
KRA	**Key result area**
MBO	**Management by objectives**
M&E	**Monitoring and evaluation**
MFO	**Major final output**
MfDR	**Management for development results**
MIPA	**Ministerial integrated performance agreement**
MIS	**Management information system**
MTEF	**Medium term expenditure framework**

MYR	**Mid-year review**
NPM	**New public management**
NPMAC	**National performance management advisory commission**
OAGC	**Office of the Auditor-General of Canada**
OECD	**Organisation for Economic Commission for Development**
OECD- DAC	**Organisation for Economic Commission for Development-Development assistance committee.**
OOPP	**Objective oriented project planning**
OPIP	**Organisational performance indicator framework**
OPRAS	**Open performance and review system**
PAP	**Programmes, activities or projects**
PBB	**Performance Based Bonus**
PBI	**Performance-based incentive**
PDP	**Philippine development plan**
PEI	**Productivity enhancement incentive**
PIF	**Performance Improvement Fund**
PIM	**Performance improvement model**
PPS	**Personnel performance system**
PRP	**Performance related pay**
PSC	**Public Service Commission**
RBB	**Results based budgeting**
RBM	**Results-based management**
RBME	**Results based monitoring and evaluation**
RBMF	**Results based management framework**
RBMIS	**Results based management information system**
RBPPS	**Results Based Personnel Performance System**
SDG	**School development committee**
SPIS	**School performance incentive system**
SPMS	**Strategic performance management system**
SPWP	**School performance, work and monitoring plan**
TQM	**Total Quality Management**
UNDG	**United Nations Development Group**
UNDP	**United Nations Development Programme**

UNESCO	**United Nations Education, Scientific and Cultural Organisation**
UNPAN	**United Nations Public Administration Network**
USAID	**United States Agency for International Development**
USD	**United States dollar**
USGAO	**United States General Accounting Office**
WHO	**World health organisation**
ZANU PF	**Zimbabwe African National Union Patriotic Front**
ZIMASSET	**Zimbabwe agenda for sustainable development**
ZIMTA	**Zimbabwe teacher's association**
ZRBMPM	**Zimbabwe results- based management practical model**

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CHAPTER 1
INTRODUCTION TO THE STUDY

1.1 BACKGROUND TO THE STUDY

Public sector organisations such as schools that are directly controlled by the Ministry of Primary and Secondary Education are under public scrutiny. The public concern in the environment of dwindling disposable income, high unemployment rate, rising national budget deficits, mistrust in politicians and the desire for transparency in governance systems led to the rise of results-based management (RBM) in the public sector (Vahamaki, Schmidt & Molander 2011: 7). According to Perrin (2006: 22), the need for RBM was heightened in developed countries' public sectors because it clarifies an organisation's clients and mandate, specifies the results to be achieved, connects budget allocation to output-outcome delivery and requires meritocracy in the management of human resources. Curristine, cited in Mayne (2007c: 87), mentions that the outcomes orientation is now a permanent feature in public management since it is critical for successful governance. The Development Assistance Committee (DAC) Working Party on Aid Evaluation (2000:6) posits that RBM is a management method introduced for the purpose of ensuring the realisation of organisational changes in the manner in which schools are run premised on the main objective of achieving better results. RBM gives a coordinated framework for long term planning and school management hinged on learning from experiences (Vahamaki *et al.* 2011: 6). The RBM agenda calls for a serious paradigm shift where school heads define their school targets, invest maximum effort on results realisation, "measure performance regularly and objectively, learn from performance information, make adjustments and improve the efficiency and effectiveness" of school programmes (Madhekeni 2012: 123).

In developing countries such as Zimbabwe, politicians, the public and the donor community are demanding good public sector performance against benchmarked results. For example, at its 6th National People's Congress from 2nd to 7th December 2014, Zimbabwe's ruling party, the Zimbabwe African National Union Patriotic Front (ZANU PF) resolved to consolidate the RBM system to ensure much needed socio-economic development (Zimbabwe African National Union Patriotic Front Information Department. 2014: 4). This was supported during the presentation of the 2015 budget statement when

the Minister of Finance and Economic Development Honourable P.A. Chinamasa stated that "the implementation of the Zimbabwe Agenda for Sustainable Socio-Economic Transformation (ZIMASSET), the vehicle for ensuring social economic development, is anchored on the integrated RBM system throughout the entire Government bureaucracy" (Chinamasa 2014.: C11).

However, it is seemingly difficult for government departments in third world countries to adopt the outcome orientation quickly and easily due to a number of factors. First, the policies that guide mandates and operations are difficult to alter (Bester 2012: 29). Second, the systems of public accountability in place are weak since they emphasise inputs and activities rather than outputs and outcomes (Asian Development Bank (ADB) 2006: 17). The other factor that militates against the implementation of RBM in developing countries is that their human resources practices systems do not recognise merit and hence discourage an orientation towards outcomes (Curristine 2005a:131, Amjad 2008:2).

Due to the foregoing factors, the attention on results in government agencies like schools remains a challenge. Amjad (2008: 2) posits that utilising the RBM approach in developing states is difficult due to the fact that the system has been 'imported' with the help of consultants keen to show case its potential instead of ensuring the dove tailing of the approach to the needs of the receiving state. This scenario is true in Zimbabwe because Dr Rasappan, a Malaysian consultant of the Centre for Development and Research in Evaluation (CeDRE), prescribed the Integrated Results-Based Management System model (IRBM) for the Zimbabwean Government, a system that is said to have been successfully implemented in Malaysia (Thomas 2007:99). Mayne (2006:7) argues that prior to prescribing RBM implementation, it should be borne in mind that every state is peculiar, and has its own objectives and challenges. Hence, an effective and sustainable RBM model in a certain context may be irrelevant or inapplicable in another. The practice of 'importing' RBM models from wealthy states by poor countries must be discouraged (Amjad 2008: 2) since the purpose of RBM is to bring results that will meet specific country objectives while making the system functionally and organisationally sustainable (Bester 2012:39). Since the ideology and objectives differ in each state, this should translate to the RBM strategies used (Amjad 2008: 3; Mavhiki, Nyamwanza & Dhoro 2013: 135).

1.2 TRACING THE DEVELOPMENTS LEADING TO THE INTRODUCTION OF RBM IN SCHOOLS

The Zimbabwean Government appointed the Kavran Public Service Review Commission (KPSRC) to assess the operation of government ministries/departments in 1987 following a number of complaints from the Zimbabwean citizenry on the performance of public sector organisations (Matunhu & Matunhu 2014: 64). The members of the public complained about the generally poor performance of the public service regarding accountability, service delivery and the utilisation of resources allocated. The 1989 Kavran Public Service Review Commission report stated that public servants were wasteful, demotivated, lazy, indecisive, unaccountable and insensitive (World Bank 2012: 5). It was also reportedthat public servants were weak in planning, implementation and not results focussed. It was noted that there was poor employee focus due to lack of clear individual outputs and targets.

The 1989 Kavran Public Service Review Commission recommended that the Zimbabwean public service should focus on its core business, be client focussed and be oriented towards performance management since this would ultimately ensure that the public servants would focus on the set goals (World Bank 2012: 5). The implementation of the Kavran Public Service Review Commission Report recommendations was phased. The first phase (1991 to 1996) focused on enhancing effectiveness through the use of client charters and mission statements for ministries and departments and performance management training (Matunhu & Matunhu 2014: 64). The second phase (1998 to 2004) was dominated by the setting of a new appraisal system that required employees to set measurable objectives and performance standards in the form of key result areas (KRAs). Promotion and salary increments were based on performance. However, many government employees including teachers did not readily accept the new KRA appraisal system (Matunhu & Matunhu 2014: 64). According to the Ministry of Public Service (2009: 8) the performance management system adopted by the Government of Zimbabwe as a result of the Kavran Commission had several deficiencies. It focussed on planning for activities instead of results and it emphasised resource usage rather than results. Upon implementation, its weaknesses included a lack of effective coordination, wasteful resource utilisation, a lack of performance data and untrustworthy information provided for decision- making. There was also a lack of systematic monitoring and evaluation. Completed activities were mistakenly reported as results and results, if any, were short term.

As an endeavour to correct the problems noted during the second phase of implementing the KPSRC recommendations, the Government of Zimbabwe approved the adoption and implementation of the RBM system in 2005. This was given effect by General Letter Number 6 of 2005. According to Matunhu and Matunhu (2014: 64) the introduction of RBM "coincided with the worst economic and political recession in the country since independence from Britain in 1980." Since the era was characterised by serious resource shortages, the government introduced a system that emphasised on value for money (Ministry of Public Service 2009: 9). The Government of Zimbabwe introduced RBM in the public sector with the aim of managing scarce resources judiciously. This was a shift from an input driven toresults-based budgeting. According to a circular on guidelines on RBM referenced MW/32/45 (Office of the President and Cabinet. 2005), the Deputy Chief Secretary to the President and Cabinet, Dr Ndhlukula, asserts that the foundation of the RBM system is built on three basic types of public sector accountability (Office of the President and Cabinet. 2005).

These are financial accountability, management accountability and programme accountability. The Government of Zimbabwe introduced RBM, a vehicle for achieving the effective implementation of projects and programmes focussing on outputs and outcomes while optimising scarce resources (Madhekani 2012: 123; Ndhlukula, 2005: 2). Thus, the Ministry of Primary and Secondary Education had to move from activity completion to results-oriented performance.

This research was of paramount importance to the Ministry of Primary and Secondary Education since it served as feedback to policy makers. The researcher, as a District Inspector with the Public Service Commission's (PSC), Performance Audit and Inspectorate Agency, monitored the implementation and institutionalisation of RBM in schools noted that the challenges faced in its implementation required an investigation and the results brought to the attention of the authorities. This study was also imperative in that it brought out the preliminary lessons learned in implementing RBM in the Zimbabwean schools and went on to develop a sustainable and effective model compatible with the Zimbabwean situation.

1.3 STATEMENT OF THE PROBLEM

According to Bester (2012: 27), the effectuation of RBM in developing states was slow and fraught with obstacles. The concept of 'RBM' in Zimbabwean schools is relatively new and has been adoptedfrom Malaysia. Hence, it can pose a number of challenges in its implementation in the nascent stages (Amjad 2008: 7). Following the adoption of RBM in 2005 by the Government of Zimbabwe as a strategy for ensuring effective service delivery in the public sector, there has been no documented assessment of the programme to verify its effectiveness and sustainability in Zimbabwean schools. Thus, there has been no deliberate effort since its introduction in 2005, to ascertain whether the IRBM model was sustainable and effective in the Zimbabwean situation. The study sought to develop a sustainable and effective RBM model for Zimbabwean primary and secondary schools in Goromonzi District. An effective and sustainable RBM model can only be developed when the obstacles met in the effectuation the current model (IRBM) are considered (Mayne 2007c: 88). The study, therefore, had the following key research question;

What sustainable and effective RBM model can be developed for Zimbabwean primary and secondary schools in the Goromonzi District?

The following sub-questions emerged from the main research question;

- Which obstacles do Zimbabwean primary and secondary schools in the Goromonzi District encounter when implementing RBM?
- Which steps should be taken to develop and sustain an effective RBM in primary and secondary schools in the Goromonzi District?

1.4 AIM AND OBJECTIVES OF THE STUDY

The over-arching aim of the study was to identify the obstacles that hamper the implementation of RBM and to develop a sustainable and effective RBM model compatible with primary and secondary schools in the Goromonzi District. In order to achieve this over-arching aim the following specific objectives were pursued;

- To identify obstacles met in implementing the IRBM model in Zimbabwean schools.
- To identify the best practices for developing and sustaining an effective RBM model.

1.5 THEORETICAL FRAMEWORK

The theoretical framework located the study in the field in which the researcher was studying and provided an orientation for the research (Henning, Van Rensburg & Smit 2004: 25). This study was built on RBM models, as well as organisational management theories as they relate to the implementation of RBM in the public sector, particularly education (schools). RBM models will be reviewed first, in this section. This will be followed by a discussion on organisational management theories related to the implementation of RBM in schools.

1.5.1 Brief descriptions of the major RBM models

This study relied on the following RBM models.

1.5.1.1 Integrated results-based management system (IRBM).

According to Thomas (2005: 2) the IRBM was first developed by Dr. Arunaselam Rasappan in the late 1990s. IRBM is the application of RBM principles, approaches and methodology to all levels of development management in an integrated manner and systematically addresses the key factors that contribute to development results (Rasappan 2010:13). IRBM integrates all the key performance components, namely, development planning, budgeting, personnel management, monitoring and evaluation, and decision making. Thomas (2007:100).explains that "The basis for the integrated system was the use of an Integrated Performance Management Framework (IPMF)," which is mandated as the strategic planning framework under IRBM According to Rasappan, cited in Thomas (2005: 2), the IPMF resembles a strategic performance plan for the Ministry of Primary and Secondary Education and requires top management within the ministry to participate actively in the strategic performance planning process. During the strategic planning,

employees like teachers and school heads who are at the lower levels should be involved and consulted. This strategic performance planning focusses on both client needs and on results at the various stages of implementation, such as resource allocation and utilisation, activity completion, output production and outcome achievement.

The cornerstone of the IRBM is its detailed focus on systematic performance measurement and its requirement for linkages to be established with policy making, resources management and programme performance improvement (Thomas 2005: 2). According to Thomas (2007:100), the IRBM system consists of five key components that entail two primary and three complementary components. The two primary components are the results-based budgeting system (RBB) and the results-based personnel performance system (PPS). The three support components include the results based monitoring and evaluation (M &E) system, the management information system (MIS) and an enabling E-Government (EG) system. The monitoring and evaluation system is used for programme planning, performance monitoring, evaluation, reporting and information utilisation for programme improvements and policy decision- making. The results-based monitoring and evaluation (M & E) system helps to create linkages between resource use and policy implementation. In turn, the MIS provides the foundation for effective decesion making.

Rasappan (2010: 15) has added another component that he claims is key to IRBM, namely Integrated Development Planning (IDP). The primary components under the IRBM provide the necessary framework for planning, implementing, monitoring and reporting on organisational performance with systematic links to personnel performance while complementary components provide a dynamic dimension to the entire performance framework. More details will be given in Chapter 2.

1.5.1.2 The logic model

The logic model refers to the causal or logical sequence of activities, outputs and outcomes illustrating (usually in diagrammatic form) how it is expected that the intended outcomes of the programme will be brought about (Mayne 2007a: 2). The logic model is a depiction of the causal or logical relationships between activities, inputs, outputs and the outcomes of a given policy, programme or initiative (Adaptation Fund 2009: 3). The logic model is also referredto as a results chain. This results chain is a logically linked set of results, some

immediate, while others are more distant (Vahamaki *et al* 2011: 7). The Cida Draft RBM Policy Statement (Canadian Development Agency (CIDA) 2008: 2) indicates that the logic model is divided into six levels with each level representing a distinct step in the cause and effect relationships within a programme initiative. Arranged in order from the lowest to the highest, the levels are inputs, activities, outputs, immediate outcomes, intermediate outcomes and ultimate outcome The logic model is like a pyramid, since it gets smaller, the closer you move towards the highest level. Each level works towards one ultimate outcome focus for the programme initiative. More details will be given in Chapter 2.

1.5.1.3 The conceptual model

According to the African Development Bank Group (ADBG) (2005: 2) the conceptual model of RBM requires that an organisationstart by formulating its vision to position "its mandate by adopting the objectives that it considers highly strategic priorities and whose attainment should have the maximum impact on development." After the vision the organisation then comes up with sectorial and thematic strategies. These are the strategic approaches the school intends to rely on in attaining the strategic goals and targets of the vision (ADBG 2005: 2). The vision and strategic orientations serve as a guide for defining priorities and determining 2ws the resources to be provided to realise these priorities. The conceptual model strengthens the effective attainment of the desired objectives and provides the tools needed to measure results through the monitoring evaluation framework (ADBG 2005: 3).

The conceptual model of RBM has the following key features (ADBG 2005: 3-4):

- **Strategic levels** which are ""at five levels that include the vision at global level, strategies and policies at sectoral and thematic levels, programme strategies at country level and output at programme level."
- **Strategic framework** which focusses on strategic sectorial "and thematic objectives, strategic and thematic objectives, strategic objectives and operational objectives."
- **"Indicators** that cover global impact, sectoral and thematic objectives, sectoral and thematic effects and programme effects."

- **Evaluation criteria** whichfocusses on efficacy, relevance, efficiency, institutional development and sustainability.

More details will be given in Chapter 2.

1.5.1.4 The Philippine results-based management framework business model (RBMF)

The Philippine results-based management framework business model (RBMF) is comprisedof three production phases (ADB 2013: 5). The first phase concerns the injection of capital for production. The capital is injected from the either the fiscus or the private sector. Thus, there is room for public-private partnerships in the investment of school programmes. The second phase involves the combining of inputs to produce results (outputs). The key inputs to be mixed to produce outputs include capital, consumables and human resources. The production phase ultimately leads to the third and final stage whereby the outputs are consumed.

The RBMF business model seeks to instill fiscal discipline in public sector organisations such as schools. It also calls for the expending of resources on the "right things" and ensures that the best value for money is obtained. According to the ADB (2013: vi), the RBMF calls for fiscal discipline, allocative efficiency and operational efficiency. More details will be given in Chapter 2.

1.5.1.5 The performance improvement model (PIM)

Tanzania introduced a homegrown RBM model known as the performance improvement model (PIM) (Bana & Shitindi 2009: 6). The performance improvement model is comprised of four stage processes that include "planning, implementation, monitoring and evaluation and performance reviews" (United Nations Public Administration Network 2013: 1).

The planning stage involves carrying out customer satisfaction surveys, self-assessments and strategic and operational planning (Issa 2010: 7). The implementation phase is supported by the use of client service charters (CSC) and the open performance review and

appraisal system (OPRAS). According to Bana and Shitindi (2009: 12), OPRAS is a tool that links the teacher's objectives and the school's objectives. The system requires each individual teacher, for example, to sign a performance agreement with the school head setting performance targets for the year and teacher assessments will be based on this.

The third stage that entails monitoring, evaluation and reporting links all the PIM components (Issa 2010: 8). This stage produces performance information on implementation progress. The final stage that is performance reviews uses tools such as OPRAS and client satisfaction surveys. Reviews are done mid-yearly and annually (Bana & Shitindi 2009: 13). More details on this model will follow in Chapter 2

The models above were derived by scholars to portray RBM. Each model has its arguments based on studies that were conducted by different researchers. However, these models require further scrutiny and analysis. It is also important to identify the good characteristics of these models that could be fused to develop a sustainable and effective model for Zimbabwean primary and secondary schools.

1.5.2 Theories of organisational management

The United Nations Development Group (UNDG) (2010: 22) asserts that "the 'm' in RBM is often overlooked yet, without good management," chances are very high that organisational goals cannot be realised. This study was guided by a framework of the following three relevant management theories; the team building theory, the change management theory and the open systems theory.

1.5.2.1 The team building theory

According to UNDG (2010: 22) managing effectively for results requires teamwork by all key stakeholders. The team building theory emphasises quality circles, best practices and continuous improvement (Olum 2004: 19). These are also the tenets for developing a successful and effective RBM model. The successful effectuation of RBM relies heavily on teamwork. Teachers and school heads must be involved in making key decisions.

According to the World Health Organisation (WHO) (2007: 4), "team building is the process of gathering the right people and getting them to work together for the benefit of a programme." What makes a team is common purpose, goals, interdependence and accountability to a higher level (University of Victoria 2005: 4). The University of Victoria (2007: 6) and WHO (2007: 7) agree on four phases of developing a team. Stage one is forming and it is the initial orientation period that is over when members realise that they belong to a group. Stage one is followed by the storming stage where members take up their place as members of the team. The third stage is norming whereby members of the team employ past experiences in finding solutions to issues and work together coherently. This is followed by performing, that is the stage at which the team has realised harmonious relationships and has started to produce results.

It is quite clear that to develop a sustainable and effective RBM and institutionalise it, there is a need for team building skills amongst school heads. Cooperative styles of working amongst teachers and school heads within schools are also critical in the development and sustenance of RBM (Wachira 2013: 14).

1.5.2.2 The change management theory

The theory of change management will be incorporated in this empirical study because it is important in the development and institutionalisation of an effective and sustainable RBM system. Mayne (2007a: 90) argues that the main challenges in implementing and institutionalising an effective and sustainable RBM model are often organisational and behavioural in nature whereby organisations and their staff need to change how they do or view things. A focus on results calls for a total change of how the school business is run. It requires a different school culture. The theory of change management is useful when school heads attempt to institute a culture change. Thus, transformational leadership is critical when instituting RBM. If leadership fails to plan for the human side of change, it will be difficult to develop, institutionalise and implement an effective RBM system (Hamilton 2010: 1). This view is supported by the Queensland Government (2012: 2), which asserts that the main purpose of change management is to secure a commitment to the change and ensure that the teachers' behaviour and skills are aligned with the change. To build a sustainable and effective RBM system in schools, commitment is of paramount importance since it guarantees the building of trust and staff participation leading to the promotion of

joint ownership of the intervention. According to the theory of change management, if teachers and school heads understand the benefits of RBM fully they are bound to work hard to ensure the successful implementation of the programme (Bourda 2013: 4). Accordingly, results management calls for flexibility.

1.5.2.3 The open systems theory

The open systems theory is an important step in understanding RBM. CIDA (2003: 6) asserts that the RBM terminology borrows heavily from systems theory. A system refers to parts that coordinated with the purpose of achieving organisational goals and if one part of the system is removed, accomplishment of the goal becomes severely compromised (Mele, Pels & Polese 2010: 127). The systems theory of management views a school as a whole made up of interdependent sub-systems working together collectively to accomplish a common objective (Fisher 2010: 72). According to Bester (2012: 29), RBM is a system that can only be implemented meaningfully if all parts are working. Thus, for example, there should be a strong link between the school plans and the resources available to support RBM. In the context of IRBM, key elements include the Ministry Integrated Performance Agreement (MIPA) which is designed by the Ministry of Primary and Secondary Education as a strategic plan for resource allocation, the Departmental Integrated Performance Agreement (DIPA), the school performance work and monitoring plan (SPWMP) and the individual work plan. Without the MIPA, DIPA and SPWMP it would be difficult for a teacher to devise with a relevant and effective individual work plan. These parts create linkages within the education system. The open systems theory implies that for an innovation of the magnitude of RBM to be sustained in schools, there is a need to adapt to environmental changes. There should be continuous "communication or dialogue" between an RBM system and its environment.

This theoretical foundation gave the researcher a bearing of how RBM is currently being implemented in schools in the Goromonzi District. Upon this, the researcher was able to ascertain how an effective RBM model could be developed, institutionalised and sustained in schools. The next section focusses on the research methodology.

1.6 RESEARCH DESIGN AND METHODOLOGY

This section provides a brief description of how the research was conducted. The research was formulated as an investigation on developing and sustaining an effective RBM model for Zimbabwean schools. The study drew lessons from the RBM models used in the developed and developing countries and obstacles in implementing them. These were obtained through a literature survey and the empirical study premised on the qualitative design.

1.6.1 The literature study

To give a theoretical background to the research, many primary and secondary literature sources were analysed. A literature survey offered an assessment of the available research on the topic under study. The objective of the literature review was to ascertain the shortcomings of the available research on RBM to justify this proposed research (Vithal & Jansen 2010: 16).

A study of related literature involved the identification and analysis of publications with information considered relevant to the research problem. Literature on the aspects of RBM models implemented in the developed countries and in Africa was reviewed comprehensively. In particular, research was conducted of the publications that included, legislation and policy, research reports, journal articles, papers presented at conferences, newspaper articles, books and internet data from world-wide websites on issues relating to developing and sustaining an effective RBM model.

A literature study with relevance to aspects of RBM systems worldwide was undertaken to provide the background knowledge to this study. Furthermore, a study of IRBM being implemented in Zimbabwean schools provided valuable information in directing the development of a sustainable and effective RBM model that met the requirements of the unique Zimbabwean context.

1.6.2 Qualitative case study approach

This empirical study took on the format of a qualitative study in which a case study approach was used to create an understanding of school heads' and teachers' perceptions, perspectives and understanding of the development of a sustainable and effective RBM system in schools (Punch 2011: 112-113). The qualitative approach supports more "subjective" issues. A qualitative design was the best approach to address the research problem in which the variables were unknown and needed exploration (Creswell 2012: 16). According to Collis and Hussey (2009: 5), "An exploratory study is conducted when there are very few studies to which we can refer for information about the research problem." Furthermore, exploratory research is a preliminary study whereby the researcher endeavours to discover new ideas by exploring social groups, processes and activities before constructing theories about its operation (Stebbins 2001: 5; Johnson & Christensen 2012: 18). Thus, this empirical study was exploratory since there was limited information on the implementation of RBM in schools.

This empirical study followed a constructivist paradigm that is based on the assumption that reality, as interpreted by individuals, is interactive, multilayered and a shared social experience (McMillan & Schumacher 2010: 346). According to the constructivist paradigm, "reality is socially constructed" (Mertens 2005:12).The aim of the constructivist paradigm is to elicit responses regarding the understanding of school heads and teachers of RBM. This was done through experiences and interaction with them within the implementing environment (context).

An interpretive perspective was employed since the study was concerned with meaning and the need to establish participants' understanding of a particular social phenomenon within a social context that was a school in this case (Johnson & Christensen 2011: 266). The empirical study involved understanding the participants' "inner worlds" and providing an accurate description of their perspectives (Johnson & Christensen 2011: 265). The empirical study enabled the researcher to get into the real life world of school heads and teachers to gain insight in their experiences with regard to participating in the implementation of RBM. The researcher realised that all the participants involved brought their own distinctive interpretations of the situation and the value of the meaning brought

to the situation by each participant was acknowledged and respected. The study design is explained in detail in Chapter 4. The next section explains the sampling procedures.

1.6.3 Sampling and participants

The participants in the research study comprised school heads and teachers. A method of purposive sampling was employed and "information rich" cases were chosen in order to obtain rich data that answered the research questions (McMillan & Schumacher 2006: 319). Purposive sampling "is a non-probability sampling technique that entails a conscious decision about which elements would best provide the desired information" (Creswell, 2012:206). The District Education Officer for the Goromonzi District assisted with selecting ten schools, five primary and five secondary schools, whose school heads were trained in RBM and showed a keen interest in its implementation. The other selection consideration made were gender and school leadership experience. The heads of schools that were selected were from schools that depicted the types and sizes of schools in the Goromonzi District thereby enhancing site triangulation (Shenton 2004: 66).

The ten selected school heads assisted with the selection of teachers at each of their schools who participated in the focus group interviews. Each of the ten focus groups was comprised of teachers who were trained in RBM and exhibited a keen interest in its implementation. The ten focus groups were each comprised of both males and females. The focus groups were also comprised of both experienced and beginner (new) teachers.

The researcher selected two "information rich" teachers from each of the ten focus groups to participate in individual face-to-face interviews. Two teachers who participated more actively than the rest in the focus group interviews and exhibited knowledge of RBM were selected. The willingness of the selected school heads and teachers to take part in the study showed their commitment to RBM and were thus likely to provide useful data. Most of the selected participants were perceived to be among the most knowledgeable about RBM as they had been trained and had also been involved in the implementation of the strategy since its adoption. More information on sampling and participants will be given in Chapter 4. The next section explains the methods of data collection.

1.6.4 Data collection methods

Since the research study's interest was in exploring the why' and 'how' of individuals' experiences, the researcher acted as the "instrument of data collection" (Johnson & Christensen 2012: 36) by asking questions and making interpretations. The data collection methods selected in this research study provided a rich empirical basis from which conclusions were drawn regarding the development of a sustainable and effective RBM model for schools. Interactive data gathering techniques like individual and focus group interviews were utilised to gather information rich data (Wiersma & Jurs 2009: 236).The subsequent paragraphs give a brief explanation of the data gathering techniques employed in the research study.

Semi-structured individual interviews were used to collect data on school heads' and teachers' personal perspectives and experiences in implementing IRBM. The face to face interviews with school heads and teachers had the purpose of eliciting their first hand experiences and assessment of the sustainability of the IRBM model in schools in the Goromonzi District. The interviews allowed the researcher to get into the inner worlds of the school heads and teachers to understand their perspective (Johnson & Christensen 2008: 207). The approach employed was relatively conversational and situational and required asking open-ended questions (McMillan & Schumacher 2006: 351).

As mentioned above, semi-structured focus group interviews were employed for gaining an in-depth understanding of the lived experiences of the teachers giving an overview of issues of RBM as experienced by all groups represented. Focus group interviews were used as a method for understanding teachers' perspectives on the sustainability of the IRBM model in schools in the Goromonzi District (McMillan & Schumacher 2006: 360). Focus group interviews created an environment whereby teachers were encouraged by other members' viewpoints thereby enhancing the data quality (McMillan & Schumacher 2006: 432).

With the consent of participants, individual and focus group interviews were conducted after school hours. Oral histories (interviews recorded with the use of a tape recorder) were conducted to capture information from individual and focus group interviews and these were played back during data analysis and complemented by note taking (Wiersma & Jurs

2009: 237).These individual and focus group interviews lasted for approximately 30 and 40 minutes respectively.

The research study also employed document analysis, whereby school heads and teachers' work plans were analysed. This is an essential "social research data gathering method that is an invaluable part of most schemes of triangulation" (Shenton 2004: 6). The study analysed RBM official documents that included the DIPA and the individual work plan and appraisal.

In employing a variety of data gathering sources, the research aimed at "comparing and contrasting findings from these data sources as a form of triangulation" (Burns 2005: 357). The study also triangulated by means of a variety of data sources whereby a wide range of participants were used (Shenton 2004: 66). Site triangulation was realised through the participation of school heads and teachers from several schools to limit the effects of factors peculiar to one school (Shenton 2004: 66). Further details concerning data collection instruments will be provided in Chapter 4. The next section focusses on data analysis and interpretation.

1.6.5 Data analysis and interpretation

In this study, data gathering and analysis were iterative and occurred in overlapping cycles (McMillan & Schumacher 2006: 336). The data analysis process occurred concurrently with the data collection because of the exploratory nature of the empirical study. Data analysis was done to transform the gathered information into a solution to the research question (Mouton 2008: 108). The analysis involved selecting, categorising, ordering, manipulation and summarising of collected data to get answers to the research question (Kerlinger 2007: 125) with the purpose of reducing the collected data to intelligible and interpretable forms (Mouton 2008:109).

All individual and focus group interviews were transcribed verbatim. The transcripts were then analysed using content analysis (Neuman 2007: 34) that ensured that text analysis was non-reactive, which means that mistakes likely to be brought about by the conversation between the researcher and participants were minimised (Mouton 2008: 166). Coding was done after the interviews were transcribed. Coding was used to reduce data from the large

quantities of information gleaned from individual interviews and focus group interviews (Wiersma & Jurs 2009: 238). After data coding, the researcher looked for relationships among the codes and emerging themes were identified (McMillan & Schumacher 2006: 364).

In summary, the following steps were adopted; transcription of the interviews, conducting textual analysis to identify numerous codes, clustering these into code families, identifying emergent themes from the code families and linking the identified themes to the literature review (Cresswell 2007: 163). Further information will be presented in Chapter 4. The following section focusses on ethical considerations.

1.7 ETHICAL CONSIDERATIONS

Since this research focussed primarily on human beings (teachers and school heads), it was necessary for the researcher to remain within the confines of acceptable ways of doing things (Amin 2005: 119). Thus, in conducting the empirical study, the research conformed to a set of generally accepted research norms and values. The following ethical principles were considered during the execution of the study:

1.7.1 Approval for conducting the research

Permission for conducting the research study was obtained from the Provincial Education Director of the Mashonaland East Province (Annexure B) since it was undertaken in ten schools in the Goromonzi District of Mashonaland East. Permission was also sought from the District Education Officer and school heads and teachers of the participating schools. Before conducting the study, permission was also applied for and granted by the University Of South Africa College Of Education Research Ethics Review Committee (See Appendix C).

1.7.2 Informed consent and voluntary participation

Accurate and complete information regarding the study was given to the participants in obtaining voluntary consent from them (Patton & Cochran 2002: 5). The form included a

description and the pertinent information pertaining to the research (Bogdan & Biklen, 2007:48). The researcher explained to participants that participation was done on their own volition and hence they could decide to terminate their participation by simply advising the researcher about their decision and no questions would be asked. It was explained to the participants that participation was voluntary and they could withdraw from the study at any time without any negative consequences by advising the researcher. Participants were also advised that they should use discretion concerning what they choose to say (Wiersma & Jurs 2009: 438).After a thorough explanation, the participants' signatures along with that of the researcher were obtained as evidence of informed consent (Annexure D).

1.7.3 Privacy, confidentiality and anonymity

The participants' rights were protected in the study (McMillan & Schumacher 2006: 16). To ensure participants' privacy and anonymity, the researcher ensured that the settings and participants were not identifiable in print by coding names and places (McMillan & Schumacher 2006: 334). Thus, the confidentiality of each participating school and participants were maintained by using alphabetical letters and figures in place of their real identities. Permission to audio-record interviews was sought from the participants. The information participants provided was treated in strict confidence and their names were not publicised. However, the researcher secured permission from the participants to cite quotations from the verbatim transcripts anonymously.

1.7.4 Access to results

The researcher had the ethical responsibility of ensuring that the whole research project unfolded in an ethically correct manner. The study ensured accuracy in data analysis. This was done through "member checking" which was achieved by giving transcribed interviews to teachers and school heads for them to confirm that what was recorded is what they actually said and to add and clarify any points that they raised (Loh 2013: 6; Shenton 2004: 68). The next section focusses on the definition of key concepts.

1.8 DEFINITION OF KEY TERMS

To ensure a common understanding of the terminology used within this research study it is imperative to define key terms as they were presented in this research.

1.8.1 Activity

According to the United Nations Development Group (UNDG) (2010: 13) an activity is work done through which resources, for example, funds are mobilised to realise specific outputs.

1.8.2 Baseline

Baseline refers to "information gathered at the beginning of a programme from which variations found in the programme are measured" (UNDG 2010: 13)

1.8.3 Results-based management

Rasappan (2010: 13) defines RBM as a relatively new management system emphasising the realisation of school results through "strategic planning, systematic implementation and resource usage, performance monitoring, measurement and reporting as well as systematic utilisation of performance information to improve policy decision making." RBM aims at "changing the way organisations operate, with improving performance (achieving results) as the central orientation" (Ortiz, Kuyama, Munch & Tang 2004:2)

1.8.4 Integrated results-based management (IRBM)

The term "integrated results-based management" refers to the integration of all major performance components namely, development planning, budgeting, personnel management, monitoring and evaluation and decision making (Rasappan 2010:13).

1.8.5 Outputs

Outputs refer to the specific services that are a direct result of a project or programme "which emerge from processing inputs through programme activities" (UNDP 2004: 2; Mayne 2007a: 2).

1.8.6 Results chain

Mayne (2007a: 2) defines a result chain as "the causal or logical sequence of activities, outputs and outcomes illustrating how it is expected that the intended outcome of the programme will be brought about."

1.8.7 Evaluation

According to Bester (2012: 1), evaluation refers to the formative or summative assessment of a programme. It entails making value judgements of a programme.

1.8.8 Monitoring

Monitoring refers to the continuous gathering of data on specific indicators to give management of a running programme intervention "with indications of the extent of progress and achievement of objectives" (Kusek & Rist 2004: 12). The next section explains the division of chapters.

1.9 CHAPTER DIVISION

The study is comprised of the following six chapters;

1.9.1 Chapter 1

Chapter 1 introduces the study on developing and sustaining an effective RBM system in schools. The chapter sets the background of the study, followed by the problem statement, aim and objectives of the study, the theoretical framework, research design and methodology, ethical considerations, definition of key terms and chapter divisions.

1.9.2 Chapter 2

Chapter 2 focusses on the literature review of the topic of RBM. A discussion of the relevant academic literature on RBM resulted in an increased understanding of the research problem and work done in the field of RBM previously. The chapter presents a literature study on RBM models highlighting their strengths and weaknesses. The chapter also sets out the challenges faced in implementing RBM.

1.9.3 Chapter 3

Chapter 3 presents a literature review of the principles underlying the development of a sustainable and effective RBM system for the Zimbabwean situation based on international "best practices."

1.9.4 Chapter 4

Chapter 4 gives a comprehensive explanation of the research design and research methodology used in this empirical study. The chapter outlines the procedures used in this empirical research for sampling, data collection and data analysis. Since human beings (school heads and teachers) were used as subjects, the chapter also discusses ethical considerations.

1.9.5 Chapter 5

Chapter 5 presents the data analysis, research findings and interpretations based on the document analysis, individual interviews and teachers' focus group interviews. The chapter concludes by explaining the developed indigenous model for RBM for Zimbabwean schools namely the Zimbabwean Results-Based Management Practical Model (ZRBMPM).

1.9.6 Chapter 6

Chapter 6 provides a summary of the literature and the study. It also presents conclusions on both the literature study and the study. The chapter is concluded with presentations on

recommendations of the study, recommendations for further research and limitations to the study. The next section summarises chapter 1.

1.10 SUMMARY

Chapter 1 provided an overview of the study on developing a sustainable and effective RBM model for Zimbabwean primary and secondary schools. The chapter also focused at the background of the research, statement of the problem, aim and objectives of the study and the theoretical framework. It also covered the research methodology, including brief descriptions of the procedures used in the empirical study such as a literature study, sampling, semi-structured individual interviews, focus group interviews, document analysis and data analysis. The chapter also contained a brief discussion of the ethical considerations pertaining to the empirical study and provided definitions for the key terms used. Chapter 1 is concluded with an outline of the structure of the study.

Chapter 2 of the study conducts a literature study on the RBM concept, models and implementation challenges. These are key issues to be considered in the development of a sustainable and effective RBM system for the Zimbabwean schools

CHAPTER 2
RBM CONCEPT, MODELS AND IMPLEMENTATION CHALLENGES

2.1 INTRODUCTION

RBM is a relatively new phenomenon in developing countries where it was introduced by international developing agencies and countries. This management system was implemented successfully in the public sector in many developed countries. This chapter examines the historical background of RBM, the rationale for RBM in Zimbabwe, RBM's key concepts, elements, triggers and processes. The chapter also explores the major models of RBM. Furthermore, the challenges met in the implementation of RBM in the public sector in both developed and developing countries are examined.

2.2 HISTORICAL BACKGROUND OF RBM

The concept of RBM is not really new and its origins date back to the 1950s (United Nations Education, Scientific and Cultural Organisation (UNESCO) 2008: 4). The approach of thinking through logically what a school "is trying to achieve and how to measure its performance, was popularized by Peter Drucker's concept of management by objectives in the 1960s and 1970s" (Meier 2003: 3). Drucker (1954: 6) introduced for the first time the concept of Management by Objectives (MBO) and its inherent principles that include cascading of the school's strategic goals and objectives, specific objectives for each member of staff, participative decision making, explicit time period and performance evaluation and feedback. Vahamaki, Schmiidt and Molander (2011: 10) describe management by objectives as a participatory working tool designed to focus the mind on what's important (objectives and performance). Drucker (1954: 6) asserts that successful school management is strongly associated with school leadership thinking about performance in a particular way. He notes that when school heads analyse a situation and act from the point of view of performance, objectives and results, they are significantly more successful than when they do so from the point of view of budgets and operation projects and programmes (Vahamaki *et al.* 2011:10). Drucker emphasises the learning aspect of this way of thinking and discourages the application of deterministic or mechanical models to results management such as programme evaluation.

Drucker (1954:6) emphasises that his perspective is something that takes place foremost in the mind and when adopted by the school head it has consequences for the way in which he or she organises working processes (UNESCO 2008: 4). Thus, with this mindset, school heads engage in and encourage results analyses and an open- minded approach where the main concern is adaptation in view of changing circumstances. Vahamaki *et al*. (2011: 10) describe management by objectives as a participatory working tool designed to focus teachers on what is important (objectives and performance). Thus, the tool more or less assumes that the pervading management perspective is not results oriented but that it should become so through the use of management by objectives. According to the United Nations Education, Scientific and Cultural Organisation (UNESCO) (2008: 4) these principles are very much in line with the RBM approach. Other significant precursors to RBM include performance based budgeting and corporate performance management (Vahamaki *et al.* 2011: 8)

The concept of 'management by objectives' was first adopted by the private sector and then evolved into the logical framework approach for the public sector (Vahamaki *et al.* 2011:10). UNESCO (2008: 5) posits that the logical framework was originally developed by the United States Department of Defence "and adopted by the United States Agency for International Development (USAID) in the late 1960s." According to Sundra, Scherer and Anderson (2008: 6) the logical framework approach is an analytical tool used for planning, monitoring and evaluating activities. Planners set out logical linkages to connect an activity with its results. During the 1970s and1980s the logical framework approach was rebranded to Goal Oriented Project Planning (GOPP) and Objectives Oriented Project Planning (OOPP) (Meier 2003:3).

The adoption of RBM was in large part a response to increasing pressure from the public for schools to demonstrate effectiveness (Vahamaki *et al.* 2011: 8). During the late 1980s and early 1990s, the public sector underwent extensive reforms in response to socio-economic and political pressures (Vahamaki *et al.* 2011:10; UNESCO 2008:6; Meier 2003:2). This process included a strong emphasis on results management. Fiscal deficits, structural problems, the competitive pressure ofglobalisation,waning citizen trust in public services and the rising need for more responsive services and accountability were all contributing factors (Madhekeni 2012: 124; Schatteman & Ohemeng 2008: 9).There was a realisation that results management was not the prevailing management practice in the

public service. Public management had been characterised by their focus towards budgeting, activity and control (Binnendijk 2000: 6).

Meier (2003:4) comments that "the NPM in the 1980s led to widespread efforts by governments to become client and service focussed," leading to the development of a number of quality service standards. Governments endeavoured to be client focussed through the adoption of a number of management approaches, for example, quality assurance and total quality management. These methods gave emphasis on the processes of service delivery, quality standards and the acceptance of goals for continuous improvement (Schatteman & Ohemeng 2008: 10). Meier (2003: 4) indicates that performance indicators were developed with the aim of "Measuring the efficiency and effectiveness of public service delivery, increase government control over quality, enhance accountability and improve client services". Hence RBM can be viewed in the context of the New Public Management (NPM) philosophy which was intended to modernise public management by making it more client oriented (Vahamaki 2011:11). UNESCO (2008: 1) concurs when it says that the New Public Management method "is a label used to describe a management culture that emphasizes" the importance of the client as well as the need for accountability for results.

RBM as a distinctive practice, gained prominence in the 1990s as part of the public sector reform agenda (Bester 2012: 8). According to Meier (2003: 4) in the 1990s, public sector organisations progressed from placing too much emphasis on budgets to focussing on staff activities, then to controlling systems. During the same period, organisations then moved from focusing on system controls to placing the emphasis on objectives and finally on results. Thus, in an effort to demonstrate value in public services such as education, many developed and developing countries have reformed the way government does business by shifting their focus from inputs, activities and outputs to outcome achievement. Several terms have been used in NPM to emphasise a results management approach and RBM became the preferred terminology which was adopted by the Organisation for Economic Cooperation and Development (OECD) and the developing community (Bester 2012: 8). RBM was established in multi-national organisations which were inundated by demands from both their member states and financiers to become more accountable and results oriented (UNESCO 2008: 5). The results revolution came about as a result of the generalised feeling that programmes were not effective in attaining the objectives they were

created to achieve (ADB 2006: 3). The thrust in public organisations such as schools has been on doing business according to prescribed procedures, thus "doing things right" instead of "doing the right things."

In contrast with management by objectives and the logical framework approach, in RBM, the focus is diverted away from individual operations to the working and planning processes of theschool and its environment, thus proposing a results focused perspective is at the heart of organisational thinking and practice (Vahamaki *et al.* 2011: 12). According to Meier (2003:6), the RBM terminology differs from precursors such as management by objectives and the logical framework approach where significant differences reside in how RBM terms (input, output and outcome) are defined in relationship to one another.It is also important to highlight that MBO works best with centralised organisations whereas results management works best in decentralised organisations operating in changing environments (ADB 2006: 5). However, Meier (2003: 4) asserts that RBM is clearly an evolution in management and not a revolution. Its origins are firmly rooted in the management sciences, hence there are lessons that can be learned from MBO including the need for strategic planning and a school leadership's focus on objectives rather than activities.

Public sector organisations such as schools are under a great deal of scrutiny. Saldanha (2002: 1) contends that in developed countries, public demand has led to an increase of transparency governing processes, greater accountability and better services. Politicians have realised that the best way to raise the chances of re-election is the delivery of tangible results to the citizenry. In developing countries such as Zimbabwe, the politicians, the public and donors have also become highly expectant with regard to good service delivery (Madhekeni 2012: 124). Thus, developing countries are now aware of their role in delivering critical outputs and outcomes (Saldanha 2002: 1).

The success story of the results oriented approach in developed countries encouraged the developing countries to adopt the method to maximise their chances of achieving set goals and thereby improve performance (Madhekeni 2012: 122). The implementation of the RBM programme in Zimbabwe has been an area of debate with regard to issues of feasibility, applicability, benefits and drawbacks. The drawbacks emanate from the fact that the Zimbabwean environment has several institutional, organisational and systematic weaknesses that negate Government efforts (Madhekeni 2012: 122). Politics of

administration, forces of patron-clientism and rampant administrative and technical incapacity have been the major setbacks to the fruition of RBM in developing countries (Economic Commission for Africa 2003: 31-35; World Bank 2011: 11). In spite of these challenges, a review of the literature indicates that the implementation of a RBM system remains an indispensable tool for public management (Madhekeni 2012: 122). Thus, history has it that, if properly implemented, RBM can improve government performance hence its adoption by the Zimbabwe Government in 2005. The next section gives justification for the need to focus on results and accountability in the Zimbabwe public sector and in particular Ministry of Primary and Secondary Education.

2.3 RATIONALE FOR RBM IN ZIMBABWE

The Public Service Review Commission recommended the adoption of performance management in government ministries/departments in 1999. However, the adopted performance management approach was oriented towards the provision of inputs for carrying out planned activities rather than the attainment of results. For example, the focus on schools was on the number of exercises to be given to pupils for practice per week. The perceived weaknesses of the performance management approach that was in use led to the adoption of the IRBM system that focussed on the achievement of results using given expenditure targets by the Government of Zimbabwe in 2005.

The leading agency of the RBM system is the Office of the President and Cabinet. The Ministry of Finance leads IDP and RBB. The Public Service Commission, which is the employer, is the leading agency for the RBPPS, M & E and Human Resources Management Information System (HRMIS). The Public Service Training Centres that are under the jurisdiction of the Ministry of Public Service are instrumental in capacitating RBM implementers such as school heads and teachers through training. The Ministry of Information Communication Technology is in charge of the E-Government component.

The concept of ‘RBM’ in Zimbabwe was explored as a result of some factors. The causal factors included an inadequate performance management system, absence of an integrated monitoring and evaluation system, unclear roles and responsibilities among agencies, inadequate inter-agency programme coordination,. Other factors were the absence of a human resources development plan, inadequate linkages between the budgetary process

and expenditure management processes, and lack of clarity in administrative rules and regulations that would enhance integrated performance in the civil service (Government of Zimbabwe RBM Programme Document 2004: 6).

The need for RBM in Zimbabwe has also been triggered by the problem of increased resource shortages, the demand by the citizenry for qualitative and more responsive service delivery, political pressure, demand for value for money by financiers, demand by donors and development partners for accountability and results and the desire to adopt effective practices in line with globalisation (Madhekeni 2012: 124). According to the 1989 Public Service Review Commission government ministries including the Ministry of Primary and Secondary Education lacked a results oriented performance management culture, hence services were deteriorating in relation to quantity, quality and timeliness. The ills in the service delivery system required an intervention and this came in the form of the introduction of the RBM system. Thus, the introduction of RBM is a response to the demands of national and international stakeholders in the development process who value increased accountability, transparency and results (Vahamaki *et al*. 2011: 12; Bester 2012: 8; Meier 2003: 2). In service delivery, for example, in schools, there is a need for "something to show" and this can only be accomplished through the presentation of tangible results (Madhekeni 2012:124). RBM is part of efforts to enhance the accountability of all key stakeholders in the realisation of results (Canadian International Development Agency (CIDA) 2000: 5).

Armstrong (2009: 2) points out that RBM helps with reducing opportunities for corruption and waste. RBM leads to improved allotment and utilisation of resources leading to better returns as a result of cost-effective measures. Focussing on outcomes and making the links between inputs, activities and the results they should be leading to, reduces the potential for corruption and wasted resources in decision making. When planning for results, funds are available to projects and programmes that produce the desired results.

Institutionalising RBM leads to the drawing of more realistic school project/programme schedules and monitoring and evaluating them more effectively. Clear results-based planning produces more realistic schedules and subsequently forces us to think through the preconditions for action and the resources they require (Armstrong 2009: 2).

Clarifying results during planning and internal monitoring prepares school programmes for effective evaluations. Any school that knows what its results are and how to document them, is in a much better position to argue its case effectively when external evaluations occur. Such a school is also well positioned to learn lessons from its own internal monitoring. Thus, teachers themselves can monitor progressive change as they work, looking at whether and how they are making a difference to the situation. They can then either continue with informed assurance or take corrective action as required by the school situation (Meier 2003: 8).

RBM requires identifying outcomes in a clear and realistic way (UNDG 2010: 7). This helpswith developing capacity because it clarifies on what we need to focus, which resources are required for the job and what our real assumptions are about cause and effect. Understanding results as part of an incremental "results chain" can help show where interventions to develop capacity are necessary and are likely to work (United Nations Development Programme (UNDP) 2010: 8).

According to Armstrong (2009: 1), institutionalising RBM in schools leads to its more effective implementation. Thinking in terms of the expected results can strengthen planning and monitoring and reveal misunderstandings or disagreements about goals among stakeholders at an early stage. Disagreements can undermine effective implementation if they are ignored. Thus, RBM leads to greater coordination and communication in the school. Clarifying what we mean by results helps us deal with differences of understanding before a school programme begins and also helps with communicating results to stakeholders in a clear manner (Saldanha 2002: 14).

There is a dire need to develop a sustainable and effective RBM model for Zimbabwean schools. According to Towindo and Yikoniko (2013: D1), most schools are performing dismally because the Ordinary Level pass rate for the 2012 national examinations was 18,4 percent, which is a 1.1 percent drop from the 2011 statistics. Statistics show that the average Ordinary Level pass rate since 1998 is a miniscule 14, 5 percent. In turn, the pass rate for the Grade 7 national examination in 2012 stands at 31, 5 percent. Among others, the poor performance is attributable to a lack of a firm policy on educational monitoring and evaluation and a results culture. The next section attempts to demystify the 'RBM' concept by looking at the implications of outcomes management for school reforms and

change. The introduction of RBM should not be visualised as an end in itself. To be successful, the introduction of RBM must be a process which is based on certain principles.

2.4 DEMYSTIFYING THE RBM CONCEPT

Meier (2003: 6) defines RBM as a management tool targeted at realising changes in the manner in which schools are run, with the attainment of outcomes as the main focus. RBM gives the management framework tools of strategic planning, risk management and performance monitoring and evaluation. The core purpose of RBM is to enhance effectiveness through learning. Secondly it seeks to ensure that schools become accountable. Accountability can be achieved through the active participation of key stakeholders and partners in setting school targets, monitoring progress and ensuring that the lessons drawn from the experience are incorporated into the decision making done by management. The CIDA (2000: 5) offers a similar definition by saying RBM is a participatory based approach to management that seeks to focus on the school's efforts to achieve expected results. The UNDG (2010: 7) explains that RBM is a management approach in which stakeholders contribute to achieve results and ensure that their school processes, products and services contribute to the realisation of targeted results. RBM is underpinned by clearly defined accountability for results and requires monitoring and self-assessment of progress towards outcomes, including performance reporting.

RBM is seen as a life-cycle approach with elements of strategic planning that entails crafting the school's vision, mission and clients charter. To achieve the set objectives staff implements the school strategic plan while progress or retrogression is noted through monitoring and evaluation which serves to give information for decision- making and lessons learned for the future (UNDP 2009: 3).

RBM can make a difference because outcomes are mutually defined and agreed upon, the involvement of stakeholders ensures acceptance, support, commitment and a shared understanding of what we are trying to achieve. In RBM, through monitoring, strategies can be changed mid-stream to ensure results are achieved.

According to CIDA (2000: 6-7) RBM entails defining the realistic expected school results, based on appropriate situational analysis; identifying school programme beneficiaries

clearly and designing programmes to meet their requirements; monitoring progress towards outcomes with the use of correct indicators; identifying school opportunities and risks and ways of managing them, In addition, it entails increasing knowledge by learning lessons from experience and using these in making decisions and reporting on outcomes achieved *vis-a-vis* the resources involved. The following section explores the key elements on which RBM is premised.

2.5 KEY ELEMENTS OF RBM

This section focusses on the key elements of RBM. The key elements to be discussed include clarifying clients and mandating the school, specifying results and school performance expectations of clients, linking financial resources to output delivery, requiring reporting on performance, promoting reviewal and continuous improvement and managing human resources on merit.

2.5.1 Clarifies school clients and the schools' mandate

Public sector organisations such as schools, sometimes lose sight of their purpose. They tend to forget they exist to serve the public (Economic Commission of Africa (ECA) 2003: 32). Accordingly, RBM emphasises client focus. Thus, the clarification of clients and their prioritisation is critical to schools. The clarification of mandates and the creation of clients' charters allow the school to establish priorities and relationships among its clientele (Rasappan 2005: 5).

Instituting RBM system begins with an analysis and specification of the mandate of the school, its clients, and the benefits and impacts it is expected to deliver for them. To assist this process, the school interrogates itself. According to Saldanha (2002: 3), the following questions should be asked and answered honestly:

- Why does the school exist?
- What would be lost if the school did not exist?
- Who does it serve?
- What are the school's deliverables?

This type of questioning results in a clear mission statement for the school. It also leads to the identification of KRAs (Rasappan 2005: 5). The vision, mission statement and the key result areas are the operating spheres within which the school will deliver concrete outputs and outcomes.

2.5.2 Identifies school outcomes and performance expectations

In implementing RBM in a school situation, once key result areas are formulated, they must be translated into targeted and benchmarked outcomes (UNDP 2010: 2). Polidano cited in Saldanha (2002: 3) argues that it is difficult to get a clear statement of performance results for a public sector organisation such as a school. In most cases schools use statements of intentions and activities or financial allocations and expenditures to show the extent of the organisations' operations. This practice makes it difficult to assess the school's performance and hence introduce ways to improve performance (UNDG 2010: 7; Bester 2012: 13; Meier 2003: 11). The ensuing sections show ways in which RBM ensures the specifying of results and school performance expectations through performance indicators, client satisfaction surveys and the balanced scorecard.

2.5.2.1 School performance indicators

RBM requires that a school determines performance indicators. RBM relies on indicators to measure performance. According to the UNDG (2010: 13) "school performance indicators are a qualitative or quantitative way of measuring the school output or outcome with the aim of checking the performance of a particular programme." Thus, performance indicators assist in verifying transformations brought about by a school programme. Of importance to a school situation are output-outcome indicators and efficiency-effectiveness indicators (Saldanha 2002: 3-5).

(a) Output-outcome indicators

United Kingdom, New Zealand and Australia introduced outcome management to government ministries/department in the early 1980s (Saldanha 2002: 3). Use of outputs and outcomes ensures that schools are made accountable for the attainment of results (UNESCO 2008: 12; UNDG 2010: 10).

Outputs are defined as the goods and services produced by a school while outcomes are the consequences resulting from the outputs and activities of the school (International Labour Organisation 2011: 5; UNDG 2010: 13). According to Kusek and Rist (2004: 3) the purpose of a public sector organisation such as a school is to produce desired outcomes.

Outputs are critical to plan for and monitor but cannot be used as the only criteria for judging school effectiveness (ILO 2011: 5). A school's performance should be judged based on the main reasons for its establishment. It must be judged focusing on the client benefit and satisfaction it achieves. A school, for example, should be evaluated not just by how many classrooms it builds, but by the resulting increase in literacy and school graduates. This is the main purpose of the school and the benefits it is expected to provide to its stakeholders.

It is noted that the concepts of output-outcome indicators has become widespread in developed countries introducing RBM over the last few years. However, their effective use remains questionable since they were started with the help of developed nations experts who appear more eager to show funders the need and relevance of the approach than dovetailing the system to the skills and capabilities of the host nation (Amjad 2008: 1; Perrin 2006: 11).

(b) Efficiency-effectiveness indicators

According to James and Roob cited in Saldanha (2002: 5), besides the use of output-outcome indicators RBM implementing schools should also use efficiency-effectiveness indicators.

School efficiency indicators show the outputs level of the school in relation to the inputs invested (CIDA 2000:13). They represent the ratio of inputs to outputs. On the other hand, school effectiveness indicators represent the expected impact of the school on clients through its products and services (UNESCO 2008: 17; Col, Holzer, Posner & Rubin 2006: 51). Thus, school effectiveness indicators represent the ratio of inputs to outcomes such as the level of client coverage and client satisfaction.

In developing nations such as Zimbabwe where there is a serious shortage of resources, equity and sustainability issues are also relevant (Ortiz *et al.* 2004: 17). The Zimbabwe Government, for example, cut the 2012 budget from USD $4billion to USD $3 billion mid-year due to poor revenue inflows (Biti 2012: 4). This had a serious negative bearing on budgets for the provision of social services like education.

School equity indicators are essential because they show the distribution profile of outputs, for example, the extent of access to basic education of girls versus boys in rural areas.On the other hand, school sustainability indicators show the school's ability to guarantee self sustainability and consistency. The ability of the school to ensure self-sustenance and consistency guarantees the continuity of its effectiveness and efficiency (Saldanha 2002: 6).For example, the ability of schools to recover revenue from students based will result in less dependence on government subsidy for continued operation.

The use of school performance indicators in RBM indicates an increasing sophistication in the approach of government to making schools more accountable. However, the use of these school performance indicators requires a high level of school leadership capacity with regard to management skills. It also calls for setting up of suitable accountability mechanisms and incentives to support school performance (Col *et al.* 2006: 52). As demonstrated by Knapman and Saldanha (1999: 4) in their study of public sector reforms in the Pacific countries, school performance indicators will remain difficult to use unless there are incentives to support school performance.

2.5.2.2 Client satisfaction surveys

Customer satisfaction surveys are a key aspect within the RBM key element of specifying school outcomes and school performance expectations. In order to make public sector organisations such as schools more accountable some developing nations introduced the "report card" (Col *et al.* 2006: 29). This is a system whereby members of the public assess the performance of the school. Thus, public satisfaction with the school service will be assessed through sample surveys (Saldanha 2002: 7). The areas of school performance assessed through customer satisfaction surveys may include public examination results, staff helpfulness, quality and timeliness of service and time taken to resolve problems (World Bank 2011: 16).

However, if performance indicators are not chosen carefully, school teachers will only put more effort on the measured aspects of their work and ignore other critical areas. For example, only focussing on the time taken to resolve problems is likely to cause teachers to push for speed of problem solving at the expense of the quality of solutions. The ensuing section focusses on the RBM key element of linking school financial resources to output achievement.

2.5.3 Connects school budget to output delivery

There is a direct link between results-based school management and the budgetary process (Ortiz *et al*. 2004: 12). School finances are assessed and allotted based on the cost of output delivery a process referred to by Saldanha (2002: 8) as "output-based budgeting. "This process is centred on performance agreements between the school head and the recipient, for example, the school sports department. These performance agreements record the expected performance (outputs) for the budget allocated. RBM stresses on costing of school results rather than activity budgeting (UNDP 2010: 12).

Output based budgeting is a consequence of the implementation of RBM (Curristine 2005:16). However, output based budgeting has been a failure in developing countries because of its complexity (World Bank 2011: 16; Col *et al.* 2006: 52; Ortiz *et al.* 2004: 12). High level skills are needed for costing outputs and checking the costing accuracy. In Zimbabwe, for example, due to the brain drain or "skills flight" caused by a poorly performing economy, it is difficult to get manpower to operationalise output based budgeting. The government is even struggling to maintain the simple adopted line budgeting system.

However, it is recommended that schools should endeavour to put a RBM system in place with a performance related budget using the line budgeting system. The following section explores the RBM key element of reporting on school performance.

2.5.4 Needs reporting on school performance.

Results focussed schools introduce a system of performance reporting to ensure accountability. Timely reporting on school performance gives information on which the

diagnosis of performance is based (Ortiz *et al.* 2004: 13; Meier 2003: 8; Bester 2012: 4). Thus, school performance reports give information on school performance against given performance indicators which represent outputs delivered by the school and the outcomes achieved (Binnendijk 2000:15). School outputs should be reported annually while outcomes can be assessed over a longer time frame, perhaps of up to three to five years. It is imperative that outcomes are monitored and reported periodically (UNDP 2004: 4).

School performance measured in terms of outputs and outcomes is usually assessed based on three parameters. These parameters include targets set by school leaders and stakeholders, previous performance, using a trends analysis for reviewing whether school performance is improving or not and benchmarks (Saldanha 2002: 9).In the Ministry of Primary and Secondary Education, comparators could be similar schools.

Usually, targets set by school leadership for a certain performance period take account of past performance and comparator performance levels. For example, a primary school can aim to increase the Grade Seven public examination pass rate from fifty-five percent in 2014 to say seventy percent in 2015. This target is usually motivated by the school's past performance and the pass rate in similar schools. This comparative performance analysis is of paramount importance to measure the quality of the school performance and identify differences between actual performance and the expected performance levels. Gaps between the present and desired levels of school performance provide the basis for introducing performance diagnostic analysis.

2.5.5 Champions school performance review and continuous improvement

Another integral element of RBM is the analysis of school performance and continuous improvement. Reporting on school performance naturally leads to the realisation of school performance problems or opportunities of school performance improvement. School performance gaps or improvements is feasible when the past comparator information or benchmarks are available. If school performance reporting is done well, school performance diagnostic analysis becomes easier and causal factors will be isolated leading to school strengthening interventions. However, identifying school performance variances largely hinges on the type of school indicators utilised (Saldanha 2002: 10).

School performance review or analysis looks for causes in order to correct and improve performance. Causes may be internal or external. Internal factors that influence school performance include resources, systems, structure, strategy, policy, culture and leadership (Perrin 2006: 7). A school performance review must assess the influence of internal variables first because these are within the control of the school. External causes are often beyond the school. It is important to ascertain the factor that causes the performance gaps since rectification or remediation differs depending on the factor. The subsequent section focusses on another element of RBM

2.5.6 Calls for meritocracy in human resources management in schools

According to Perrin (2006: 14), RBM in schools works well if the staff recruitment and selection, reward management and career management are managed professionally and based on merit. Human resources are a key resource for the delivery of school results. School heads cannot be held accountable for results if they do not have an input on teacher recruitment and selection. School heads and teachers should be of a high quality and possess competencies commensurate with the expected results. Thus, staff selection should be done professionally, open, competitive and not influenced by political factors (ECA 2003: 32). Promotions and rewards systems should be based on merit and teachers should know that there is transparency.

In developing countries such as Zimbabwe, the professional management of human resources is one of the major challenges. In developing countries, public sector senior appointments are influenced by political forces due to politics of patronage and ministries and departments have bloated, underqualified and underpaid staff complements because of the lack of political will to rationalise (Williamson 2003: 26). Incentives appear problematic to implement in government due to issues such as the complexity of deliverables, the problems of quantification and the attribution (World Bank 2011: 17, Col *et al.* 2006: 49). There is, however, no easy solution since professionally managed staff is a *sine qua non* for effective RBM. The next section focusses on situations that may trigger the introduction of RBM.

2.6 TRIGGERS FOR RBM IN DEVELOPING COUNTRIES

The introduction of RBM in developing countries can be initiated by the government or donors. In Zimbabwe, for example, RBM was introduced as part of the public sector reform programme initiated by the government for a number of reasons. These reasons, as mentioned earlier, include budgetary or resource constraints and the demand by Zimbabweans for quality services. On paper, the introduction of RBM in this situation appears easy due to the purported support of the high administrative levels of government, or instance, the Office of the President and Cabinet. Thus, the introduction of RBM becomes a mandatory exercise and the government ministries/departments do not have choice in this regard.

However, at times donors are called upon to persuade institutions to introduce RBM. Saldanha (2002: 13) highlights three points of entry for funders as they seek to speed up the adoption of RBM in developing countries. These will be described in the subsequent paragraphs.

First, donors usually recommend the introduction of RBM when they are asked by the governments of developing countries to assist them in capacity building. When donors are asked for help with capacitybuilding, they request for performance games in terms of outputs and outcomes. It is only after this process, that training is offered to address the organisational performance variances and thereby building the capacity of organisation. Thus, RBM is an approach that can be used by donors to build institutional capacity and ultimately ensure sustained results.

Another point of entry for the adoption of RBM in developing nations is the sector wide approach. According to this approach implementation of RBM is spearheaded by the central agency, for instance, the Ministry of Primary and Secondary Education (Amjad 2008: 13). Boundary partners and donors take a supportive role.

The sector-wide approach is only possible when outcomes and outputs for a particular sector have been identified and where an MIS system is in place. There is also need for analysing factors affecting the achievements of performance targets continuously.

The third entry point for adopting RBM is for governments and donors to take advantage of decentralisation. A lot of developing countries are decentralising due to political pressure (ECA 2003: 31). The process of decentralisation provides an opportunity for governments and donors in developing countries to promote and institutionalise RBM as part of this process (Col *et al.* 2006: 13). Decentralisation is aimed at delegating local institutions with authorities and accountabilities for a number of reasons that include being more responsive to local needs (Amjad 2008: 13).

Decentralisation provides a perfect opportunity to institutionalise RBM and brings an opportunity for a school to ask the fundamental questions that are required in RBM. These questions include the following; What is the vision of this school? Who are its clients? What are its deliverables? How best can it be structured and managed to fulfil its mandate? (Saldanha 2002: 16). Thus, decentralisation provides a clear opportunity to put in place performance expectations and objectives of the school that have high chances of being achieved and hence institutionalising RBM.

The next section describes the processes or phases of RBM.

2.7 THE RBM PROCESS

This section focusses on the process of RBM. In general, RBM practices can be cast in twelve stages (UNESCO 2008: 7).

The first stage involves analysing the problems to be addressed and determining their causes and effects. This stage centres on carrying out a needs analysis (Meier 2003: 9). During the second stage partners or key stakeholders and beneficiaries are identified. The stakeholders are involved in identifying objectives and drawing up programme interventions that meet their needs (UNESCO 2008: 7).

The third stage focusses on formulating objectives (results) in clear, measurable terms (Binnendijk 2000: 4). According to the World Bank (2006:15), a school objective should meet the following ‘SMART’ criteria:

- Specific: It should be stated clearly. An objective should highlight the nature of expected changes. It should be detailed but not too wordy.
- Measurable: An objective has to be measurable either qualitatively or quantitatively
- Achievable: It should be achievable with the given inputs.
- Relevant: It should address specific needs or challenges and be within the school mandate.
- Time-bound. An objective should be realised within the given time frame.

Once objectives have been formulated, it is important to test them using the 'SMART' criteria. This testing process increases the understanding of what is to be done and helps in fine tuning expected targets with regards to whether it can be realised.

The fourth stage involves selecting school performance indicators that will be used to measure progress towards each objective. Performance indicators are quantitative or qualitative factors that provide a reliable means to measure achievement (Bester 2012: iii). The UNDG (2010: 13) puts it more precisely and says school "performance indicators are a qualitative and quantitative means of measuring an output or outcome, with the intention of gauging the performance" of a school programme. A good school performance indicator must follow the CREAM criteria (Kusek & Khatouri 2006: 29):

- Clear: It should be precise and unambiguous.
- Relevant: It ought to be appropriate to the subject at hand.
- Economic: It has to be available at a reasonable cost.
- Adequate: It must give enough basis to school performance.
- Monitorable: It should be subject to independent validation.

According to Kusek and Khatouri (2006: 28), a school performance indicator is a specific measure, if followed closely over time, it shows progress or a lack of it towards a defined target. An indicator asks the question, how will we know school success when we see it?
The next stage includes setting clear targets and benchmarks for each indicator. At this stage, we specify the results to be realised by particular dates. According to the UNDG (2010:13), a benchmark refers to the school performance that has been achieved in the past

by other similar schools or what can be inferred to have been realised under the same circumstances. A benchmark is a point of reference or standard against which progress or achievements can be measured. Thus, benchmarks are used to judge school performance.

At the sixth stage, a method is developed by giving the conceptual framework for how expected school results should be realised. Accordingly, school action plans are identified and these should reflect the anticipated challenges and opportunities. Closely linked to this is the seventh stage that involves balancing the expected school results and the strategy to be used with the available resources.

The eighth stage focusses on developing school performance monitoring systems to collect data on actual results periodically. This is the stage for managing and monitoring progress. Closely linked to this is stage nine that involves school reporting and self-evaluating. This is the stage for comparing actual results *vis-a-vis* the school targets and reporting on the results realised, the resources involved and variances between the expected and the achieved results. At this stage we review, analyse school performance and report actual results *vis-a-vis* the school targets.

The tenth stage involves integrating the lessons learned and the findings of self-assessments, interpreting and analysing the information coming from the monitoring systems in place and looking for possible explanations for school performance discrepancies between the "expected" and the "achieved". Ortiz *et al*. (2004: 2) aptly remarks that this is the stage for integrating evaluations to come up with complementary school performance information.

During the eleventh stage, the results and lessons learned are disseminated to stakeholders in a transparent way. The final stage involves using school performance information coming from performance monitoring and evaluation sources for internal management accountability, learning and decision-making processes. At this stage, external performance reporting is done mainly to the school stakeholders and partners.

The first seven stages relate to a results-oriented planning approach often referred to as strategic planning (UNESCO 2008: 7). The first nine steps are usually included in the concept of 'school performance measurement.' All twelve phases are important for an

effective RBM system (Binnendijk 2000: 4). Thus, integrating school complementary information from both evaluation and performance monitoring systems and ensuring school leadership's use of this information are viewed in this study as critical aspects of RBM. The next section examines the models of RBM.

2.8 RBM MODELS

This study builds on RBM models and organisational management theories as they relate to the implementation of RBM in the public sector, particularly education. Different RBM models will be reviewed and compared with the current practices in primary schools in the Goromonzi District. Certain models will be examined, namely, the integrated results-based management system, the logic model, the conceptual model, the Philippines results-based management framework business model and the performance improvement model.

2.8.1 Integrated results-based management system (IRBM).

According to Thomas (2005: 2) the IRBM was first developed by Dr. Arunaselam Rasappan in the late 1990s. IRBM is the application of the RBM principles, approach, and strategy with regard to all levels of development management in an integrated manner and systematically addresses all the factors that contribute to school results (Rasappan 2010: 13). IRBM integrates all major school performance components namely planning, budgeting, personnel management, monitoring and evaluation, and decision making. The basis for the integrated system was the use of an Integrated Performance Management Framework (IPMF) that is mandated as the strategic planning framework under IRBM (Thomas 2007: 100). According to Rasappan, cited in Thomas (2005: 2) the IPMF pertains to a strategic performance plan for the school and requires top management within the Ministry and Departments to be actively involved in strategic performance planning and consulting actively and building consensus with the bottom accountability levels. This strategic performance planning focusses on school client needs and on school results during the various stages of implementation such as resource usage, activity completion, output generation and outcome realisation.

The cornerstone of the IRBM is its detailed and practical focus on systematic and structured school performance measurement and its need for linkages to be established with policy

making, resources management and school programme performance improvement (Thomas 2005: 2). According to Thomas (2007: 100) the IRBM system consists of five key components of which two are primary and three are supplementary components. The two primary components are the Results- Based Budgeting System (RBB) and the results-based personnel performance system (RBPPS). The three complementary components are the results-based monitoring and evaluation (RBM & E), the results-based management information system (RBMIS) and the E-Government System (EG) (Rasappan 2003: 27). Rasappan (2010: 15) added another component which he says is key to IRBM namely, integrated development planning (IDP).

2.8.1.1 Integrated development planning (IDP).

Rasappan (2010: 14) defines integrated development planning as a systematic approach to school planning with full cross linkages and focus on school outcomes and impact. IDP involves strategic planning of national priorities and disseminating them to contributing lower levels in a systematic and structured manner. The planning uses a longer time frame and focusses on the achievement of planned school results over a period of time

2.8.1.2 Results-based budgeting system (RBB)

Results-based budgeting (RBB) is a strategic management tool that helps improve the management of resources and school accountability (Thomas 2005: 4). Rasappan (2010:14) posits that RBB results in an integrated outcome based programme budgeting system for planning and management of monetary resources to convert policies into realities. IRBM recognises the school budget as an essential performance management instrument. According to Thomas (2009: 4) the cornerstone of the RBB is its focus on school performance measurement and its linkages with policies and budgets.

The school results under RBB fall under the performance components of inputs, processes, outputs and outcomes. The RBB recognises the close connection between inputs and outputs. Thus, results are seen to be coming from input application, activity completion, output delivery and impact realisation. RBB focusses attention on value for money.

The core of the RBB system is the integrated performance management framework (IPMF) which is usually in the form of a performance agreement (Thomas 2005: 4). The performance agreement shows the level of performance that can be achieved by a school in a year with based on its budgetary allocation. The IPMF is the strategic planning framework under IRBM and organisations are expected to prepare their strategic plans for financial allocation using it (Rasappan 2009: 5). The IPMF is comprehensive since it focusses on long-term goals that fit in with yearly objectives, gives baseline details that can be used by school leadership for planning and setting school targets and creates the platform for coordination (Thomas 2005: 5). Due to its integrated nature, the IPMF is the primary school performance monitoring and reporting instrument.

2.8.1.3 Results-based personnel performance system (RBPPS)

The results-based personnel performance system (RBPPS) is a key component in RBM (Thomas 2005: 5). It can be used to propel reforms or new school performance initiatives. Human capital is a critical factor of production, while public officials such as school heads and teachers are the drivers of government machinery. After all, human resources use up the bulk of the budget allocation.

The purpose of RBPPS is establishing and mandating the school accountability framework under RBM. Rasappan (2010: 14) declares that the RBPPS ensures that school personnel performance at every level is linked with overall school performance. The appraisal system under RBPPS focusses on the performance aspects of the individual teachers which will be connected to the IPMF by way of a work programme. Attention is also given to personal dimensions (qualities and attributes) (Thomas 2005: 6; Rasappan 2009: 7). The RBPPS provides room for planning school human resources development (HRD) and human resources management (HRM) interventions.

2.8.1.4 Results-based monitoring and evaluation (RBM&E)

M&E is a key complementary part of the IRBM system. It is an internalised and institutionalised supplementary part of IRBM (Rasappan 2007: 7). According to Osborne and Gaebler, cited by Kusek and Rist (2004:11), if the school does not measure results, it cannot tell success from failure. Thus, it can be used by schools as a tracking system. A

RBM & E system is a public management tool schools can use to monitor and evaluate schools' educational programmes and use the obtained information in decision making (Kusek & Rist 2004: 12).

According to Thomas (2009: 3) monitoring is built into all levels and is based on KRAs and key school performance indicators (KPIs). Thus, RBM&E supports systematic school performance management. Rasappan (2010: 16) asserts that the RBM & E system is used in schools for systematic programme "planning, performance monitoring, performance evaluation, performance reporting and information utilisation" for programme improvements and decision making. An effective RBM&E system helps to create linkages between school resource use and policy implementation.

2.8.1.5 Results-based management information system (RBMIS)

RBB and RBPPS, the two main components of IRBM, set the framework for school performance planning by establishing the targets the school needs to achieve. However, to ensure that the school programme is on track, there is need for close monitoring. Close monitoring requires that the school planning framework provides enough details that can generate the necessary information. It is the school management information system that identifies information needs at the different levels (Thomas 2005: 6).

Thomas (2005: 6) notes that the dynamics of the RBM can only be achieved when linkages within the school performance framework are driven by the management information system (MIS) and the monitoring and evaluation (M&E) framework. These two supplementary components provide the performance measurement dimension to the school strategic planning framework by way of accurate, dependable and timely information required for decision making. Rasappan (2009: 9) defines management information system under IRBM as an institutionalised framework that gathers information from the M&E system at every level to enable the school leadership and stakeholders to make timely informed decision making. Thus, the management information system (MIS) is used give the basis for an effective decision making support system at all levels of the school system. According to Rasappan (2010: 14), MIS provides important information that supports

informed decision- making for school programme improvement and adjustments to strategies and policies.

The role of MIS and M&E are closely knit, drawing on each other constantly to produce the right information for the right people at the right time (Thomas 2005: 6). The MIS is also capable of providing early warnings if the school programme is no longer on track.
The MIS can be designed and planned for either manual use or by using computerised systems. Automation enables effective and efficient retrieval and manipulation of information.

2.8.1.6 Electronic government system (EG)

E-Government refers to digital interactions between, inter alia, a government and its citizens, government and businesses, the government and its employees such as school heads and teachers. Jeong (2007: 3) defines e-Government as "the use of information technology (IT), information and communication technologies (ICTs) and other web-based telecommunication technologies to improve the efficiency and effectiveness of service delivery in the public sector." The E-Government system supports communication, information and interconnectivity of systems.

The Zimbabwean Government adopted IRBM in 2005. At the national level, the key guiding tools are the national vision, key result areas and goals. At sector or cluster level the following tools are of importance, sectorial vision, key result areas and goals. The Ministry of Primary and Secondary Education is a key member of the social cluster. At the ministry level key tools include the ministry strategic plan, ministry integrated performance agreement (MIPA) and the secretary's performance contract. The MIPA indicates the direction of the ministry and it is the reference document for the yearly performance agreement (Ministry of Public Service 2009: 15).

The third level is the department where the DIPA and the departmental work performance and monitoring plan (DWPMP) are the key documents. The DIPA indicates the agreed performance targets and spells out the results to be achieved in a given year. This is agreed between the departmental head and the permanent secretary. The DWPMP outlines the activities to be done to achieve results in the performance agreement. It gives roles for

undertaking activities to sections, units or individuals. The DWPMP is drawn by heads of departments but can also be done at school level. Individual work plans are drawn from this hence, it must be prepared before teachers develop their work plans (Ministry of Public Service 2009: 16).

At the sectional level, the key document is the sectional work, performance and monitoring plan. The next level is the unit level where the key tool is the unit work, performance and monitoring plan. In the Ministry of Primary and Secondary Education, the unit refers to the school. The last level is the individual where the key document is the individual work plan. This individual is the school head or the teacher who completes a work plan that is largely influenced by the documents designed at higher levels, that is, national vision, sectorial vision, MIPA, DIPA and DWPMP. There are hierarchical linkages between the lowest level (individual work plan) and the highest level (national goals) (Ministry of Public Service 2009: 17).

In summary, while the core components of the IRBM give the framework for planning, implementing, monitoring and reporting on school performance with systematic links to school personnel performance Thomas (2005: 8) asserts that the supplementary "components provide the dynamic dimension to the entire performance framework." The Government of Zimbabwe adopted the IRBM in 2005 for implementation in all its departments/ministries including the Ministry of Primary and Secondary Education. The IRBM is quite detailed and elaborate. It emphasizes cross linkages which ensure proper coordination in big and complex organisations like schools. However, it appears complex, cumbersome and requires adequate resources and proper training for ease of implementation. The Zimbabwean economy is operating on a shoe-string budget which makes it difficult to implement results-based budgeting. It is usually difficult for the government to provide all the money allocated for the Ministry of Primary and Secondary Education in a particular year. This makes planning difficult for school heads and teachers. Management Information Systems and the e-government system are difficult since most rural schools are not electrified and do not have access to computers. The next section examines the logic model.

2.8.2 The logic model

The logic model refers to the causal or logical sequence of activities, outputs and outcomes illustrating (usually in diagrammatic form) how it is expected that the intended outcomes of the school programme will be brought about (Mayne 2007a: 2). The logic model shows the logical relationships between activities, inputs, outputs and the outcomes of a given school programme or initiative (Sundra, Scherer & Anderson 2008: 6). The Canadian International Development Agency (CIDA) (2011: 16) says that the logic model is also referred to as the results chain. A result chain is a causal sequence that spells out sequentially how a school plans to achieve its targets starting from inputs moving to planned activities and then outputs which would lead to outcomes (UNDP 2010:13).The Adaptation Fund (2009: 3) share the same view and points out that a results chain lays out the sequence and steps necessary to achieve stated objectives-beginning with inputs, which support activities to generate outputs, outcomes and impacts. A table of the 'results chain' is presented below.

Table 2.1: The school results chain

Results chain					
HOW should the school programme be implemented?		**WHAT** should be produced by the school?	**WHAT** school results do we expect from this intervention?		**WHY** should we do this as a school?
Inputs	Activities	Outputs	Short-term outcomes	Medium-term outcomes	Long-term outcomes

Adapted from Meier (2003:7)

Table 2.1 shows a logically linked set of school results, some immediate and others distant. The results at each level add up to produce the results at the next higher level. Immediate school results, that is, outputs, are the consequences of completed activities made possible by the availability of resources invested in a school programme. Inputs and activities provide the means of achieving the targeted school results. Short-term and medium-term outcomes are the end of the school programme results that are the consequences of the

achievement of outputs. Long-term outcomes can also be referred to as impact and are the consequences of the achievement of short-term and long-term outcomes.

A result is defined as a change that can be seen, described and measured in some way and for which the cause is identifiable (CIDA 2011: 2). This definition implies that the change is brought about by some action that the school has put in place. Bester (2012: iii) states that there are three types of such changes namely, output, outcome and impact. Impact can also be referred to as a long-term outcome (Kusek & Khatouri 2006: 12).This anticipated change is spelt out in a results statement. According to the UNDP (2002: 6), results statements should be worded simply and contain only one idea. They are developed in a participatory, inclusive fashion with the school's stakeholders and partners. Results statements include a directional verb, for example, increased, improved and reduced. They should be measurable, realistic, achievable and relevant.

The RBM terms on the results chain namely, inputs, activities, outputs and outcomes are defined in relationship to one another and are based on an agreed causal sequence (Vahamaki *et al*. 2011: 6). These terms cannot be used interchangeably or out of sequence. This provides stability in terms of terminology that is lacking in other management approaches (Meier 2003: 7).

According to the CIDA Draft RBM Policy Statement (2008: 2), the logic model is divided into six levels with each level depicting a distinct step in the cause and effect relationships within a school programme or project initiative. Arranged in order from the lowest to highest, the levels are inputs, activities, outputs, immediate outcomes, intermediate outcomes and ultimate outcomes. The UNDG (2010: 13) explains the key terms used in the logic model. Inputs are the financial, human, material and information resources used. These are resources allocated to a school programme. Activities refer to the actions through which inputs, for example, money and teachers are sourced to produce outputs.

School outputs are the products and services, which result from the completion of activities. These are the immediate results of activities. School outputs show evidence that an action has been undertaken. School outputs can be counted, for example, number of workshops conducted for teachers on RBM. Thus, output results are written as completed actions. Collectively, a number of school outputs will contribute to achieving outcomes for the

school programme (World Bank 2004a: 14). Outcomes represent the transformation that happens between the completion of outputs and the achievement of impact. Impacts refer to the positive and negative long-term effects produced by a school intervention. The effects can be economic, socio-cultural, institutional, technological, for instance. Outcomes can be short-term, medium-term or long-term and are a response to the school's local needs or national priorities.

Short-term outcomes (immediate outcomes) are changes that are directly attributable to a collection of completed school programme outputs. The immediate level results are a consequence of a school's activities and outputs. They depict the change in ability or skills brought about by the provision of goods or services created through the activities (CIDA 2011: 4). For example, training in the new "cyclic" reading approach for primary school teachers (output) results in more teachers with the knowledge and ability to apply the new reading technique (short term outcome).

Medium-term outcomes (intermediate outcomes) are changes that we expect to happen logically after one or more short-term outcomes have been realised (UNDP 2002: 4). Thus, medium-term outcomes represent measurable changes in behaviour among the beneficiaries (CIDA 2011: 4). For example, teachers with increased abilities and knowledge in the "cyclic" reading approach (short-outcome) are practising the new technique in teaching reading effectively (medium-term outcome).

The long-term outcome (ultimate outcome) is the highest level of change that is reasonably attributable to a school programme initiative in a cause and effect way. The long-term outcome represents the reason behind the introduction of a school programme and is in the form of sustainable change among beneficiaries (CIDA 2011: 4). The long-term outcome is the result of the collective medium-term outcomes. For example, primary school teachers effectively practising the "cyclic" reading technique (medium-term outcome) results in improved pass rates at Grade 7 national examinations (long-term outcome).

The Adaptation Fund (2009:3) indicates that since it gets smaller the nearer you move towards the highest level the logic model is pyramidical. Each level of the pyramid is linked to the other in both an upward and downward direction. Each level has fewer components with all working towards the impact of the school programme or initiative. The bottom

three levels, that is, inputs, activities and outputs address the "how" of an initiative while the top levels, that is, outcomes and impact address the "what" and "why" of an initiative (CIDA 2011: 6).

Based on the logic model, several key components are essential in an RBM framework. These include school strategic planning, measuring improved management, measuring performance and learning. The figure below shows the RBM components (Adaptation Fund 2009: 5-7);

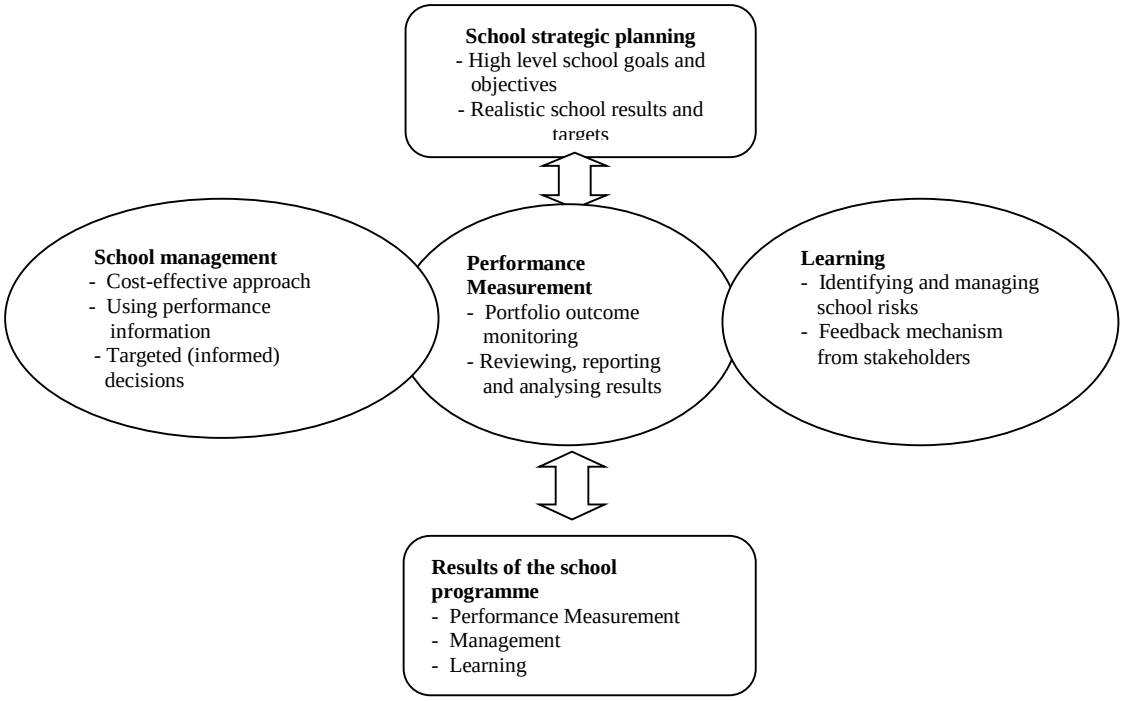


Figure 2.1: RBM components Adapted from Adaptation Fund (2009:6)

Figure 2.1 shows that a RBM compliant school starts with setting goals and targets (school strategic planning). Key activities at the centre of the implementation stage (performance measurement) are monitoring, reviewing and reporting results. School performance information obtained from performance measurement is used by school leadership to facilitate decision-making. Performance information is also used to give continuous feedback to school heads about the results they are achieving so that they can then improve their performance. This is also a learning curve for both school heads and teachers since performance measurement serves the purpose of providing feedback on the effectiveness of school programmes. The balloons on the right and left on the diagram overlap with the centre balloon because school management, performance measurement and learning occur simultaneously and feed into each other. Information obtained from performance

measurement is used for learning and also to make school leadership decisions. The performance of school personnel is measured through an appraisal system. At the end the school ascertains whether a programme met its overall objectives. This is achieved through performance measurement, evaluating learning and management decisions.

Knowledge management and learning are the main components of RBM. Learning encompasses a cycle of planning, performance measurement and organisational learning and all these support the creation of knowledge (Adaptation Fund 2009: 7). The development of a new management strategy is strongly influence by learning when feedback of lessons learnt during programme implementation is given and used. A learning component is also vital for identifying and managing school risks bearing in mind the expected targets and resources allocated.

According to the Adaptation Fund (2009:8), creating an effective management instrument over the life-cycle of a school programme is a participatory process that benefits from the active involvement of beneficiaries, partners and stakeholders. The following outlines the general steps and stages in the preparation of a logic model (CIDA 2011: 6):

- Identify the school programmes' beneficiaries, partners and stakeholders.
- Make sure that relevant people are involved.
- Establish the main activities.
- Identify the school outputs for each activity.
- Establish logical outcomes.
- Establish linkages.
- Validate with beneficiaries, partners and stakeholders.
- Draft a narrative text to show linkages and explain the cause and effect relationships of the logic model.

There is value in the process of developing a logic model for a school since it is reiterative and requires stakeholders and partners to work together to clarify the rationale for the school programme and the conditions under which success is most likely to be realised. However, critics of the logic model argue that it stresses hierarchies; can be used as an instrument to control programmes; reduces the school programme vision to achievable

results thereby negatively affecting motivation; imposes the blueprint approach that focusses on achievements, ignoring the social learning process; and does not capture positive or negative unintended results (Heyer 2001: 65).

Gasper, cited by Heyer (2001: 65-67), groups the criticisms of the logic model in three categories referred to as "logic-less frames," "lack-frames" and "lock-frames." Gasper uses the term "logic-less frames" to refer to a tendency to develop the logic model after the school programme has been drawn and often completed to satisfy evaluators.

The second criticism, "lack-frames" points to missing information about the school programme since it is logistically impossible to show the complexity of a school programme design in a one page chart. Thus, logic models should be designed as part of a larger school planning process and over- reliance on them as the only school programme description should be avoided.

The third criticism, "lock-frames" describe how logic models may trap the school programme's implementation and evaluation process in a predetermined rigid plan often designed well before the programme start date. During the school programme implementation, strict adherence to the logic model reduces the programme's ability to respond and adapt to the ever changing programme environment. The focus of the monitoring and evaluation process is also fixed into a pre-set cause and effect relationship that does not pay attention to positive and negative unintended results. Thus, the logic model is inflexible.

However, the "logic-less frames" and "lack-frames" criticisms stem from misuse of the models rather than the logic models themselves. The next section focusses on the conceptual model of RBM.

2.8.3 The conceptual model

The conceptual approach was founded by the ADBG in its bid to acquire an integrated system in an attempt to maximise efficiency in the effectuation of its programmes. According to the ADBG (2000: 2), the conceptual model of RBM requires that a school starts by formulating its vision in order to situate its mandate and then adopt the objectives

that it considers critical and whose realisation should have the maximum impact. RBM will ensure efficiency with regard to the attainment of the expected school results through the implementation of the strategic objectives of the school vision (ADBG 2000: 3). After the vision, the school develops sectorial and thematic strategies. These are the strategic approaches on which the school intends to depend in its bid to attain its strategic goals (ADBG 2000: 2). The vision and strategic approaches serve as a guide for setting priorities and determining the resources to be given to succeed. Importantly, the conceptual model strengthens the effective attainment of the set objectives and provides the instruments required to measure school results though the monitoring and evaluation framework (ADBG 2000: 3). The following table illustrates the features of the conceptual model of RBM.

Table 2.2 Conceptual model for RBM

Strategic levels	**Strategic framework**	**Measuring results (indicators)**		**Evaluation criteria**
Vision Level: global	Strategic sectoral and thematic objectives	Overall impact		Impact on development
Strategies and policies Levels: sectoral and thematic	Strategic and thematic objectives Operations objectives	Sectoral and thematic objectives		Relevance Effectiveness Efficiency Sustainability
Strategies Aid programme Level: Country	Strategic sectoral and thematic Operational objectives	Sectoral and thematic effects		Relevance Effectiveness Efficiency Programme development Sustainability
Output Level: Operations (programmes/projects)	Strategic objectives Operational objectives	Programme effects Achievement		Relevance Effectiveness Efficiency Programme development Sustainability

Adopted from the African Development Bank Group (2000:4)

Table 2.2 depicts that the strategic goals of the vision drawn from the thematic and sectorial strategies that inform the country (local) strategies which, in turn, provide a framework for programme formulation and implementation. Programme implementation produces results (outputs) that yield the development effects and impacts (outcomes) leading to the attainment of the sectoral and thematic objectives that help achieve the strategic goals of the organisation's vision.

The conceptual model of RBM has the following key features (ADBG 2000: 3-4):

- **Strategic levels** that are at five levels that include the vision at global level, strategies and policies at sectoral and thematic levels, programme strategies at country level and output at programme level.
- **Strategic framework** that focusses on strategic sectorial objectives, strategic thematic **objectives**, strategic objectives and operational objectives.
- **Indicators** that focus on overall programme impact.
- **Evaluation t**hat focusses on programme effectiveness, relevance, efficiency and sustainability.

The conceptual model utilises a computerised monitoring and evaluation system that enables the continuous tracking of the school's operations up to the realisation of the strategic objectives and vision. The aim of the monitoring and evaluation system is to increase the effectiveness of the school through the management of risks that are embedded in any system (ADBG 2000: 4). Through the M & E system the school can detect, during effectuation, any variances from the forecasts and make changes to ensure that the set objectives are met.

The following are the stages followed in the design of the conceptual model of RBM (ADBG 2000: 9):

- Coming up with the vision.
- Stating the overall objectives.
- Designing the strategic framework of the vision.

- Formulation of the strategic objectives of sectoral and thematic strategy documents (policies).
- Formulation of the frames for sectoral and thematic strategies (policies).
- Highlighting the criteria for monitoring and measuring results and the risks inherent in these.
- Specifying indicators for measuring school results.
- Management information system (MIS) to be integrated in the SAP system.
- Adoption and utilisation of a reward system.

The conceptual model of RBM is tailor made to the functions of the African Development Bank and appears complex. However, its emphasis on the vision, strategic objectives and operation objectives is useful in trying to come up with a sustainable RBM model for schools. According to this model, a school develops its vision based on sectorial strategic objectives. Sectors in a school situation may refer to departments, for example, sports, early childhood department (ECD), remediation, etc. Sectorial objectives are operationalised at department level. Thus, departments can come up with specific programmes to ensure that their strategic objectives are achieved. For example, the early childhood development department may start a school programme in which parents are invited to the school to make educational materials especially outdoor equipment such as see-saws and slides for children aged three to five using locally available resources. This parental involvement will ensure that parents become fully aware of the school expectations and they actually help in the realisation of the ECD's objective of developing the whole child (physically, intellectually, emotionally and socially). This will go a long way in realising the objectives of the Ministry of Primary and Secondary Education's vision which is "The provision of quality, inclusive and relevant infant, junior and secondary education."

The IRBM model, the logic model and the conceptual model were derived by scholars to portray RBM as exercised and comparatively perceived. Each model has its arguments based on researches that were conducted by other researchers. The IRBM is used in Zimbabwean primary schools. While it is impressive on paper, it appears too complex and demanding to be implemented in the Zimbabwean schools environment. The logic model appears simple but its inflexibility stifles creativity. The conceptual model of RBM also appears simple but may present problems since it does not emphasize the need for adequate

inputs to steer the programme of achieving results. Hence there is need to develop a sustainable RBM model for the Zimbabwean primary schools.

2.8.4 The results-based management framework business model (RBMF)

The government of Philippines developed the RBMF business model to help the public sector improve its services. The RBMF is premised on three key objectives (ADB 2013: iv). The first objective is aggregate financial discipline whereby organisations were expected to live within their means. The expenditure of a public sector organisation should be equal to revenues plus sustainable borrowing. The second RBMF objective is distributive efficiency which emphasises that organisations should spend funds on the 'right things'. The third and final objective of the results based management framework business model is operational efficiency whereby organisations strive to obtain the best value for money. Schools for example, should provide cost effective services. By and large, the Philippine RBMF system supports the aims of government's financial management. Through RBMF the Philippines government seeks to establish more transparent and accountable public sector organisations with participatory culture.

According to the ADB (2013: 5) the Philippines RBMF business model has the following four key elements:

- The medium term expenditure framework (MTEF) which identifies the required resources.
- The Philippine development plan (PDP) which highlights the reforms to be implemented during the planning period. Output priorities for the planning period are identified in the PDP.
- The organisational performance indicator framework (OPIF) which covers the inputs needed for programmes, activities or projects (PAPs).
- The strategic performance management system and the closely related performance based bonus (PBB) along with the productivity enhancement incentive (PEI) and performance based incentive (PBI) system. These are tools for incentivising employees to achieve and produce more. (ADB 2013: 5).

The above four components are demonstrated in the RBMF business model that has three production phases. Phase one entails the investment in production capacity by the organisation. The government may invest in the production capacity using funds raised through taxes and borrowings. However, investment funds may be outsourced to the private sector. The second phase involves the mixing of inputs to produce major final outputs (MFO). Key among the inputs are human resources and capital. The major final outputs produced in the second phase are consumed by the organisation's clients in phase three. The MFO has four dimensions namely quantity, quality, timeliness and cost.

The RBMF business model is an indigenous Philippines product that emphasises value for money. It is advantageous in that it promotes more efficient use of resources at the organisation's disposal during the output production process. The business model addresses the kinds of service clients want to consume, the quality characteristics of the service required and the price at which the supplier (public sector organisation) will provide the service. However, the business model places emphasis on goods and services (outputs) at the expense of real results which are outcomes and impact. The next section examines Tanzania's performance improvement model.

2.8.5 The performance improvement model (PIM)

Since varied performance management models are available, Tanzania RBM was introduced using an indigenous "rubric" known as the Performance Improvement Model (United Nations Public Administration Network 2013: 1; Bana & Shitindi 2009: 6). According to UNPAN (2013: 1), the PIM is an integrated approach comprised of four staged interlinked processes that includes components for planning, effectuation, M & E and performance reviews. These four stages will be explored in the subsequent sections.

2.8.5.1 Planning

The planning stage is mainly concerned with the installation of PIM. According to Issa (2010: 7) at this installation stage, public sector organisations such as schools use a number of instruments that include the following;

- Service delivery surveys- Public sector organisations carry out surveys which focussing on external clients. These customer satisfaction surveys provide the much needed feedback on the quality of service rendered, areas that require attention and data for benchmarking. The information obtained from the customer satisfaction surveys is key during strategic planning.

- Self-assessment - At this juncture each school, for example, conducts an internal scan focusing on internal customers. Teachers make assessments on the leadership quality, personnel management, policy and methods, resources management, the engagement of stakeholders and the quality of services offered to clients. The practice of self-assessment is aimed at providing feedback on areas that require attention and improvement. Information obtained through self- assessment feeds into the strategic planning process.

- Strategic Plan- At this point a school is expected to develop strategic plans which include its vision, mission, core values, targets, indicators, methods and the M & E plan. The school strategic plan attempts to provide answers to areas that require attention as shown in the customer satisfaction surveys.

- Operational plan- According to Bana and Shitindi (2009: 8) the linkage between planning and budgeting is of paramount importance in effecting PIM. Thus after developing the strategic plan the school has to develop a budget tool to operationalise it (strategic plan).

- Annual Action Plan- At this juncture the school comes up with a yearly implementation plan derived from its budget. The yearly plan is important since it links planning, implementation and the available resources.

2.8.5.2 Implementation

At the implementation stage the public sector organisation uses the OPRAS and its Client Service Charter to effectuate its strategic plan, operational plan and annual plan. According to Bana and Shitindi (2009: 12), OPRAS replaced the Closed Annual Confidential Report

System (CIDA) in 2004 which produced biased and one-sided information on employee performance. OPRAS has been made mandatory through its embodiment in the Public Service Act, Number 8 of 2002. It requires every staff member to have a performance agreement with the school head who is his/her appraiser. The performance agreement between the subordinate and the super ordinate contains objectives, targets and resources for its effectuation. The individual annual targets are drawn from the school annual plan and budget. OPRAS links the employee's objectives to that of the unit, section, department and therefore helps to nature the results culture. Mid-year reviews (MYRs) help in keeping track the employee's progress in meeting the set annual objectives and establish the resources needed to complete the remaining half year plan.

The organisation's clients about the types of services they should expect, their rights and the complaints procedure if the service given is below the standard set. The client service charter supports the clients' demand for accountability at organisational level (Issa 2013: 8).

2.8.5.3 Monitoring, evaluation and reporting

This stage mainly entails the generation of performance information and evaluation of whether the intervention is effective in achieving the set results. All the PIM components are linked by the monitoring and evaluation monitoring and evaluation system.

2.8.5.4 Performance reviews

During the fourth stage, mid-year and annual reviews are done using instruments such as the OPRAS and the M & E System. The results of the performance reviews feed into the planning thereby restarting the process.

To support the Performance Improvement Model, the Tanzanian Government introduced the Performance Improvement Fund (PIF). The PIF enabled government ministries to access additional funding to support their strategic initiatives emerging from the implementation of PIM (Bana & Shitindi 2009: 7). Thus, PIF was an endeavour to induce change and reform in government ministries through the provision of additional financial

resources and technical support to ensure that there was ensured improved capacity and enhanced performance.

The Tanzanian performance improvement model has the advantage that it was home grown and treated as work in progress because of the continual improvement to the system. The system has a supporting legal framework. The performance improvement model is also less complicated. However, greater focus is on the institutionalisation of PIM whilst there are gaps inherent in the system to ensure its sustenance. Self- assessments can be misleading because there are chances that the purpose of the exercise may be misunderstood easily when the staff score themselves highly due to the misconception that poor ratings harm the reputation of the organisation. Another disadvantage is that PIM is not linked with incentives yet successful implementation of results management is hinged on rewards and sanctions.

The following section focuses on challenges met in implementing results based management.

2.9 OBSTACLES ENCOUNTERED WHEN IMPLEMENTING RBM IN SCHOOLS

A number of scholars have identified significant challenges facing the adoption and implementation of RBM at all levels of government in both developed and developing countries. Mayne (2007c: 87), Perrin (2006: 3) and Curristine, Lonti and Joumard (2006: 19) point out that although much has been learnt about managing for results using performance information in the public sector; several challenges remain in integrating the performance results into school management systems. Efforts to effectuate RBM have been ongoing for many years but progress is slow (Vahamaki *et al.* 2011: 4; Mayne 2007c: 87). Implementing RBM is difficult and consequently presents many challenges as the implementation impacts throughout an organisation (World Bank 2011: 8, Mayne 2007c: 87, ECA 2004:31).

A synthesis of the challenges discussed in the literature in implementing RBM in developing countries produces an extensive list. Mayne (2007c: 90) argues that the challenges are not only technical as people might be tempted to think. The main challenges

are often organisational and behavioural in nature, whereby schools and teachers need to change how they do things (World Bank 2011:8, Mayne 2007c: 90, ECA 2004:31)

Mayne (2007c: 87) identifies two types of challenges, namely, organisational and technical. Organisational challenges pertain to areas where schools and teachers need to change while technical challenges are those where skills are required in measurement and reporting (Mayne 2007c: 90, Uusikyla & Valovirta 2004: 2). Amjad (2008:2) argues that the challenges identified in the international literature in terms of the implementation of RBM point towards technical, organisational and behavioural issues. Hughes (2008: 55) identifies five limitations associated with the implementation of RBM in public sector organisations such as schools. These include obstacles of effectuation, a highly politicised environment that is not conducive, comparison with the private sector, cultural changes and limitations of the RBM model itself.

In this study, the obstacles with regard to implementing RBM will be grouped into organisational and technical obstacles. Mayne (2007c: 87-113) describes the twelve key challenges of result based management systems in schools and these are mainly organisational rather than technical issues.

2.9.1 Organisational challenges regarding implementing RBM in schools

This section will focus on the organisational challenges associated with implementing RBM. Organisational challenges are defined as those challenges pertaining to where the schools need to change what they are doing (Schatteman & Ohemeng 2008: 9).The obstacles to be discussed include the following; challenges in creating the right school climate, the problem of setting realistic school expectations, challenges in getting RBM acceptance and use, the problem of setting school outcome expectations, the issue of selecting relevant information, the problem of avoiding distorting behaviour and challenges in developing a realistic view of accountability.

2.9.1.1 Challenges in creating the right school climate

RBM can only be implemented successfully in a school with a healthy organisational climate. This section will focus on the problem of introducing the results oriented culture,

the challenge of importing models of RBM that have been successful in other countries and the lack of incentives.

(a) The challenge of creating an outcome oriented culture in schools

Successful effectuation of RBM is dependent on the school's ability to develop a management culture that is focussed on outcomes (United States General Accounting Office 1997: 73). However, it is difficult to get school heads and teachers in schools to change their management behaviour. Nearly all reforms encounter resistance. Motivating key factors such as school heads and teachers to move away from traditional and familiar management practices proves to be difficult (Curristine *et al*. 2006: 20). Traditionally, schools have an administrative culture which emphasises the measurement of input whereas the RBM culture focusses on managing school inputs and outputs to achieve outcomes. According to Poate, cited in the Office of the Auditor General of Canada (2000: 11) changing the school culture to being results oriented is not easy task and it takes a long time. It is a difficult and long term process of change that should be consistent and needs continuous refinement and improvement (Thomas cited in Mayne 2007c: 90).

According to Mayne (2007c: 92) organisational culture change in schools is quite difficult to bring about for a number of reasons. A major reason for resisting change is that school heads and teachers are keen to maintain the traditional way of doing business. Teachers and school heads are fearful of evidence- based approaches to management since this might be seen as an erosion of years of acquired experience. In many cases, managers and staff are not motivated to improve their performance as they are happy with the *status quo* (Amjad 2003:4). Thus, school heads and teachers in Zimbabwe may be reluctant to adopt new practices due to an unknown fear of change which may affect their lives.

Schacter (2000: 18) observes that in Sub Saharan Africa, fact- based public management and accountability is a rare commodity and any demand for RBM is resisted by senior managers and political elites. One reason for resisting change is that in developing countries such as Zimbabwe, school heads may be given more responsibilities without being given authority to perform their functions. This creates frustration and tension. According to Amjad (2008: 5), frustration emanates from the fact that while implementers are the key component of the system, they are the most neglected and are never part of the planning.

The school targets are set somewhere else, finances allocated on historical basis, procurement and supplies done at higher levels and managers are only made responsible to implement. In the Zimbabwe Ministry of Primary and Secondary Education, the DIPA is compiled at Head Office. School heads and teachers are given the DIPA and are only asked to select and implement what is relevant to their school situation.

Another reason why the school culture change with regard to focussing on results is difficult to bring about is that senior management may be seen as only paying lip service to this hence others at lower levels will do likewise (Amjad 2008: 5). Senior management might not be fully conversant with the RBM system and hence, fail to appreciate its usefulness. Human resources selection, compensation and career progression systems in developing countries do not reward for merit or encourage a focus on results and productivity (ECA 2003:35). Without a supportive environment for human resources and values performance, RBM cannot be implemented effectively. Professional human resources management has been one of the major constraints to a resultsoriented public sector in developing countries (ECA 2003: 35). Personnel appointments are substantially influenced by political forces (World Bank 2011: 8, Williamson 2003: 69).

(b) The problem of importing models of RBM models

There is a temptation to adopt a RBM regime deemed successful in another jurisdiction. Pollitt (2003: 133) argues that there is an assumption that public management is now a field of adequately certain knowledge that can be exchanged across any kind of boundarywhether organisational,legal, cultural, linguistic or topographical. However, there are management systems that may be specific to certain environments and time and hence, cannot be transferred (Col *et al.* 2006: 7). It should be acknowledged that each country or environment is unique, with its own history, priorities, resource availability and political inclination. What is an effective RBM strategy in one jurisdiction may not be relevant or feasible in another. Amjad (2008: 7) argues that imported models of RBM from developed countries should be avoided. The objectives of RBM implementation are set to bring about changes in the development outcomes that assist in meeting national development objectives. The system should be functionally, organisationally and politically sustainable hence it should dovetail to the local environment. Thus as specific national objectives vary from country to country, so should be the adopted RBM strategies

(Curristine *et al*. 2006: 22). Cultural and organisational differences are enough reasons for pursuing diverse home- grown solutions (Pollitt 2003:133).

According to Saldanha (2002:18), international consultants do not take the management and capacity of the developing countries into consideration. Thus, RBM is not implemented by and within the capacities of the concerned organisation. International consultants usually take over the leadership of the exercise and put a great deal of effort into transplanting a system that has succeeded in their own developed country but is inappropriate in the host developing country. There is general reluctance to compromise on the complexity of the system even though local capacities cannot cope with it (ECA 2003: 32, Williamson 2003:69). In a research study that evaluated seventy-four public sector organisations Lawton, McKevitt and Millar (2000:15) found out that performance measurement and reporting had challenges because they had been imposed by external stakeholders.

The RBM international experts such as the Malaysian Dr Rasappan, who helped set up the integrated RBM system for the Zimbabwean government may know the technology but often know little of the local context and may not even know much about the specific public sector organisations functions. For example, pushing RBB in Zimbabwe as part of the integrated RBM system might not work since the country has poor existing financial management systems and skills. The prevailing and simpler line budgeting system does not work efficiently and effectively yet external consultants prescribe the adoption of RBB which appears more complex.

It has also been noted that asking information management specialists and developed country consultants to design MIS for developing countries is also impractical. They tend to resort to a high level of sophistication that results in a complex information system needing financing and skills beyond the capacity of the host government (Saldanha 2002: 19).

(c) Lack of incentives

According to the National Performance Review (1999:2), accountability is a two-way process. The school must reward individuals who keep their end of the bargain. However, the lack of incentives may make it difficult to integrate RBM with the school processes

(ADB 2006: 17). Without proper use of incentives there would be no encouragement for performance improvements (World Bank 2011: 38). In Zimbabwe, the lack of financial resources to provide monetary incentives may militate against the implementation of RBM.

According to the World Bank (2011:40), an incentive is a management system provided through payments, concessions and awards that encourage harder work. An incentive calls one to action. Thus, the purpose of monetary incentives is to financially reward school heads and teachers who perform well and increase their motivation to achieve higher levels of performance. Incentives can be designed at both organisational and individual levels and take the form of either monetary or non-monetary incentives (Ortiz *et al* 2004: 15, World Bank 2011: 40). According to the OECD (2005: 10), monetary incentives include PRP. that is based on the assumptions that schools can accurately measure individual, team/unit (departmental) or organisational outputs and pay can be managed in a way thatcaptures its expected value for potential recipients (World Bank 2011:41).

However, linking monetary rewards to performance appears to be a good idea, but both developing and developed country experiences show that its implementation is complex and difficult. According to the OECD (2005: 8), studies carried out in OECD countries conclude that many PRP schemes failed to ensure key motivational requirements for effective performance pay because of their design and implementation. The schemes also failed because performance measurement is inherently difficult in the public sector. In some cases, failure to meet school targets can be the result of lack of funding or other resources. There is also a danger that linking school results to financial resources can create incentives for school heads and teachers to distort and cheat when presenting information. There are also difficulties that emanate from trying to measure individual and school outputs and outcomes in diverse institutional settings. Financial incentives can also create problems in the school, particularly in a culture that emphasises teamwork or team building (Dan 2009: 10). Thus, financial incentives may encourage teachers to perform to receive the money rather than working for the collective goals of the school. This can change good relationships among school teachers into a competition, undermining each other's work, and ultimately disrupting an otherwise harmonious school environment. Issues such as the complexity of school results to be delivered and difficulties in performance measurement, for example, quantification and attribution, also make performance pay difficult to

implement (Binnendijk 2000: 19). However, the successful implementation of RBM requires the right mix of incentives (Curristine 2005a: 147).

2.9.1.2 The challenge of setting realistic school expectations

Setting unrealistic school expectations affects the implementation of RBM negatively. Setting clear objectives for a school can be a problem when there is no consensus on what the mission is. It is also a problem when there are overlapping and fragmented programmes and there is no unity of purpose among key stakeholders and partners. Schools also struggle with the issues of target levels and numbers. According to the UNDP (2010: 11), some indicators set in organisations are not linked to the results, while others are not measurable. Too many school indicators create information overload and make it difficult to prioritise while too few school targets create distortion effects. Meier (2000:ii) argues that one of the biggest risk factors that threaten the successful implementation of RBM schools is over complexity. Over complexity of the results, based management system will lead to implementation problems and will frustrate stakeholders. This over complexity is usually caused by having too many indicators, hence, the need to limit them. However, the challenge is that it takes time to get a realistic balance of school indicators.

Problems are brought about by setting targets either too low or too high. Setting targets too low, for example, means that a school is not challenged to improve performance. Although setting targets too high can motivate a school; it creates unrealistic expectations and situations in which the school will fail (Curristine 2005a: 147). The challenge is that it is difficult and it takes time in a developing country such as Zimbabwe to get relevant comparative data and to realise that school targets are set at a too high or too low a level (Perrin 2006:15).

According to Mayne (2007c: 93), the history of introducing RBM has been characterized setbacks that have to do with unrealistic expectations of what RBM can do in a school. School performance information has been cast as a panacea for improving school management and budgeting. Mayne (2007c: 93) and Saldanha (2002: 9) assert that school budgets cannot be based on the delivery of outcomes since these are influenced by many variables some not within the control of the school concerned and their monitoring is complicated. Curristine (2005b:124) also notes that performance budgeting is not realistic.

She is of the opinion that results-based budgeting might be a logical consequence of the adoptionof RBM but it has not succeeded in developing countries because it requires an operational and financial management frameworkthat is complex and hence not feasible in a developing country context.Results-based budgeting requires accrual accounting systems are often too complex and unrealistic when governments such as Zimbabwe still struggle with maintaining line budgeting systems (Saldanha 2002: 19). Thus, results-based budgeting was overrated with regard to providing an objective and rational approach to overcoming the problems of politics in budgeting (Thomas 2005: 5).

2.9.1.3 Failure to gain acceptance

A developmental problem faced with implementing RBM especially in developing countries is that it is a costly exercise in terms of time and money. Implementing RBM is a long term process that may negatively affect acceptance by key stakeholders. It takes time to plan, develop indicators and align management systems. Binnendijk (2000: 11) suggests that it takes five to ten years of serious, consistent effort to effectuate a RBM regime and even longer before the benefits are realised. Col *et al.* (2006: 11) note that Thailand had taken over ten years to implement the complex and time-consuming RBM process. Moreover, implementing the approach is never completed because RBM should be continuously adapted and transformed as a result of experience and lessons learnt (Ortiz *et al.* 2004: 12). Thus, many organisations have been working towards implementing RBM for much longer. The problem that emanates from this long period is that key people move on, governance structures change and priorities shift. The long-term commitment also implies the need for financial resources over the long term since implementing RBM is not cost-free.

Ten years is an extremely long period in a highly politicised country such as Zimbabwe where the political timetable may present a formidable obstacle to the long-term implementation of RBM. Harmonised elections are held every five years and there is the likelihood that the national governance may change hands. The issue of buy-in and use may be affected when a new government comes in and decide to focus on reforms other than RBM.

A major hurdle concerning implementing RBM is the relative lack of experience and expertise (United States General Accounting Office [USGAO] 1997b: 76). Acceptance cannot be expected when officials who are expected to implement RBM are not fully conversant with what it entails. Successful implementation is dependent on managers and staff having the necessary knowledge and skills to use the RBM system. Money is required for training to provide school heads and teachers with the knowledge and skills they need to work with data, understand it and use it to improve effectiveness. However, according to the ECA (2003: 31), African countries fail to implement public sector management reforms because they do not have institutional capacity due to the declining economic development. In Zimbabwe, for example, the government is operating on a shoe string budget. Madhekani (2012: 125) declares that the problem of resource constraints is hampering training initiatives for the majority of employees to become conversant with the new concept of RBM. A major handicap to the successful implementation of RBM was hyperinflation which peaked during the 2007-2008 period when a lot of financial resources were expected to support the RBM initiative that had been introduced in 2005. The Zimbabwe economic environment that is fraught with challenges has also made RBB extremely difficult since budgets are quickly overtaken by events before they are exhausted (Madhekani 2012: 126).

2.9.1.4 The problem of setting school outcome expectations

According to Bester (2012: 27) schools are good at defining at the output level. RBM requires schools to move beyond outputs. However, establishing reasonable outcome expectations about what level of performance is expected to be achieved is a challenge in many organisations (Perrin 2002:17, Boyne & Law 2005: 255). This, according to Mayne (2007c: 95), is a serious challenge because it raises the question of accountability for performance directly. Outcomes are by definition, results over which schools do not have complete control. Thus setting school outcome targets can be seen as dangerous. Setting acceptable school outcome expectations may also require dialogue with the beneficiaries, stakeholders, partners and budget officials. This is both tedious and time-consuming.

2.9.1.5 The challenge of selecting relevant school performance information and using it in decision-making

There is a problem of establishing what school performance information is relevant and how to use it. RBM creates a great deal of information which can easily confuse the users in dealing with it. Having too much irrelevant or inappropriate information makes it more difficult for users to make decisions (Williamson 2003: 63). According to Mayne (2007c: 97), some RBM systems have collapsed due to information overload. Williamson (2003: 63) says that information overload is common feature in organisations such as schools due to the fact that there is the temptation to gather huge amounts of information regardless of whether it will be useful or not. Many cases suggest that developing countries embarking on establishing RBM systems collect more performance information than they can effectively use (Binnendijk 2000: 20).

The World Bank (2011: 9) argues that if the adopted RBM system attempts to measure everything with no selectivity, the system may end up measuring and achieving nothing. Selectivity means that some information will not be collected or not reported (Mayne 2007:97). However, this information that is not collected may be wanted sometime in the future. Thus, 'selectivity' is a difficult concept and it is not easy to deal with the information overload challenge (Mayne 2007c: 97). According to Curristine (2005a:129), it takes years for organisations to establish which data are really needed and worth collecting.

A challenge closely related to the problem of selectivity is that managers, for example, school heads are either not aware of how school performance information can be used in decision-making or are not willing to use it. Williamson (2003: 63) argues that school heads do not know how to use performance information to improve services. Monitoring and evaluation systems focus on the generation of school performance information and not on how it can be used toimprove decisions subsequently.

2.9.1.6 The problem of distorting behaviour

The main problem in using school performance measures is that by selecting a few specific indicators with accompanying targets, school heads and teachers focus on improving those numbers, usually to the detriment of what the total school programme is trying to realise (Mayne 2007c: 97). This danger is more evident when the measures are school outputs.When school performance is evaluated in terms of numerical outputs, leaders have an incentive to maximise outputs regardless of whether maximizing school outputs is the preferred strategy for achieving required outcomes (a form of goal displacement) (Bohte & Meier 2000:173).Systems that only concentrate on outputs can result in goal displacement (Curristine *et al.* 2006: 19; Curristine 2005a: 140). Thus, the incentive to maximise school outputs may lead to cheating; where schools manipulate output levels to portray their work in the best possible light. Bohte & Meier (2000: 174) define organisational cheating as an attempt to manipulate school performance criteria through cutting corners, lying and the use of biased samples. In the Zimbabwe Public Service, according to the RBPPS, all the staff in the C, D and E bands are rated on outputs (Public Service Commission 2005:1). In the Zimbabwean schools, school heads and teachers are in this band and thus the focus is on outputs hence there is the danger of distorting behaviour. Most organisations that have moved into RBM have met this problem of behaviour distortion where performance measures can be misused (Curristine 2005a: 139; Perrin 2002:7; Binnendijk 2000: 15).

Wiggins and Tymms (2002: 44) provide examples of behaviour distortion in primary schools in England and Scotland where they discovered that pressure to produce desired outputs such as certain graduation rates and student passrates led to organisational cheating where the schools engaged in behaviours that improved the performance ratings at the expense of working towards the realisation of more desirable policy outcomes.In addition, with respect to schools, Bohte and Meier (2000: 174) discuss goal displacement and organisational cheating when the staff are forced to use certain performance measures. They conclude that goal displacement and cheating are more likely to occur when schools face difficult task demands and when allocated resources are insufficient to the task. Poorly crafted incentive systems can also create goal displacement.

2.9.1.7 The problem of accountability for outcomes

According to Saldanha (2002: 1), a key factor that constrains school performance in developing countries is that systems of accountability are weak with an emphasis on input and activity management and not results management. However, employees are comfortable with being accountable for things they can control. Thus, school heads and teachers see themselves as being accountable for the outputs produced by the activities they control. They are not comfortable with the focus on school outcomes since the outcomes to be achievedare affected by many variables not under their control (Mayne 2007c: 98). These variables include changes in social and economic trends and other exogenous events. Curristine *et al.* (2006: 19) argue that although school outcomes have a strong appeal for the public and politicians they are sophisticated and involve the interaction of planned and unplanned factors. There are also problems with time-lag issues and in some cases the results are not within the control of the government. If school outputs are not delivered, one can rightly point to the school head or teacher to take corrective action. However, if school outcomes do not occur and the same action is taken, few in the future will be willing to commit themselves to outcomes.

Another aspect to this challenge that arises when outcomes are the focus is that many outcomes of interest to governments involve the efforts of several programmes and several ministries. Thus, the outcomes are shared and it is difficult to share the accountability for those outcomes. The next section focusses on the technical challenges in implementing RBM.

2.9.2 Technical challenges associated with implementing RBM in schools

Technical challenges refer to the lack of expertise required in measuring and reporting school information (Schatteman & Ohemeng 2008: 9).The technical challenges to be discussed in this section include the problem of measuring outcomes, the problem of attributing outcomes to action, the challenge of linking budgetary and school performance information, the poor quality of data and information, lackof training and support and lack of resources dedicated to RBM.

2.9.2.1 The problem with measuring outcomes

The measurement of school outcomes is not simple, and many organisations experience difficulties with developing realistic and sound indicators for these levels of results (Bester 2012: 32). Curristine (2005a: 146) says that even developed countries that have been using the RBM system for over fifteen years have problems with issues of measurement pertaining to outcomes. A major challenge is to obtain good quality information that is valid, reliable and timely. Closely related challenges that can be encountered include setting clear school objectives, finding accurate measures of school performance and having valid and reliable systems of data collection. Vahamaki *et al.* (2011: 32) concur when they say school outcome results measurement is difficult due to imperfect information, sophisticated systems and contestable goals.

Measuring the outcomes of government programmes is the major challenge faced when developing RBM systems (Curristine *et al.* 2006: 19). Curristine (2005a: 144) argues that not everything can be measured. She argues that it is difficult to design performance measures for complex services to individuals such as education and health care. Challenges include learning the needed measurement skills and making good use of evaluation. It can be problematic to relate what a school contributes towards achieving specific outcomes. Some types of school programmes and services are more amenable to outcome measurement than others (World Bank 2011: 11).

In their research on the use of performance information in the private sector, Ittner and Larcker (2003: 89) have identified three measurement challenges that include difficulty with linking measures to strategies, difficulty in validating casual links and measuring incorrectly.This is also true in public sector organisations such as schools. Perrin (2002: 9) noted the challenge and need for focussing on results. However, he cautioned against over reliance on numbers. He also pointed out that measures that remain unchanged are the most susceptible to distorting behaviour.

Measurement in the public sector is difficult in that accuracy cannot be realised routinely. Curristine (2005a:146) in an OECD survey found out that the type of programmes and services being measured was a key variable in explaining their success. Feller (2002: 436) discusses the different challenges faced when trying to develop performance measures for

different types of activities and identified four types of public sector organisations that are production, procedural, craft and coping. While it is easier to measure the outcomes and outputs of production organisations, it is difficult to measure the results with regard to coping organisations such as research (World Bank 2011: 11-12). Public sector measurement deals with soft events, hence, it is difficult to measure many issues decisively. Measurement in the public sector organisations such as schools differs considerably from measurement in the physical sciences where exactness and accuracy can be achieved (Mayne 2007c: 100). Thus, school performance measures will vary by activity and there will always be some degree of uncertainty involved in assessing the performance of a school programme. According to the World Bank (2011: 13), getting the measurements of school outcomes correct is difficult and takes many years to refine.

Another challenge associated with measuring is that what is measured and reported gets attention. For example, solely focussing on the time it takes to provide a service is likely to cause employees to push for speed of service delivery at the expense of quality of service (World Bank 2011: 13).

2.9.2.2 The problem with attributing outcomes to actions

Curristine (2005a:146) identified attribution as a major challenge to implementing RBM. According to Binnendijk (2000: 19) attributing results refers to demonstrating convincingly that they are the consequence of school's interventions and not of extraneous factors. Thus, whilst measuring outcomes is a challenge, determining the extent to which the school programme intervention contributed to these outcomes is yet another issue (Mayne 2007c: 101). The problem is that there are often a number of factors other than the school intervention that might have contributed to the school outcome. The school outcomes may have occurred without the intervention.

2.9.2.3 The challenge of linking budgetary and school performance information

The literature review shows that it is problematic to link budgetary and school performance information. According to Mayne (2007c: 102) a key aim of integrating school performance information into management and budgeting is to be able to determine the costs of the results of a school programme. This might be easy for outputs since there is a direct link

between the costs of inputs and the direct outputs produced. However, this is not the case for school outcomes (Curristine 2005b: 92). Perrin (2006: 8) argues that a mechanistic link between outcomes and budget locations is not possible.

Saldanha (2002: 5) is of the view that the issue of causation and attribution is problematic. In New Zealand, for example, the government has taken the position that the achievement of impacts are beyond the accountability of public sector delivery agencies, these remain accountable only for the delivery of outputs. However, RBM requires that we focus on outcomes and hence, there is need to come up with the actual costs of a school programme.

2.9.2.4 Poor quality data and information

There is a major concern about quality data in the public sector and the consequent danger of making bad decisions based on poor data and information (Perrin 2002: 16, Curristine 2005b:125). The research suggests that only minimal attention is given to quality assurance practices in the area of school performance measurement. Thus, while the importance of the quality of school performance information is recognised, the attention paid by organisations to quality matters is not convincing (Mayne 2007c: 103). A key challenge associated with building qualitative and useful information with regard to the timing and challenges under which decision making operates (Curristine *et al* 2006: 21). Ensuring that the data and information provided are fit for their purpose, that is, it is good enough for the intended purpose is also a challenge (Mayne 2007c: 103).

Given the large amounts of data and information that can be generated and the varied interests of users, it is difficult to determine the best method of reporting performance information. This is more evident when school outcomes are being reported on since there is uncertainty on the measurement of the outcomes and the degree to which the outcomes are linked to the school programme in question. Thomas (2005:17) has reviewed efforts to date by organisations in reporting and has found out that not only is is limited progress but also teething challenges. The more the reporting focusses on outcomes, the greater the challenges become.

It is imperative that the quality of data and information in a RBM system is upheld. Quality touches on a range of matters such as accuracy, relevance and timeliness. For a developing

country like Zimbabwe where resources are scarce, producing quality data is a challenge because itrequires more resources.

2.9.2.5 Lack of training and support

According to Muir (2010:2) another obstacle in implementing results-based management especially in developing countries is lack of training and support. The ADB (2006: 17) argues that organisations develop quite detailed results management systems but do not pay enough attention to the human dimension. There is lack of trainers and quality coaches hence the over dependence on foreign consultants, for example, Dr Rasappan in Zimbabwe. RBM is not taught in universities and colleges and not enough workshops are held. Results management concepts are new to staff and represent an unfamiliar way of doing work. Lack of training and support would result in lack of practitioner knowledge of RBM and not enough workshops means that there is lack of practitioners' interactions resulting in a lack of information exchange systems to share practices (Muir 2010: 2).Thus, if school heads and teachers are not supportedwith sustainable capacity development programmes and reference materials, implementation of RBM is compromised (ADB 2006: 17). Resource constraints are hampering training initiatives for the majority of Zimbabwean employees to become conversant with the new concept of RBM (Madhekani 2012: 125).

2.9.2.6 Lack of resources dedicated to RBM

There is generally a lack of insufficient funding for RBM programmes (Muir 2010:2). Owing to financial constraints, RBM training programmes could not be executed fully and hence, training has been limited largely to top officials and heads of government departments in Zimbabwe (Madhekani 2012:125). Lack of resources dedicated to RBM results in lack of guidance (reference) materials and tools. This would lead to a limited ability to implement proper RBM due to the lack of capacity. According to Madhekani (2012:125) ,RBM capacity building for senior government officials could not take place during the period 2006-2007 because the UNDP indicated that no funds were available for this activity. It would appear this development handicapped the new system since the literature review has shown that the system has only flourished where there is improved human, technical, financial and institutional capacity building (World Bank 2011: 10; Col *et al.* 2006: 50; Madhekani 2012: 125).The following is a summary of the chapter.

2.10 SUMMARY

This chapter has examined the major models of RBM, namely, the IRBM used in the Zimbabwean education system, the logic model, the conceptual model, The RBMF business model and the performance improvement model.

According to the literature reviewed, the implementation of the RBM approach in the public sector has been incremental and posed a number of challenges. The chapter highlighted both organisational and technical obstacles met in implementing RBM.

Public sector management has evolved for many years from the emphasis of managing inputs to emphasising the implementation of activities. However, there is pressure on governments in developing countries including Zimbabwe to provide greater transparency and accountability on the use of public resources to achieve certain outcomes. The rising national account deficits, waning confidence in political leadership, the need for transparency and accountability in governance and the serious dearth of resources have contributed to the emergence of RBM in the public sector. RBM calls for a major shift of focus where school heads and teachers focus attention on results achievement, measure school performance regularly and objectively, learn from school performance information, make adjustments and improve the efficiency and effectiveness of their school programmes.

Chapter 3 will explore the principles of developing a sustainable RBM system for the Zimbabwean situation.

CHAPTER 3
PRINCIPLES FOR DEVELOPING A SUSTAINABLE RBM SYSTEM IN SCHOOLS

3.1 INTRODUCTION

Considerable experience has been gained worldwide in the implementation of RBM. This chapter brings together that experience as reported in published studies, reports and articles with the aim of identifying and discussing the best practices, best practice approaches and critical success factors in the development and implementation of a sustainable RBM system in schools.The best practices and the best practice approaches in developing a sustainable RBM system in schools are organised around six principles that include creating high-level leadership in RBM, cultivating a results culture, developingoutcome frameworks with support and ownership at all levels, building compatible results-based information systems, using results information for learning and managing and developing an adaptive RBM system (Mayne 2007a: 3; Mayne 2007b:1; Saldanha 2002: 15; Wimbush: 2009: 7)

In this study, the term "best practice" will be used interchangeably with the terms "recommended practices" and "effective practices." Best practices, recommended practices or effective practices refer to practices that have been identified as appropriate ways of bringing about the required outcomes. These practices are tried and tested and have been used successfully in various jurisdictions.

3.2 PRINCIPLES FOR DEVELOPING A SUSTAINABLE RBM SYSTEM IN SCHOOLS

The subsequent sections explore the principles for developing a sustainable RBM system. The best practices and the best practice approaches in developing a sustainable and effective RBM system in schools are also discussed. Focussing on principles, the best practices and best practice approaches is of paramount importance because these are crucial learning points that have been found by organisations that embraced the RBM system earlier to be effective. Thus, these aspects have been recommended as ways of bringing

about the required results in other jurisdictions and hence, offer high-quality lessons for developing sustainable RBM in Zimbabwean schools.

The next section explores the importance of creating effective senior level leadership in terms of RBM in Zimbabwean schools.

3.2.1 Creating high level-leadership for RBM in schools

According to Amjad (2008: 8), there is a need for strong leadership to build and sustain an effective RBM system. Commitment to determining strong leadership for stewardship for RBM in schools will be necessary for streamlining the processes and procedures (Perrin 2002: 15; Binnendijk 2000: 22; Mayne 2007a: 8). This commitment of strong leadership may include, among others, a structured and targeted advocacy campaign and designing a regulatory and legal framework to support RBM and promoting consistency in policies. This canbe achieved through demonstrating senior management leadership and commitment and building a capacity for senior level RBM. The following sections explore the best practices and best practice approaches identified under this principle.

3.2.1.1 Showing high-level leadership support and commitment

According to the Office of the Auditor-General (OAGC) (2000:13), there is a need to demonstrate visibly strong senior level commitment and support for RBM. The ensuing sections discuss the best practices and best practice approaches identified under this heading.

(a) Show senior leadership and support

To develop a sustainable RBM regime, support from the top is a pre-requisite (Perrin2002: 24). Thus, if top management in the school does not indicate that a results-focussed approach is a high priority to it, no one else will invest in the approach. Binnendijk (2000: 23) also stresses the need for visible senior-level support for RBM. Demonstrating and sustaining top leadership is the most important element of successful RBM regimes (GAO 2002:10).

Senior leadership and support for RBM can be shown in a number of ways. Firstly, according to Mayne (2007a: 8) top management should visibly lead and demonstrate the value of RBM. Thus, senior managers such as education officers and school heads should be visibly seen leading the RBM system and overseeing its development. When people see that top management is taking a results-oriented approach in what it is doing itself, then the importance of this approach is most likely to permeate throughout the organisation (Perrin 2002: 24). Mayne (2007a: 8) asserts that consistent communication on results-basedmanagement and its aims is critical in a school situation. School heads should make the value and need for results information for good management clear. According to Perrin (2002: 26), effective communication is critical to the development and sustenance of a RBM regime. It is important to check, rather than to assume, that the message that is being sent out is the same as what people are hearing. Thus, two-way communications is needed. It is also important to make sure that central units are aware of what is really happening with RBM at the grassroots (Perrin 2002: 26).

Another best practice approach in providing visible senior leadership and support for RBM is that heads of departments in the school should say the right things that are supportive of the system (Wimbush 2009: 7). There should not be any room for inconsistency since this can easily undermine progress. Thus, people in positions of authority should turn their words into actions (Perrin 2006: 46).

Asking results questions is a key way to support and be seen to support RBM efforts. Thus, school heads should raise the question of results as a routine part of managing and challenging others. Mayne (2007b: 27) argues that knowing that results questions will be forthcoming ensures that those carrying out tasks will pay attention to results.

Another best practice approach in showing top management support is through fostering RBM champions. Perrin (2006: 37) asserts that peer pressure is an effective way of convincing others of a good thing. Thus, if a school has at least one credible senior manager who supports and promotes RBM, he or she can serve the purpose of convincing others to become involved in the process.

Another way senior management can show support visibly is by providing resources for training and acquiring RBM expertise. In order to develop a sustainable RBM system,

schools require adequate financial and human resources (OAGC 2000: 12). It is important to note that there are costs associated with the implementation of this system (Thomas 2005: 17). Bester (2012: 32) asserts that the relevant resources must be in place to support RBM. According to Newcomer and Wright (1996) cited in Wimbush (2009: 12), experience in the United States of America suggests that commitment of resources to the design and implementation of effective performance management systems together with top leadership support is of crucial importance.

Another best practice approach pertaining to senior leadership support for RBM entails securing political support. According to Curristine (2005:149), the support of politicians in the legislature and the executive helps to reinforce the need for change and to push reform. If they are to succeed, reforms need to change the behaviour of politicians. Therefore, they should be consulted and involved in the reform process and be made aware of the importance and potential benefits of using performance information in decision making (Curristine *et al.* 2006: 25). Developing and sustaining a RBM regime requires political support (Binnendijk 2000: 23). In the USA, for example, political support culminated in the drafting of the Government Performance and Results Act of 1994. Thus, politicians should support the need for results in schools through an Act of Parliament.

(b) Provide consistent commitment

Mayne (2007a: 10) argues that institutionalising RBM is an ongoing process, a journey not a destination. Curristine *et al.* (2006: 26) argue that the journey is as important as the destination. Developing a RBM system is a continuously evolving process because countries are adapting and learning from existing reforms and also because the issues with which schools deal and the operational environment within which they work are continuously changing. Thus, there is a need to be persistent and stick with RBM. The subsequent paragraphs will explore the best practice approaches used to realise the full benefits of the foregoing best practice in developing sustainable RBM system.

First, to maintain consistent commitment there is a need to provide central RBM leadership. Having a central unit responsible for RBM policies and practices provides an ongoing presence for result based management efforts (OAGC 2000: 13). Central units champion RBM efforts and provide various types of support (Binnendijk 2000: 23).

Another best practice approach is to allow sufficient time and resources. According to Binnendijk (2000: 23), experience shows that it may take up to five or ten years to fully establish and implement a RBM system. Establishing this new system is quite costly and labour intensive (Williamson 2003: 68). Bester (2012: 32) argues that RBM is a system, and for it to be sustained and implemented effectively all elements of the system must work. Thus, the relevant resources, workable management on accountability systems and knowledge management must be in place to support RBM in schools.

Third, there is a need for consistent and regular communication on RBM to all school staff. According to Binnendijk (2000: 23), school heads can send strong messages of support with regard to results management to their staff by giving speeches, sending out notices, participating in RBM oriented workshops, providing adequate budgeting support amongst others. Without strong advocacy from school heads, a RBM system is unlikely to be institutionalised.

(c) Manage staff expectations

According to Perrin (2006:17), managing RBM expectations is critical to success. Unrealistic expectations about what RBM can accomplish in a school are a sure way to undermine the initiative (Mayne 2007a: 10). Curristine *et al.* (2006: 26) point out that it is also important from the onset to, manage expectations in terms of the length of time it takes for the reforms to produce results. There are no quick wins and no quick fixes. School heads need to be at the forefront of setting and managing these expectations using the following best practice approaches.

First, set out reasonable yet challenging expectations for RBM. The school and its top management need to be clear and reasonable as to what is expected from RBM and communicate the expectations widely.

Second, proceed gradually with modesty. Itell (1998) cited in (Mayne 2007c: 93), identifies the need not to overreach. RBM on its own will not solve all of a school's problems nor immediately improve its performance, hence, the need to be patient and gradual.

Third, there is a need to balance accountability and learning. RBM entails providing information for accountability purposes and information to help heads of schools, deputy heads and teachers perform better through learning from experience.

The following section highlights the recommended practice of developing school leadership capacity to develop a sustainable RBM system in schools.

3.2.1.2 Developing school senior management capacity

Top managers in the school should be keen and knowledgeable RBM supporters. Thus, expertise and a body of knowledge are essential (Perrin 2002:26; Mayne 2007a:11). According to Perrin (2002:26), to provide long-term sustainability for RBM, Malaysia has taken a long-term approach to capacity development. For example, it has made extensive training for RBM available.

To build up the RBM capacity of senior management in the school, the following paragraphs explore the best practice approaches that should be employed. First, there is a need to build the knowledge and understanding of RBM through the training of school heads. Perrin (2002: 26) argues that without the creation of capacity in RBM, the approach is doomed to failure. Binnendijk (2000: 23) supports this when she suggests that to establish sustainable and effectiveRBM systems, staff should be offered "reengineering" training, technical assistance, supplementary guidance and tools, amongst others. In effect, the successful implementation and sustenance of RBM is dependent on school heads and staff having the necessary knowledge, skills and abilities (Wimbush 2009: 7).

To promote the institutionalisation of RBM, political appointees, for example, the Minister of Primary and Secondary Education should also receive training (Ortiz *et al.* 2004: 21). Training assists in changing the organisational culture. According to the Office of the OAGC (2000: 15), once managers and staff understand how RBM works, they start to appreciate its potential. It is important to instil the capacity to update training material continuously and keep it relevant for RBM (Amjad 2008:16).

Another recommended practice that sustains RBM is the use of peer champions to sell its benefits. The creation of central units to champion RBM efforts helps to provide various

types of support to the school (Binnendijk 2000: 23). According to Wimbush (2009: 7), credible champions for RBM should put what they preach into practice. Perrin (2006: 36) argues that advice and encouragement from senior manager peers within the school on the benefits of RBM is a good way of spreading interest, understanding and acceptance of RBM by other senior managers.

Bringing in outside school heads and heads of departments to discuss their RBM experiences is also of paramount importance in the development and sustenance of a RBM system (Mayne 2007a: 12).

Another effective practice to developing a sustainable RBM system is to invite a RBM expert to the school who observes senior managers working and gives feedback to them on how they could make better use of RBM approaches (Wimbush 2009: 7).

Creating high-level leadership in RBM in schools might not be enough on its own to develop a sustainable RBM system, hence the need to cultivate a supportive results culture in the school. Therefore, the next section focusses on the recommended practices of cultivating a results culture to ensure the development of a sustainable RBM system in a school situation.

3.2.2 Cultivating a results culture in the school

In developing and sustaining RBM, it is critical to foster an appropriate school culture of results. According to Wimbush (2009: 7) a results culture is manifested in a school where managers and teachers regard information about outcomes as a valuable commodity and essential to good management and delivery. Introducing a results culture in a school requires changes in the organisational culture and that of the performance culture in particular. The results culture involves reorienting school values towards a shared vision of the value of results information in management and having clarity about the roles and responsibilities of the various parties involved in RBM, for instance, school heads, heads of departments, teachers, the School Development Committee (SDC) and students. Mayne (2007b: 28) argues that the lack of a results culture in a school allows RBM regimes to turn into inflexible bureaucratic systems over time.

Developing a culture of results in a school requires deliberate efforts by senior managers. According to Mayne (2007b: 31) a school with a strong results culture engages in self-reflection and self-examination. A school that engages in self-examination and self-reflectiondeliberately seeks evidence on what it is achieving (GAO 2002: 11). Furthermore, it uses results information to challenge and support what it is doing. A school with a strong results culture also engages in results-based learning. The school makes time to learn and also learns from mistakes and weak performance (Barrados & Mayne 2007a: 15). According to Ortiz *et al.* (2004: 33), the school with a strong results culture also encourages knowledge transfer. Moreover, a school with a strong culture of results encourages experimentation and change through supporting deliberate risk taking and seeking out ways of executing its mandate (General Accounting Office [GAO] 2002:13).

Cultivating a results culture in the school can be achieved through the following;creatinga demand for information on results, creating supportive school systems, ensuring anoutcomes-oriented accountability system, building a capacity to learn, adapt and adopt, building a capacity for outcomes measurement and RBM and clarifying and making clear roles and responsibilities for outcome management known. These will be explained in detail in the subsequent sections.

3.2.2.1 Creating demand for information on results

To develop and sustain a RBM system, demand should be needed in the school and elsewhere for results information (Perrin 2002: 17; Binnendijk 2000: 24). How a school uses the performance information generated from its performance measurement activities will influence its long-term success in implementing RBM (OAGC 2000: 19). The following three best practices are identified under this.

(a) Promote a desire for results information

Mayne (2007a:13) argues that in terms of showing visible support for RBM, asking the results questions ranks high as a best practice. If school heads are not interested in results information and undertake planning and managing without asking for evidence and relevant results data, teachers will also not be interested. Thus, strong results information will only

be forthcoming if there is a demand for the information by stakeholders and it is seen being used (OAGC 2000: 19). According to Mayne (2007b: 27), a key role for senior personnel such as school heads and education officers in championing and supporting RBM is probing consistently about outcomes when reviewing, measuring and decision making. Having prior knowledge that results questions will be asked promotes the focus on results by staff.

(b) Show the need for planning and budgeting based on results

In order to sustain RBM, requirements for results-based planning in the form of results frameworks for individual programmes and the school as a whole have to be introduced. It is also important that budgeting moves away from focussing on line items to a system where the budget funds school programmes and projects that identify specific intended results (Perrin 2002:18; Curristine *et al.* 2006: 25).Thus, results-based budgeting (RBB) is strongly recommended. Curristine *et al.* (2006: 22) argue that budgets should be structured in accordance with result categories to make it easy to relate the true costs to results. Thus, we have to depart from the practice of structuring budgets in accordance with institutional and functional boundaries. Proper cost accounting and a solid programme/project budget structure will help maximise the benefits of the school performance system and help to sustain it.

(c) Create a culture for results-based performance reporting

There is a need to ensure the use of performance information for reporting both internally and externally. Information regarding progress towards achieving school objectives should be reported and communicated to all stakeholders (OAGC 2000:20). School performance information is required by school heads and other top officials to enable them to make the necessary adjustments to school programmes/projects and to assess the effectiveness of those adjustments later. School leadership should be on guard against the possibility that demands for performance reporting made by external stakeholders do not overshadow equally important internal management uses of performance information (Binnendijk 2000: 24). However, according to Mayne (2007a: 13), there is a danger that if reporting is seen as the main reason for gathering results information, the RBM system can become mechanistic. This can be reduced if the school leadership requiring performance reporting internally is seen to be using the reported information.

The next section explores the best practices for creating support school systems that enhance the development of sustainable RBM in schools.

3.2.2.2 Creating a supportive school systems

To support and sustain RBM, the literature shows that organisational systems, incentives, procedures and practices that stress the need for and use of results information are essential (Mayne 2007a: 13). The subsequent sections discuss the best practices and the best practice approaches linked to the foregoing.

(a) Introducing and supporting incentives in the school

There is evidence to suggest that providing incentives, whether formal or informal "causes individuals to change their behaviour and helps communicate what is important to the organisation" (Amjad 2008: 16; World Bank 2011:35). Mayne (2007b: 14) agrees when he contends that incentives in a school lead behaviour. Thus, without the right incentives, any initiative like RBM is unlikely to succeed. The Management for Development Results (MfDR) Sourcebook (2006:21) argues that incentives are more important than capacities in institutionalising RBM and are associated with building and maintaining a culture in a school supporting RBM (Curristine 2005a: 147).

To fulfil the best practice of supporting incentives in the organisation, the ensuing paragraphs explore the best practice approaches that can be used. First, it is important to have rewards for groups as well as for individual teachers (Mayne 2007b:16). According to the World Bank (2011:38), incentives can be used to influence organisational and individual performance. In a similar vein, Wholey, cited in World Bank (2011: 38) notes that incentives can apply to individuals (or groups of individuals) or to organisations.

The second best practice approach is to ensure that the incentives are in place for the end parts of activities (results) and not just the planning parts. According to Mayne (2007b: 34), to develop and sustain RBM in a school, staff should be incentivised with regard to the following important elements of RBM; results-based planning, monitored implementation, results-based learning and accounting for performance. RBM is premised on the need "to

have individuals and units deliberately plan for results and then monitor what results are actually being achieved to adjust activities and outputs to perform better" (Perrin 2006: 18). Clearly this is a mammoth task that requires the motivation of individual teachers or groups to perform better through incentives.

The third best practice approach is to align school incentives with a focus on results. OAGC (2000: 20) declares that rewarding successful teachers or schools is needed to complete the accountability framework. In this regard, accountability is a two-way matter. The school must reward individuals who keep their end of the performance agreement (OAGC 2000: 21).

To develop and sustain RBM, it is also important to get the incentives right in a school, which is more of an art than a science, and it will be important to experiment to see what is working (World Bank 2011:46). It is critical to get incentives right since they drive behaviour. According to the OAGC (2000: 20), the most successful RBM systems are non-punitive. Inappropriate incentives such as introducing sanctions especially those linked to the budget can compromise school heads and teachers buy-in and commitment (Curristine 2005a: 147). Rewarding good teacher performance with additional resources may also not always be the best option (Mayne 2007a: 14).

Since the area of school incentives is of paramount importance in developing and sustaining RBM, it is imperative that the chapter explores this further. An incentive is a management system provided through payments, concessions and awards that encourage harder work (Wimbush 2009: 7). As pointed out earlier, incentives can be designed at both the school and individual levels and take the form of either monetary or non-monetary incentives (World Bank 2011: 40). Swiss (2005: 594) discusses incentives for public sector organisations that are implementing RBM. They focussed on the types of incentives that would ensure the sustenance of RBM systems.

Types of incentives

To develop and sustain a RBM system in the school, there is a need to create a balance between organisational incentives and individual incentives. Incentive mechanisms are

important tools for government to change organisational behaviours to achieve their outcomes and perform more effectively.

According to the World Bank (2011: 40), intangible organisational incentive mechanisms include public recognition (in speeches, newsletters and media releases), honour awards, challenging new projects, removal of constraints, for instance, fewer reporting requirements and delegation of authority. School information may also be disclosed to the public so that schools can be held accountable for achieving their outputs. In Zimbabwe, for example, schools are ranked in national newspapers "The Herald" and "The Sunday Mail" ranked on their national public examination results of learners in Grade Seven and at Ordinary and Advanced Levels respectively.

Financial school incentives would include an increase in programme budgets, allocation of discretionary funds, the discretionary use of savings, staff allocations and allocations of overhead resources (Mayne 2007b: 20).

On the other hand, individual incentives encourage and reward teachers to work at their optimal levels to accomplish objectives that lead to effective public service delivery. It is, however, critical that individual incentives are designed strategically in a way closely aligned with school goals and outcomes (Amjad 2008: 13). According to Wholey, cited in World Bank (2011: 41), intangible incentives for school leadership and staff include personal recognition (through phone calls, personal notes, for example), public recognition (in speeches and newsletters), honour awards (certificates, citation and plaques), more interesting assignments, removal of constraints such as fewer reporting requirements and/or delegation of authority providing more flexibility.

Individual financial teacher incentives would include promotions, bonuses, cash awards, pay raises or performance related pay (PRP). Performance related pay refers to when financial rewards are linked with the level of departmental or individual performance (Curristine 2005a: 148). The introduction of performance related pay should be supported by the existence of a supportive legal framework, a strong RBPPS, good management and administrative capacity and communication, adequate monitoring systems and good records management (World Bank 2011:42). Strengthening the foundations for introducing performance related pay in the school will spur the development and sustenance of RBM.

Managers and staff in a school may also be given incentives for good performance. According to Wholey, cited in the World Bank (2011:41), incentives include the following: travel to conferences, selection for training, educational leave, more flexible working hours and additional annual leave. Mayne (2007b: 36) argues that the most potentially effective incentives in a school situation are in the area of intangible incentives and rewards or benefits.

To ensure that incentives help with the development and sustenance of an effective RBM system, the school should link incentive tools geared to improving teachers' and organisational performance (Mayne 2007b: 36). It is important to consider using more non-monetary incentives, strengthen the individual results-based personnel performance appraisal system and strengthen the information systems surrounding the distribution of financial incentives to assess whether the system is working well. It is also imperative that mechanisms are established to get feedback on the system of incentives to understand the perceptions of fairness and transparency (World Bank 2011: 42).

(b) Giving school heads the autonomy and flexibility to manage for results

To develop and sustain a robust RBM regime, there is a need to give the school leadership autonomy to manage for results as well as accountability (Perrin 2002:10). According to Binnendijk (2000: 24), school heads being held accountable for achieving results should be endorsed by the decision-making authority and there should be flexibility to divert resources from poorer performing to higher performing activities and projects. Without authority, school heads will be unable to act to improve their performance and results. To manage for results, the school heads should be able to modify their activities and outputs to reflect their experience and hence, be able to achieve results. Individuals should only be held accountable for what they can influence (OAGC 2000:19; Perrin 2002: 29).

(c) Putting user-friendly information systems in place

Building new organisational systems that are results friendly is essential to integrating RBM into a school (Ortiz *et al.* 2004: 17; Perrin 2002: 32). To develop and sustain a RBM system, data systems used in the school should reflect a results focus.

(d) Creating linkages between RBM and other reform initiatives

To ensure the development of a sustainable RBM system, its implementation should not be seen as a singular initiative but is linked to other administrative reforms underway (Mayne 2007a: 15). For there to be a culture of results, RBM has to be seen as a key aspect of reform. In Zimbabwe, for example, RBM is linked to the Zimbabwe Agenda for Sustainable Socio-Economic Transformation (ZIMASSET). ZIMASSET (2013: 39) is a plan designed by the Government of Zimbabwe "in pursuit of a new trajectory of accelerated economic growth and wealth creation." It was crafted to achieve sustainable development and social equity. ZIMASSET is a results-based agenda built around four strategic clusters that include social services and poverty eradication in which education features strongly with outcomes such as increased literacy and improved entrepreneurial skills for graduates (ZIMASSET, 2013: 39).

ZIMASSET (2013: ix) clearly states that it (ZIMASSET) will be underpinned and guided by the RBM system (RBM). The results-based government seeks to optimise the utilisation of scarce resources allocated (ZIMASSET 2013: ix). Therefore, this document seeks to promote the culture of results in the Zimbabwean government.

The next section focusses on the effective practices of developing a sustainable RBM system in schools by ensuring an outcomes-oriented school accountability system.

3.2.2.3 Ensuring an outcome-oriented accountability system in the school

To develop a sustainable RBM system it is imperative to ensure an outcomes-oriented accountability system in the school (Perrin 2002: 34). According to OAGC (2000: 14), RBM requires a shift in focus away from procedures and output management to outcome management. Accordingly, the accountability system in the school needs to support a results focus. The following two best practices are identified under this focus: take cognisance of the problem of accountability of outcomes and recognise and reward good RBM school performance (Mayne 2007a: 15; Wimbush 2009: 10).

(a) Taking cognisance of the problem of accountability for outcomes

Accountability includes accountability for outcomes and this is beyond the control of school heads (Curristine *et al.* 2006: 20; Perrin 2002: 23). However, school heads have an influence on this. The essence of RBM is managing so that the intended outcomes are achieved. The outcomes are subject to many factors including the influence of the programme in question. Not achieving the intended outcomes may be due to factors other than the management of the programme (Pollitt 2003: 133). However, the school leadership should be aware of these other factors and take steps to maximise their own programme's influence. Subsequent paragraphs explore the three best practice approaches to this best practice.

The first best practice approach is to base accountability on influencing school outcomes not achieving outcomes *per se* (Curristine *et al* 2006: 21). Thus, accountability for outcomes can be based on demonstrating that the programme has made a significant contribution to the intended outcomes (World Bank 2011: 11; Perrin 2002: 7).

Another best practice approach to ensure the development and sustainability of RBM in schools is to base accountability on demonstrating good RBM (Perrin 2002: 12). Reasonable accountability for outcomes should mean demonstrating that good RBM practices have been followed, including that learning has occurred based on the empirical evidence gathered on past performance (Binnendijk 2000: 23; Perrin 2002: 7).

Another best practice approach is the need for a results informed performance appraisal system. Such a sound results-based performance appraisal system is clearly an important motivator. It is important to note that In Zimbabwe, the Civil Service Commission has adopted the results-based personnel performance system (RBPPS).

(b) Recognising and rewarding good performance

To develop sustainable results-basedmanagement, it is imperative to reward good RBM performance. It is also important to reward the ones who try (Perrin 2006: 32). Where there are no consequences for poor performance, there is little incentive for others to perform

(Bester 2012: 32). The RBM system must be made attractive enough for the leadership to pursue it determinedly. The issue of incentives has been dealt with in a previous section. The following section highlights the importance of building the school's capacity to learn, adapt and adopt to develop sustainable RBM system.

3.2.2.4 Building the capacity to learn, adapt and adopt in the school

According to Mayne (2007a: 17), learning from past experience, proactive monitoring of the "school environment and developing a capacity to cope with changing circumstances" is an integral part of good RBM. The OAGC (2000: 21) argues that even once RBM system is implemented in the school the work is not done. Ortiz *et al.* (2004: 23) also argue that to ensure RBM sustainability, the "school performance measurement system must be monitored and improved continuously and this will translate into a responsive system that reflects the changing environment in which it operates". Epstein and Olsen cited in OAGC (2000: 21), suggest that even before implementing RBM as a new procedure, past and current "school systems should be reviewed to better understand why they may have failed to achieve their objectives." Learning from past mistakes and using shared experiencesin a school may help gain acceptance and consensus regarding the new initiative (Poate cited in Ortiz *et al.* 2004: 24). Thus, there is need to ensure the use of RBM for management learning. Under this section, two best practices are identified, namely, building learning and tolerating and learning from mistakes.

(a) Developing learning

RBM is all about learning from empirical evidence on past performance, hence, the need to make deliberate efforts to build capacity for and acceptance for learning in an organisation (Wimbush 2009:8). The ensuing paragraphs discuss the best practice approaches under this best practice.

First, there is need to institutionalise learning forums. Internalising RBM, that is, ensuring that management and staff at all levels of the school are fully familiar with its concepts and are conscious of its requirements in relation to their own work, can be realised through learning (Ortiz *et al.* 2004:20). Amjad (2008:11) highlights the importance of building

consensus on the use of common terminology for performance measurement and technical guidelines. Moyniham (2005:207) argues for the need for structured events during which learning, informed by results information from monitoring and evaluation is the main aim. All this points to the essence of creating a learning organisation that will, in turn, ensure the development and sustenance of a robust RBM system.

According to Col *et al.* (2006: 49), it is imperative to intensify RBM training in government ministries, departments, provinces and districts so that managers and staff understand the nature of the tasks involved and to learn from the experiences of comparable public and private entities throughout the world. School leaders need to understand better how performance information and reforms can be essential with regard to helping them better achieve important public goals for which they are held responsible (Ortiz *et al.* 2004: 21).

Encouraging knowledge sharing is another best practice approach that can be used to develop and sustain a RBM system in a school. According to Mayne (2007a:17), sharing RBM practices supports a learning culture. Learning is encouraged when results information is widely communicated and shared within a school, allowing others to learn from the experiences of different units. Ortiz *et al.* (2004: 22) advocate for a knowledge management strategy to support RBM. "Knowledge management is the systematic process of identifying, capturing" and sharing knowledge people can use to improve performance (Ortiz *et al.* 2004: 23). Organisations that adopt knowledge management can be called learning organisations. Therefore, a school should avoid losing the knowledge gained by individual officials and staff in general as this results in losing the organisation's institutional memories (Perrin 2002:26). Thus, teachers should be encouraged to record and report innovations, best practices, for example.

To develop and sustain a RBM system, innovations that bring efficiency gains and savings should be encouraged and recorded in the individual performance appraisal reports and properly rewarded (Saldanha 2002: 17). Above all, the successful implementation of RBM requires that the organisations be equipped with matching management information systems that are able to facilitate knowledge sharing. According to Ortiz *et al.* (2004: 23), as a prerequisite for knowledge sharing and dissemination, schools should establish a clear and structured knowledge management strategy that enables them to collate, codify and structure both explicit and implicit/tacit knowledge. Explicit knowledge includes data,

manuals, rules and regulations, procedures, etc while implicit knowledge consists of unwritten knowledge that is largely untapped.

Knowledge is a valuable asset and a source of power for decision- making. Investment in knowledge management if well planned can be used to reinforce and complement RBM. Both RBM and knowledge management have the ultimate goal of making schools more effective, thus improving their performance (Ortiz *et al.* 2004: 22). Knowledge management is a valuable tool for reducing costs, improving processes, approaching problems by using systematic methods, learning from internal and external present and past experiences and identifying best practices. For the Ministry of Primary and Secondary Education to be more efficient in a RBM environment, knowledge management is "an additional tool which facilitates the achievement of results through the development of a genuine knowledge sharing culture," thus making the organisation a 'learning' one (Ortiz *et al.* 2004:23). Thus, knowledge management helps with developing and sustaining a RBM system in schools.

To sustain and develop an effective RBM system in schools, there is a need to encourage learning through experience. According to the Perrin (2006: 26), it is imperative to encourage learning from direct work experience, where results information is reflected upon by individuals and groups and changes are made in how things are being done. There is no reinventing the wheel but rather learning from internal and external present and past experiences (Ortiz *et al.* 2004: 23).

(b) Accepting errors and learning from them

Another best practice to develop and sustain effective RBM in schools is to tolerate and learn from mistakes (Mayne 2007a:18). In a learning and results "culture, mistakes need to be tolerated and seen as an opportunity to learn what went wrong and how to do better" next time. According to Michael (1993:16), the concept of 'governing by learning' is important for the sustenance of RBM. If society is to advance, it is needful to embrace mistakes. In this regard, experimentation and learning from mistakes were important in the development of RBM in Australia and New Zealand (OECD) 2005:19. According to Poate cited in Mayne (2007b: 32), learning from past mistakes and using shared experiences may help gain acceptance and consensus regarding the new initiative.

The following section highlights the recommended practices that facilitate the building of a capacity for outcomes assessment and leadership in the school to ensure the development of sustainable RBM in schools.

3.2.2.5 Building capacity for outcomes measurement and management in the school

To develop a RBM system, measurement expertise is needed, and school heads and teachers need to have an understanding of and capacity for RBM. The subsequent paragraphs will look at three best practices and best practice approaches to achieve this.

(a) Putting professional site support in place

Key aspects of RBM that include developing results framework, measuring results and assessing contribution all require professional assistance. While there is a role for external consultants such as in the case of Zimbabwe where Dr Rasappan introduced IRBM, building some local level of professional expertise in RBM is seen by many as essential (Binnendijk 2000: 23). Pollitt (2003:133) argues that "the international experts may know about the technology, but they often know little of the local context, and they may not even know much about the specific functions concerned." Amjad (2008:7) supports this viewpoint when he asserts "that each country is unique with its own history, internal priorities, resource availability and political ideology," hence, what is an effective RBM model in one country may not be relevant and feasible in another. Thus, imported models of RBM from developed countries should be avoided. Instead, it is imperative that local experts are developed. The need for a hub of RBM and a RBM local expert in an organisation cannot be overemphasised. This focal point on RBM advises school leadership.

(b) Developing the capacity of school heads and teachers

To develop a sustainable RBM system, it should be implemented by the school heads and their staff, hence, the need to develop their capacity. To achieve this best practice, the following best practice approaches can be used.

First, provide ongoing RBM training and/or coaching to all school heads and teachers. Secondly, identify and encourage RBM champions. According to Perrin (2006: 36), substantial evidence exists that major school and culture change and innovations frequently succeed through the efforts of champions that can play an important role in providing informal support and encouragement to their co-workers. Perrin (2006: 38) declares that champions can be supported "by providing networking opportunities for them to spread the word and generate support and by providing recognition of their efforts."

Another best practice approach is to incorporate RBM into management training. Thus, regular management training should routinely include RBM training (Curristine *et al* 2006: 21). However, training can only go so far, hence, the need to provide clear and effective guidance and professional support on RBM in schools. Support can include various forms of capacity building such as training and guides (Curristine 2005a: 148). According to Perrin (2006: 38), school support can make it as easy as possible for the heads of schools and teachers to implement RBM. This can include tangible support such as funding assistance and the availability of external expertise. Other forms of school support include appropriate recognition and rewards so that RBM is recognised as a basic component of good management rather than as an add-on (Perrin 2006: 38).

(c) Developing the capacity of key stakeholders to the school

Many organisations such as schools, deliver their programmes and services in collaboration with other key stakeholders or partner organisations. Key stakeholders of the schools include School Development Committees, teachers' associations such as the Zimbabwe Teachers Association (ZIMTA) and donors. It is, therefore, imperative in order to develop a sustainable RBM system in schools, the capacities of key stakeholders should be built (Mayne 2007a: 19). Thus, if these partners have little or no RBM capacity, the school will not be able to manage for results itself. To achieve this, partners should be included in the school's RBM training. Schools may invite such partners to participate in the training provided within the organisation or put specific training in place for their partners. It is also important to make RBM part of the agreement to work with partners (Wimbush 2009: 7).

The next section focusses on the recommended practices of clarifying and making the key roles and responsibilities of key stakeholders known for outcomes management in furthering the development of RBM system in the school.

3.2.2.6 Clarifying and making known clear roles and responsibilities for outcomes management in the school.

To develop and sustain an effective RBM system, there is a need to establish and communicate a clear role and responsibilities for RBM in the school (Perrin 2002: 26; Wimbush 2009: 7). The role and responsibilities for results measurement need to be agreed upon and communicated among key stakeholders within and without the school. There are two best practices identified under these topics; set out a clear role for RBM and set out clear roles and responsibilities for the various stakeholders involved in RBM (Mayne 2007a: 20).

(a) Ascertaining the vital role for result s-based management

To develop and sustain an effective RBM regime in schools, it is important to develop a common understanding of RBM since there is often confusion regarding the concepts and terms in this area. Clarity concerning RBM terms and concepts helps to ensure a common vocabulary and reduce debate on the meanings of commonly used terms. Developing an understanding of what RBM is all about, and what it is trying to achieve in the school is also important. It is essential to have a vision or plan that contains a clear definition of the purpose of RBM and communicate this throughout the school (Mayne 2007a: 3). Teachers need to know why performance measurement is being undertaken and what their role is in the new system. According to the OAGC (2000:15), the experience in the USA has been that well-informed employees adjust to the new performance management system more easily and will perform better.

One best practice approach to setting out a clear role for RBM is to develop and communicate a clear strategy for its development and implementation in the school (Perrin 2002:26; Ortiz *et al.* 2004:23).

Another best practice approach is to agree on the common terminology. Defining key terms and concepts will assist in the implementation process (OAGC 2000:17). Nakamura and Warburton (1998:37) cited in OAGC (2000: 17) are of the opinion that "A standard set of definitions will help minimise misunderstandings and will foster consistency throughout the organisation." USGAO (1997b:61) argues that schools' use of inconsistent definitions for their programmes' measures could hamper decision makers' use of data collected from those measures when planning, comparing performances and reporting on performance achieved. This confusion can be created when there is no agreement on common RBM terminology. The United Nations agencies, for example, agreed to use the OECD-DAC terminology on RBM (OECD-DAC 2002:5).

(b) Distinguishing and clarifying the roles and responsibilities of the various parties involved in RBM

To develop and sustain a RBM regime in schools, there is a need to have clear roles and responsibilities since there are a wide variety of individuals and groups that are involved. Each school member or group has a different role to play, hence, the need to be clear on who does what.

The following section highlights the importance of developing outcome frameworks with support and ownership in the school. This section looks at the best practices and best practice approaches to ensure the support and ownership of RBM amongst school leadership and teachers.

3.2.3 Developing outcome frameworks with support and ownership in the school

To develop a structure for a sustainable RBM system, the school needs to set out the overall strategic results its programmes are intended to achieve (OAGC 2000: 11).Thus, a school first needs to develop and agree on a strategic framework for results, outlining the organisational objectives being sought and how it will organise its resources, people, activities and outputs to achieve these (Wimbush 2009:9). Building school results frameworks with ownership at all levels can be achieved by creating a school strategic outcome framework for the school and its programmes, developing clear and concrete performance expectations, buildinga strategy for measurement and setting clear, concrete

performance indicators and developing ownership for outcome frameworks by school heads and teachers (Mayne 2007a 21; Wimbush 2009:9). These will be discussed in the subsequent paragraphs.

3.2.3.1 Building a strategic outcome framework for the school

The successful development and implementation of RBM depends on the extent to which performance measures are linked to the school's strategic framework (OAGC 2000:11). A school strategic outcome framework sets the school objectives and strategies out thatare aligned with its programmes (Perrin 2002: 9; Mayne 2007a: 23). The following paragraphs examine the four best practices and best practice approaches related to this.

(a) Designing the strategic objectives for the school

According to the Joint Inspection Unit (JIU) (2006: 5) there is a need for clear long-term objectives in schools. In the light of its mission and experiences, the school needs to set the objectives out it intends to accomplish indicating which strategies will be used and which organisational units will be included over a specific time frame (Col *et al.* 2006: 12; Perrin 2002: 8). Setting strategic objectives will help with developing a sustainable RBM system in schools.

(b) Linking results with projects, programmes and resources

According to the MfDR Sourcebook (2006:26), if we are to develop a sustainable RBM regime, there is a need to align school objectives with individual programmes showing how each programme is expected to contribute to the overall objectives. Programmes should be aligned with both the long termobjectives and the available resources of schools (JIU 2006:9), ultimately, aligning programming with outcomes. A best practice approach to aligning results with programmes and resources is to link individual work plans with the school strategic framework.

(c) Strategic outcome frameworks should include anticipated threats

To develop a sustainable RBM system, it is imperative to include programming threats and their possible mitigation in the strategic outcome framework (Mayne 2007a:22). According to Mayne (2007a: 17), within the strategic outcomes framework, there is a need to discuss the threats the school faces in achieving its objectives and how it plans to manage them. The identification of school threats helps to structure the uncontrollable factors separating outcomes from outputs (OAGC 2000: 18). Bester (2012: 32) supports this view when she that points out that risk assessment in RBM planning is important since it helps with developing threat mitigation strategies.

(d) Seeking approval for the strategic outcome frameworks from key stakeholders

Since the strategic framework sets out the overall vision of what the school wants to accomplish, it needs the highest level support and approval. According to Curristine (2005a: 149) and Curristine *et al*. (2006: 19), obtaining and maintaining the support of politicians is of paramount importance. In the case of the Republic of Zimbabwe, the Office of the President and Cabinet should approve ministerial strategic frameworks. At the local level, the Ward Councillor, who is an *ex officio* member of the School Development Committees (SDC) of the schools in his/her ward is the politician whose approval of the school strategic framework is vitally important.

The following section focusses on the essence of developing outcome frameworks for school programmes in developing a sustainable RBM system.

3.2.3.2 Developing outcome frameworks for school projects and programmes

To develop a sustainable RBM, it is important to develop outcome frameworks for the various school programmes. Outcome frameworks should be developed in the light of the school's objectives, strategies and resources to be used and the major threats faced. Log frames can be developed that are a form of outcome frameworks. The following three best practices are identified in this regard.

(a) Focussing on the specific objectives of programmes

There is a need to keep track of more specific objectivesthat will define what success means if we are to develop a sustainable RBM system. It is, therefore, important to focus on what constitutes schools success and failure through clear, realistic and verifiable objectives (OAGC 2000:16).

(b) *Using tried and tested methods for developing results chains*

It is important to develop logic charts to develop a sustainable RBM system. According to the Mayne (2007a: 23), using logic charts has proved to be very helpful in the development and identification of the school's expected results, indicators and risks. It facilitates the task of conceptualising programmes in terms of inputs, outputs and outcomes and "also helps verify the logical consequences of cause and effect linkages" (Plantz, Greenway & Hendricks 1997:24).

To develop models, it is important to use a top down and bottom up approach. According to Perrin (2006: 23), working both from the top down and bottom up, balances the direction from the top with real life down the line. It is also of paramount importance to accept feedback from all parties concerned when developing outcome frameworks (Perrin 2002:11).

(c) *Solving the specific threats to the school programme succeeding*

According to Mayne (2007a:23) identifying threats to the school programme meeting its objectives serves as a starting point to developing strategies to mitigate the threats. School programming threats should be assessed and discussed with key stakeholders. Binnendijk (2001:24) claims that participatory approaches have the potential to build the ownership and commitment to shared objectives of stakeholders.

The next section focusses on the need to develop clear and concrete performance expectations for to develop sustainable RBM system.

3.2.3.3 Developing clear and concrete performance expectations for the school

To develop and sustain a RBM system, there is a need to develop reasonably clear and concrete performance expectations. School expectations should be clear and concrete, relate to the school's objectives and specify a timeframe for their achievement (Wimbush 2009: 10). The following two best practices should be noted.

(a) Setting performance expectations and targets meticulously

In order for RBM to function as intended, emphasis should be placed to identifying school targets and performance standards (OAGC 2000:18). School performance cannot be assessed unless there is a comparison of what is with what was expected. According to Mayne (2007a: 23), "It is difficult to judge whether results are improving if one has no reference point against which to compare" and in this sense, targets are also critical for defining accountability. Atkinson and McCrindell (1996:17) argue that in the absence of "a specific and measurable standard of performance against which measured performance is compared, there is no basis for accountability." Setting out school expectations for the levels of performance anticipated at some time in the future provides a needed baseline with which to compare actual accomplishments.

However, it should be noted that while setting school performance expectations can provide motivation for achieving higher levels of performance, poorly thought out expectations can be viewed as unrealistic or lead to perverse behaviour. Subsequent paragraphs will explore the four best practice approaches to the foregoing best practice.

To develop and sustain a RBM regime, there is a need to distinguish predictive from stretch targets. School targets can be set as guesses as to what level of performance is achieved by some date in the future. These predictive targets are common, but there is an incentive to set them well within the range of what is possible since performance is judged by assessing the extent to which they have been met (Curristine 2005a: 146; Perrin 2002: 24). Thus, predictive targets do not provide motivation for high levels of school performance and can become minimum standards of school performance. However, on the other hand, stretch targets are set as steering guides that are probably beyond what is achievable in the time

period but are set to provide a high-level goal to be sought after. According to Perrin (2006: 7), stretch targets are more appropriate when school expectations are being set in terms of the outcomes to be achieved.

The second best practice approach is to avoid setting school expectations and targets too high or too low. According to the OECD (2005: 11) school targets set too high can be seen as unrealistic while if set too low can be seen as not serious. Therefore, there is a need to find the right balance and make sure school targets are realistic and challenging (Binnendijk 2000: 23).

Another best practice approach involves making sure that school expectations are meaningful to those delivering at the front lines. In a school, managers and teachers need to see how what they are doing fits into the overall results for which the school is aiming It is important to create a line of sight between individual and school goals (United States Government Accounting Office [USGAO] 2005:13).

The fourth best practice approach is to base school expectations and targets on baselines, past trends and resources. The use of baseline data from past performance can help schools set realistic targets (USGAO 1997b: 61). The baseline data help to provide the trend information on which to base targets.

Benchmarking against similar school programmes "is another method used for setting targets. Evidence from the private sector suggests that benchmarking against competitors is a useful practice" (OAGC 2000: 18). Thus, it is good practice to base school performance expectations on both baselines already established and past trends. To be realistic, they also need to take into account the available resources. To implement RBM successfully, schools require adequate financial and human resources (Binnendijk 2000: 23).

(b) ***School performance expectations and targets needing reviewal***

According to Mayne (2007a: 25), it takes the time to get school expectations and targets 'right'. Thus, to develop and sustain a RBM system there is a need to have a multi-layer strategy for setting school performance expectations. Setting school performance expectations should be seen as a learning process. Annual reviews of the expectations set

should be done to see if the levels have been set too high or too low or if they are still relevant.

The following section highlights the importance of building a strategy for measurement and setting clear, concrete school performance indicators to develop a sustainable RBM system.

3.2.3.4 Building a strategy for measurement and set clear, concrete performance indicators for the school

To develop a sustainable RBM regime, a manageable set of qualitative or quantitative indicators of each school programme's performance needs to be agreed to assess and manage the programme (Curristine 2005a: 147). The ensuing sections explore the four best practices and best practice approaches identified under this.

(a) Building an overall measurement strategy

School performance measurement alone will not be able to provide the full performance story, hence the need to fill in gaps in the data gathered through indicators with those provided through evaluation and other studies (Perrin 2006: 31). Performance measurement and evaluation gives room for critical areas of school performance to be examined.

(b) School indicators used should be manageable

One of the biggest risk factors that threaten the successful implementation of RBM in schools is over-complexity (OAGC 2000: 16) that leads to implementation problems and will frustrate stakeholders. Meier (2003: 2) posits, "The easier the school performance management is to use and apply, the more likely stakeholders will adopt and embrace the new approach."

One way to keep the school performance management system simple is to limit the number of indicators. Experiences in many jurisdictions have discussed the problem of having too many indicators resulting in information overload for those who are supposed to use the information (Binnendijk 2001: 23; Saldanha 2002: 17). School performance indicators should be kept low in number. Binnendijk (2000:23) argues that large numbers of indicators

and data can become cumbersome and expensive to collect, maintain, analyse and report. Perrin (2002: 22) also notes that excessive concern over indicator/data validity may limit its practical utility as a motivational and management tool.

The following best practice approaches will ensure that a sustainable RBM regime is developed.

First, it is important to prioritise school performance indicators and build on trial and error. It is inevitable that a large number of indicators will be produced at first but determining those that are thought to be key indicators will help keep the numbers manageable (Diamond 2005: 4). Building in the idea of trial and error is good practice and consistent with seeing RBM as a learning process (Mayne 2007a: 26). It also allows one to gain valuable experience in designing a perfect school indicator system (Perrin 2002: 11).

Secondly, it is good practice to review indicators for a school programme routinely to see if they are providing information that is actually being used and is still seen as measuring the more important aspects of school performance. An indicator review is also done to see if they are producing credible data and whether they are the best and most cost effective way of measuring the particular aspect of school performance. School indicator reviews can be done annually. Over time, the number of indicators will be reduced to a more manageable number discarding those that prove uninteresting and those that are too expensive to maintain. Columbia, for example, reduced the nine hundred and forty indicators it used in 2002 down to three hundred in 2003 (MacKay 2006: 6).

According to Diamond (2005: 8), it is good practice to avoid the nice-to-know information in schools. When collecting data, it is a common problem that more than essential information is identified. The nice-to-know request in schools, leads to a great deal of data being collected that are rarely used. This adds to the unnecessary cost of data gathering and can create cynicism in those doing the data gathering since they know or suspect that the data are not relevant. Mayne (2007a: 27) advises that those proposing that a data item be collected in schools should establish what they will do specifically with the data, how often the data are needed and what they will do if they do not get the data.

To develop a sustainable RBM system, too many measures should be avoided. Too many measures is a sign of a school that has not taken the time to prioritise the measures. "Too many measures may not only be ineffective" but harmful (OAGC 2000: 16). Poate (1996:17), cited in (OAGC 2000: 16) argues that, in both the public and the private sector, "the quality of the indicators is far more important than the quantity." There is significant evidence to suggest that over complexity of the performance measurement and data collection system is the biggest factor threatening the successful development and implementation of RBM in schools (Meier 2003: 4). According to (Mayne 2007a: 24), the performance measure for an individual should not exceed five measures.

(c) Avoid triggering perverse behaviour

In order to develop and sustain a successful RBM system, school performance expectations should be set in terms of the desired outcomes sought and not outputs (Mayne 2007a: 27). Indicators can be put in place in a school and result in the perverse behaviour of employees as they seek to make their numbers look good through goal displacement (Binnendijk 2001: 22; OECD 2005: 11). According to Curristine (2005a: 147), perverse effects in schools include goal distortion, a situation in which school heads and teachers focus on a few specific indicators and targets, usually the most achievable or "saleable," at the expense of the overall objectives. The subsequent paragraphs will discuss the best practice approaches to the best practice of being wary of the dangers of causing perverse behaviour.

First, it is important to review school indicators regularly for perverse effects. Reviewing indicators regularly helps to check if they are causing some unwanted behaviour in delivery aimed to make the performance numbers rise (Perrin 2002: 21).

The second best practice approach is to use a set of balanced indicators. Cases of perverse effects occur when a single indicator is being used to measure performance easily, hence the need to track a broader set of measures (OAGC 2000:17).

Another best practice approach is to focus on outcomes and not just outputs. According to Mayne (2007a: 28), tracking and paying attention to key outcomes will lessen the chances of goal displacement. Perrin (2002: 22) comments that "goal displacement occurs when indicators become the objective, where the focus is on meeting the numbers rather than on

doing" what theschool programme was created to do or improving actual outcomes. While school outputs are easier to measure, they may lead to a narrow focus on efficiency and to the exclusion of the wider issue of effectiveness and create risks of goal distortion (Curristine *et al.* 2006: 22). Thus, if the focus is on school outputs, it is likely that outcomes and hence, the desired results will be ignored.

Another best practice approach aimed at ensuring the development of a sustainable RBM regime is to use an inclusive approach to developing school performance indicators (Curristine *et al* 2006: 24). According to OAGC (2000: 18), if school performance indicators and targets are developed using dialogue and consultation with all those involved, incentives for perverse behaviour are reduced. Mayne (2007a: 28) asserts that ownership and usefulness build trust in the school performance indicator system. Above all, ownership can motivate teachers to achieve the target (Perrin 2002: 12).

The next section looks at ways of developing a sustainable RBM system in schools through developing ownership of outcome frameworks by school heads and teachers.

3.2.3.5 Developing ownership of outcome frameworks by school heads and teachers

To build and sustain a RBM regime, there is a need to build outcome frameworks by school leadership and staff (Wimbush 2009: 9). If the RBM system has to be used by the school personnel, they have to feel that they have had an input into the design of the system. They also have to feel that the information produced is relevant and useful to their work and mandate (Bester 2012:35; World Bank 2011:37). Three best practices are identified and will be explored in the subsequent sections.

(a) Ensuring that there is ownership of the RBM system

A RBM system gets accepted and used in a school when managers and staff take ownership of the RBM systems and approaches (OAGC 2000:13). The ensuing paragraphs focus on the best practice approaches identified under this section.

First, there is a need to involve all the school key stakeholders if we are to develop a sustainable RBM system. Involving those who will be designing, providing data and using the RBM system is important (Binnendijk 2000: 22). The way to provide for ownership is through active involvement. People are inclined to reject any approach that is imposed upon them. However, if they are actively involved in its development, it becomes their own and ownership and commitment will follow (Perrin 2002: 11). It is of paramount importance to engage teachers in interaction and dialogue.

The other best practice approach is to provide feedback to those supplying the data and information. Without some form of feedback, teachers eventually start to question if there is any value to school performance measurement and why they should bother to put any effort into their data gathering and preparation of reports. Thiscan be extremely demotivating and reinforce the perception that school performance measurement is just a paper exercise. However, when teachers' efforts are recognised and when they can see how what they have done is actually used, they will begin to understand its value and be encouraged to carry on (Amjad 2008: 18). Feedback can take two different forms namely specific reactions to submissions and demonstration of use (Perrin 2002: 12).

The third best practice approach under this best practice is to link RBM with individual and unit work plans. According to the Perrin (2006: 40), linking a school's RBM system with the work plan focusses attention on results and gives teachers an opportunity to focus on results and appreciate how their plans dovetail in the whole school plan.

(b) Making efforts to develop a solid base

To build a sustainable RBM system building on small school successes over time can be quite effective (Wimbush 2009: 10). This will help with building a more solid base from which to develop further and expand RBM. In this regard, three best practice approaches have been identified and are discussed in the ensuing paragraphs.

First, use RBM champions at all levels. It is normal that there are individual leaders within a school that are eager to adopt RBM practices. These should be identified and provided with needed RBM support to become champions for RBM. Their talk with peers about their

own use of RBM can be a powerful way to advance RBM in the school (Binnendijk 2000: 24).

Another best practice approach is to use pilots. The OAGC (2000: 16) indicates that "Conducting pilot projects presents agood opportunity" for schools to test new management systems. According to Binnendijk (2000: 23), good practice begins with pilot efforts to demonstrate effective RBM practices. Moynihan (2006: 80) asserts "After a period of experimentation and lesson learning, the most effective practices" are institutionalised. Such a gradual approach avoids the dangers of trying to be too comprehensive too fast. Piloting is also advantageous in that it builds a support base "for RBM from the bottom up as it gains operational legitimacy and relevance" (Perrin 2006: 24). Pilots must be carried out for a considerable length of time to test all the elements of a new system.

Closely linked to piloting is the use of a transition period. The use of a transition period for trial and error is recommended since RBM values learning. During the transition period, it is expected that numerous approaches are tried, learned from and revised before the complete RBM system is put in place. According to Perrin (2002:11) the Government Performance and Results Act in the USA had a five-year transition period built into its design. It should be noted that the USA has the most experience with a results-oriented approach.

(c) The RBM system must be relevant

According to Mayne (2007a: 30), ownership and the ownership of the school RBM system would likely help ensure it is relevant. Relevant results information is useful and will increase the credibility of the RBM system (OAGC 2000: 18).

One best practice approach in building a relevant RBM system is to ensure the system can accommodate different types of school programmes. Thus, the system should be flexible, adaptable and adoptable (Perrin 2002: 29; Binnendijk 2000: 24).

The next section highlights the need for developing a sustainable RBM system in schools through building compatible RBM information systems.

3.2.4 Building compatible RBM information systems in schools

To develop and sustain an RBM system, a school needs to gather, analyse and communicate credible information on the results it is achieving. All this should be done in an economical and easy to use manner. An RBM regime will only be developed and sustained successfully in schools if the time and resources spent on developing the outcomes frameworks are accompanied by measuring and analysing the results that are achieved (Wimbush 2009: 10). Credible school performance information is essential, and for it to be useful, it must be valid and reliable (OAGC 2000: 18).

There are three ways to operationalise this principle. These will be discussed in the subsequent sections giving their best practices and best practice approaches.

3.2.4.1 Measuring the actual results and costs of school programmes

To collect credible results, information systems need to be in place in schools. According to Mayne (2007a: 31), school measurement occurs through both ongoing monitoring and evaluation, and the data and information collected need to be analysed and interpreted. Actual results and costs are assessed in the light of the performance expectations. Subsequent sections discuss the five best practices and best practice approaches identified in this regard.

(a) Learning from the extensive literature on measuring results data

Organisations have been measuring and analysing their performance for a long time and have thus built up extensive experience (Perrin 2002: 16). Schools need to make use of the existing knowledge, skills and experience through the best practice approaches explored in the ensuing paragraphs.

To develop a sustainable RBM system, the school should seek help from in-house measurement specialists developed through RBM capacity- building (Ortiz *et al.* 2004: 15). Another best practice approach involves seeking help from the literature and other similar

organisations. It is also advisable to make use ofthe outside consulting expertise available whose skills and experience can be determined beforehand (Perrin 2006: 47).

(b) Measuring sensibly

Mayne (2007a: 32) argues that measurement in the public and not-for-profit sectors such as education, is not an exact science. Thus, measurement entails the gathering of relevant information to enhance understanding of what a school programme is achieving and not trying to determine the exact magnitude of things (OAGC 2000: 16). In pursuance of this best practice, the following best practice approaches are handy.

First, prior to deciding on measures, thought should be given to what degree of certainty in measurement is required. There is also a need to match the measurement and analysis approach with the intended use of the information in the school. Thus, the measurement should be fit for the purpose.

Another best practice approach is to review and update the school measurement strategy and practice. The measurement and analysis practices used to gather data and information should be reviewed regularly and updated in a similar manner to what is done for performance indicators. Thus, reflecting on the experience in measurement to date and seeking more effective approaches, contributes to sensible school measurement and analysis (Perrin 2002:19; Mayne 2007a:32).

(c) Ensuring that the data are of good quality

To develop a sustainable RBM regime, it is imperative that we are cautious about the quality of data (Diamond 2005:11). Biased or inaccurate data should not be accepted or used. Nakamura and Warburton cited in Ittner and Larcker (2003: 21), comment that, "Even the perceived possibility that the information could be falsified can impair the usefulness of the system. " To ensure that the data collected are reliable or credible, a school can resort to the following three best practice approaches.

First, there is a need to build in quality assurance practices. It is imperative that the school implementing RBM build quality control practices into how data are gathered and analysed.

The other best practice approach is to set up and use an evaluation group to oversee data quality. To ensure that the information is credible, there needs to be some form of independent checking or auditing (Diamond 2005: 12). External or internal audit could be used to provide assurance that the school performance information being used is of adequate quality. The means of verification must also be communicated. According to USGAO (1997: 72), it has been found that simply describing the chosen method within annual reports provides an assurance to readers that information is credible. Auditing not only influences those using school performance information but also has an effect on those collecting the data. (Swiss 2005: 596) remarks, "The possibility of the audit is enough to increase efforts to maintain accurate records" in a school.

(d) Measuring key aspects of the outcome framework

To develop a sustainable RBM regime, it is important to measure the key aspects of the outcome framework. The school outcome framework provides an overview of the various aspects of performance of a programme. A complete description of school performance would discuss the extent to which the various results and linkages in the outcome framework have been verified in practice. The following best practice approaches will assist in the fulfilment of this practice.

First, track both the implementation and results achievement. While it is important to measure the results achieved, tracking how the school programme is being implemented also has to be done (Binnendijk 2001: 7).Without knowing just what was implemented on the grounds, it is impossible to recommend realistic improvements (Mayne 2007a: 33).

Another best practice approach to ensure that key aspects of the outcome framework are measured, is to recognise the challenge in measuring costs. According to Mayne (2007a: 34), measuring costs is not straightforward and in the rush to measure results, the challenges in measuring costs may not be given adequate attention.

The third best practice approach is to use both qualitative and quantitative measures and methods in schools. According to Perrin (2002:22), quantitative measures should only be used when they are appropriate and meaningful. Quantitative measures are most appropriate for routine operations but are not applicable for ever-changing initiatives such

as policy matters. On the other hand, qualitative methods can be used to understand the softer aspects of school performance better and to solicit views on performance (MfDR Sourcebook 2006: 32).

(e) Carrying out reviews of performance against expectations

To develop a sustainable RBM regime, there is a need to assess actual school performance against expectations on a regular basis. Thus, setting expectations is not just a paper exercise but also serves as an occasion to review school expectations.

The next section focusses on sustaining a RBM system by assessing the school programme contribution and influence.

3.2.4.2 Assessing programme contributions and influence in schools

To sustain a RBM system, practices should exist to assess the contribution to and influence of the outputs of a school programme regarding the observed results. There is also a need to assess how the programme contributes to the achievement of the school's objectives. This can be achieved through undertaking the following best practices and best practice approaches.

(a) Solving the contribution/attribution challenge

Addressing the contribution/attribution issue in schools can be achieved through the following best practice approaches.

First, consider an evaluation of school programmes. A well-designed evaluation may be able to provide valuable information on attribution. School performance information alone does not provide the complete performance picture (OAGC 2000: 19). Evaluations are crucial since they provide the analysis needed to explain why school targets were achieved or not (Diamond 2005: 26). The wide variety of school programme evaluation techniques compliments school performance measurement. USGAO (1997a:11) asserts that impact evaluations can also help schools attribute the achievement of the intended results to its programmes.

Another best practice approach is to give all the major school key stakeholders an opportunity to discuss their respective contributions to the achievement of results on a regular basis.

The following section highlights ways of developing sustainable RBM system in schools through developing a cost-effective, user-friendly RBM regime.

3.2.4.3 Developing a user-friendly RBM regime in schools

The emphasis should be on keeping the school performance management system simple and management useful (Binnendijk 2000: 23). RBM should be implemented by and within the capacities of the concerned school. In some cases, consultants take over the leadership of the exercise and spend a lot of effort introducing an RBM system that has worked in their own developed country but is inappropriate for the prevailing situation in the developing country. Consultants are reluctant to compromise on the complexity of the adopted system even though local capacities cannot cope with it. According to Saldanha (2002: 19), aspects that need to be kept simple to smoothen the process of implementation of RBM in schools include the type of performance indicators chosen, the methods for collecting, processing and reporting, the reporting period, type of feedback provided.

(a) Creating RBM information systems that are easy to use and justify the cost

According to Binnendijk (2001: 23), there is a danger that school performance measurement systems can become too complex, costly and time-consuming. If the RBM information systems are difficult to use or access, their usefulness will be limited, and the credibility of the RBM effort may be undermined (Mayne 2007a: 35). The following paragraphs highlight the best practice approaches that will help ensure that RBM information systems in schools are easy to use and worth the expense.

To develop a sustainable and effective RBM system, there is a need to customise RBM to the school. Experience argues against adopting an approach from elsewhere, (MfDR Sourcebook 2006: 33). Pollitt (2003: 122) argues that knowledge of what works and what does not, tends to be heavily context-dependent. Thus, a technique that succeeds in one place may fail in another (Amjad 2008: 7; Vahamaki *et al.* 2011: 45).

Another best practice approach is to build simple and user-friendly RBM information technology systems in schools. According to Bester (2012: 35):

> *…to keep school performance measurement systems simple, there needs to be an informed demand for performance information or results. This requires having dialogue with those who request the information to understand their needs and also to inform them of what is feasible or reasonable and what is not.*

The propensity towards complexity is usually driven by multiple reporting demands put on schools (Bester 2012: 35; Perrin 2002: 23). To practice appropriate simplicity in schools, reviewing and revising RBM is crucially important (Mayne 2007a:35).

The next section emphasises the need to make use of results information in the school for learning and managing to ensure a sustainable RBM system is developed.

3.2.5 Making use of results information for learning and managing the school

To develop and sustain a RBM system in schools, there is a need to emphasise the essence for school leadership to use RBM as a management tool and not just for reporting. Realising the benefits from RBM in schools requires using the information for both managing and learning. MacKay (2006:35) argues that utilisation of performance information is the yardstick for success.

This section dwells on the essence of developing a sustainable RBM system in schools through using school results information to inform, learn and improve processes, improving school performance using identifiable best practices and supporting school accountability processes with results information.

3.2.5.1 Using school results information to inform, learn and improve processes

How a school uses the performance information generated from its performance measurement activities will influence its long-term success in implementing RBM (OAGC 2000: 19). The school performance information gathered and assessed must be used and

seen to be used by the school leadership to budget, inform, improve and account for the performance of the school programmes (Mayne 2007a: 36; Binnendijk 2000: 24). The subsequent paragraphs discuss the best practices and the best approaches to using results information.

(a) Employing results information as additional information

School performance information should be utilised and be seen by teachers to be used (OAGC 2000: 19). If the school leadership uses the information to make important decisions, staff is motivated to accept results information. This will promote the acceptance of the new school performance appraisal system by staff. However, school results information is meant to inform decision-making and not replace it (Mayne 2007a: 36). Curristine (2005a: 142) argues that there is no mechanistic link between results information and decisions including in budgeting situations. Instead, many factors go into decisions about school programmes and results information should be one source. The following paragraphs highlight the best practice approaches to the best practice of using results information.

One of the best practice approaches is to ensure that school results information is used to inform planning. Results information in schools should be used to identify what has worked well and what has not worked well (Wimbush 2009:10).

The other best practice approach is to use outcome information as a mechanism for discussion. Thus, school outcome information should be used as a means to garner support for school plans and actions from teachers (Curristine *et al.* 2006: 25).

To develop a sustainable and effective RBM system results information can be used in addressing and analysing problems in the school. The school performance information collected has to be useful, and "it has to illustrate that it is worth the cost incurred to collect the data" (Itell 1998: 17).

(b) Using results information for both conceptual and practical purposes

According to Mayne (2007a: 37), one of the main aims of RBM is to provide a means by which schools can learn from evidence on past experiences. Thus, over time, cumulative evidence on performance leads to a better understanding of school programming and how different interventions work.

3.2.5.2 Improving school performance using identifiable recommended practices

Since RBM is about learning, school results information should be identifying where good practices can be found and on which can be built (Wimbush 2009: 11). To support and promote RBM further, it is important to demonstrate the benefits of RBM and communicate them to stakeholders. Thus, information regarding progress towards achieving school targets should be reported and communicated to all stakeholders. Since RBM should be implemented in a participatory approach, stakeholders will want to be kept informed of the progress (OAGC 2000: 20). As data usage increases and produces real benefits, the more confidence teachers will have in the data.

To develop a sustainable RBM system, reporting on the performance of programmes and the school as a whole needs to be done in a manner that is relevant, timely, understandable and reliable (Mayne 2007a: 37). Poate (1997: 57) explains that, "The manner in which the information is presented will affect its usefulness, with too much detail detracting from the utility of the information." Information should be presented in a way that can be understood easily by all key stakeholders. Therefore, ambiguous descriptions and technical jargon should be avoided since they often cause confusion and misinterpretation (Perrin 2002: 25).

To be most useful, a report on the performance of the school should tell a story in the sense of explaining what was expected, what was achieved and the salient lessons learnt (Diamond 2005: 17). Thus, a narrative is needed and not just the reporting of data on school indicators (Mayne 2007a: 38). Other than the use for decision- making, reporting may actually motivate teachers "to become more outcome oriented because it makes them more aware of their contribution to the school" (OAGC 2000: 21).

3.2.5.3 Supporting school accountability processes with results information

To develop and sustain a RBM system, it is imperative to inform school accountability processes with results information. Subsequent sections will discuss this principle.

(a) Deploying results in information to support accountability measurements

To develop a sustainable and effective RBM system, there is need to use relevant results information Behaviour in a school is determined by accountability practices within that particular school (Mayne 2007a: 38). To enhance school accountability practices, the following best practice approaches should be noted.

First, it is imperative that the school uses results-based performance agreements. Another best practice approach is to use balanced scorecards as a means to inform the accountability of school leadership. According to Kaplan & Norton (1992: 172), the balanced scorecard tracks all the important elements of a school's strategy from continuous improvement and partnerships to teamwork. The scorecard puts the strategy and vision at the centre and is based on the premise "that what you measure is what you get" and that allows schools to excel.

The next section focusses on developing a sustainable RBM system in schools by making the system adaptive.

3.2.6 Developing an adaptive RBM system

The OAGC (2000: 21) argues that even once RBM is implemented in the school, the work is not done. To ensure continued success and sustenance, the school performance management system must be monitored and improved continuously to ensure that it translates into a responsive system that reflects the changing environment in which it operates. The following sections highlight how RBM system can be made adaptive in schools.

3.2.6.1 Reviewing and updating key elements of the RBM regime regularly

A regular RBM system review in schools can help ensure that the data being collected are useful, the perverse behaviour is being checked, that measurement approaches are cost effective and that expectations set some time ago remain relevant in the current context (Mayne 2007a: 39 & Wimbush 2009: 12). To enhance the regular review and update, the following best practice approaches should be considered.

First, as part of the regular planning process, institute an annual review of the outcome frameworks for school programmes. This is aimed at identifying what needs to be changed and the reasons behind.

Another best practice approach of flagging problems as they arise could be used to complement an annual review of how things are going. To develop and sustain a RBM system in schools, it is important to have a system in place that records problems that users of the RBM system have identified during the year and whether or not something was done about the problem (Mayne 2007a: 39).

Another best practice approach that will sustain the RBM system in schools is to get feedback from the users of the system.This will help in identifying what was working well as well as problems with the aim of improving the system (Perrin 2002:11).

To develop a sustainable and effective RBM regime, it is also important to conduct an evaluation of the RBM regime after a few years of implementation. This will provide an assessment of how the system is working from an independent perspective.

3.3 SUMMARY

The chapter looked at the best practices and best practice approaches in developing a sustainable and effective RBM system organised around six principles. The principles discussed are based on the need to create high-level leadership in RBM, cultivating a results culture, developing outcomes frameworks with ownership and support at all levels, building compatible results-based information systems, using results information for learning and managing and developing an adaptive RBM regime. The best practices

recommended practices or effective practices and best practice approaches were discerned from the literature on RBM in both developed and developing countries, and international organisations.

Chapter four will include the sampling procedures, research methods, methods and steps to collect and analyse data from the sampled primary and secondary schools in the Goromonzi District and ethical considerations.

CHAPTER 4
RESEARCH DESIGN

4.1 INTRODUCTION

This study focussed on developing a sustainable RBM model for schools. In chapter two, an in-depth literature study was presented on the obstacles met in implementing RBM in the public sector. Chapter three presented an in-depth literature review on the principles of developing a sustainable RBM model for schools. It is against this background that this chapter presents the research design and methodology followed in addressing the research questions raised. Chapter four will state the main research question guiding the study, its aims and objectives, explore the research design used, the research methods that include population and sampling, data collection methods, data analysis and ethical considerations.The chapter concludes with a summary.

4.2 RESEARCH QUESTIONS

The concept of 'RBM' has become critical in developing countries' public sectors due to the increasing resource constraints and the subsequent need for more accountability and transparency regarding how public entities are managed (Pazvakavambwa & Steyn 2014: 245). However, there is not much information on the use of RBM in schools and models used are often "imported" from developed countries,hence the main research question of this study is: "What sustainable and effective RBM model can be developed for Zimbabwean primary and secondary schools in the Goromonzi District?"

The following sub-questions emanate from the main research question;

- Which obstacles do Zimbabwean primary and secondary schools In Goromonzi District encounter when implementing RBM?
- Which steps should be taken to develop and sustain effective RBM in Zimbabwean schools?

4.3 AIM OF THE STUDY

The over-arching aim of the study was to identify the obstacles that hinder the implementation of RBM and to develop a sustainable RBM model compatible with the Zimbabwean primary and secondary schools.

4.3.1 Objectives

To achieve the over-arching aim stated in the preceding section the following specific objectives were pursued.

These specific objectives are:

- To identify obstacles met in implementing the measures of effective RBM in Zimbabwean primary and secondary schools.
- To identify the best practices for developing and sustaining an effective RBM model.

The next section explains the research design used for the empirical investigation.

4.4 RESEARCH DESIGN

This study adopted a qualitative research design since it aimed at gaining understanding of school heads' and teachers' obstacles in the implementation of the integrated RBM model in a natural setting with the aim of developing a sustainable model (Bargate 2014:11, McMillan & Schumacher 2010: 373). A qualitative design gave the researcher a clear understanding of people's views and experiences and captured participants' perceptions as they occurred naturally and as reported in their actual words (Wiersma & Jurs 2009: 232; Johnson & Christensen 2012:18).

The design of this study involved an interpretive perspective. This interpretive approach involved:

> *…taking people's subjective experiences seriously as the essence of what is real for them (oncology), making sense of people's experiences by interacting with them and listening carefully to what they tell us (epistemology) and making use of qualitative research techniques to collect and analyse information (Blanche, Kelly & Durheim 2006: 273).*

Thus, this study was interpretive in that it was primarily concerned with meaning and attempted to establish teachers' and school heads' understanding of RBM in a school situation. This paradigm involved taking school heads' and teachers' subjective experiences and making sense of those experiences by interacting with them and listening carefully to what they had to say. This was achieved through face- to- face interviews with selected school heads and teachers in their natural settings that were the ten secondary schools in the Goromonzi District of Mashonaland East Province (McMillan & Schumacher 2010: 315). Thus, the interpretive paradigm entails understanding participants' inner worlds with the emphasis on both experience and interpretation (Johnson & Christensen 2012: 265).

Furthermore, a constructivist research design was employed since it focussed on the viewpoints, perspectives and beliefs of the participants (McMillan & Schumacher 2010: 347). The participants' views were considered and described within a natural setting (the school) in terms of their opinions about the obstacles facing the implementing of RBM This is the central perspective of constructivism. All this was achieved mainly through social interaction (individual interviews and focus group interviews) undertaken in a social setting, that is, the school (Loh 2013: 1).

To gain insight into and familiarity with the research problem, this study was exploratory. The exploratory study method was relevant because there were few studies pertaining to the research problem, that is, the implementation of RBM in schools (Baxter & Jack 2008: 548). In fact, studies on the implementation of RBM, especially in the developing countries' education sectors, were scarce. In using exploratory research, the researcher attempted to discover new ideas through explored literature, school heads, teachers, and documentation to clarify the exact nature of the problem of implementing RBM in schools (Creswell 2012: 543; Johnson & Christensen 2012: 18). Whilst the literature review in chapters two and three served to validate the research problem, it could not adequately

address the central phenomenon, that is, the challenges of implementing RBM and developing a sustainable model for Zimbabwean schools, hence the need to learn more from the research participants through exploration (Creswell 2012: 16).

4.4.1 Case study

Since the focus of the study was to answer the "how" question, this research took the form of a case study that aimed to provide an in-depth description of the implementation of RBM in schools (Yin 2003:15). This qualitative case study afforded the researcher an opportunity to explore the implementation of RBM in context using multiple data sources (Baxter & Jack 2008: 544). In a case study, data analysis focusses on one phenomenon that the researcher wants to understand in depth (Yin 2003:15). The case study method was found to be the most suitable for providing a complete understanding of the phenomenon of RBM under research. The case study was restricted to qualitative research as it attempted to create an understanding of RBM through the recounting of the critical information as given by school heads and teachers (McMillan & Schumacher 2010: 347).

This study involved interactive field research that called for face-to-face interaction between the researcher and selected school heads and teachers. An advantage of this approach was the close collaboration between the researcher and the participants that enabled the participants to "tell their stories" (Baxter & Jack 2008: 353). It was through these stories that participants described their realistic views on the implementation of RBM thereby enabling the researcher to understand their actions better. The data collected were in the form of words, in the form of quotes from the transcripts of the individual and focus group interviews with research participants. The school heads and teachers' beliefs, opinions, thoughts and actions were recorded, explored, examined, described and analysed.

Non-interactive methods of data collection were also used. These included the field notes written during visits to the school before, during and after the interviews with the participants. The participants' expressions and attitudes exhibited when responding to questions, how well they interpreted the questions and their contributions to discussions were noted (Englander 2012: 27). (See section 4.4.2.5 for more on field notes). Another non-interactive method used was the analysis of official RBM records at schools that

include circulars and individual work plans. The next section covers the research methods used in the study.

4.5 RESEARCH METHODS

This section focusses on the research methodology and explains the population and sampling procedures, data collection methods and the researcher as a data collection instrument.

4.5.1 Population and sampling procedures

Palys, in Given (2008: 697), asserts that "purposive sampling is virtually synonymous with qualitative research," hence, this study employed the concept of 'stakeholder sampling,' a kind of purposive alternative relevant where major stakeholders involved in administering a programme are identified for inclusion as research participants. To best explore and understand the obstacles to implementing a RBM programme in schools and subsequently, develop a sustainable model, purposive sampling was used to select experienced school heads and teachers who provided information rich data that answered the research questions (Creswell 2012: 206).The school heads and teachers were key stakeholders in the implementation of RBM in schools. The District Education Officer for the Goromonzi District, who supervised and monitored the institutionalisation of RBM in schools, assisted with the selection of five secondary and five primary schools whose school heads were trained in RBM and exhibited a keen interest in its implementation. School heads were also selected in terms of gender and school headship experience. The table below shows the description of the schools purposefully selected with the assistance of the District Education Office

Table 4.1 Sampled schools

School	Sector	Responsible authority	Location	Number of teachers
A	Secondary	Government	Rural area	44
B	Secondary	Church run	Rural area	38
C	Primary	Council	Urban area	34
D	Primary	Government	Rural area	17
E	Secondary	Council	Rural area	28
F	Primary	Council	Farming area	12
G	Secondary	Council	Rural area	27
H	Secondary	Council	Urban area	38
I	Primary	Church run	Rural area	16
J	Primary	Private	Urban area	15

Table 4.1 shows the sampled schools and descriptions of the sectors, the responsible authority, location and teacher establishment. The sampled schools depicted the schools found in the Goromonzi District. The location, the responsible authority and the number of teachers at each school shows that the schools were varied and depicted the district. This study employed site triangulation through the involvement of ten schools at different locations (Shenton: 2004: 66). The sample was macroscopic, accordingly, the investigator was confident that the participants were typical of members of a broader selected society (Hamel, Dufour & Fortin, cited in Shenton 2004: 65)

The information rich school heads of the ten selected schools were key participants in the study. The selected school heads assisted in the selection often teachers at each of their schools who participated in focus group interviews. The teachers were selected in terms of different age groups, teaching experience, gender and more importantly, because of their keen interest in the implementation of RBM. The teachers selected to participate in the focus group interviews were regarded as information rich and were prepared to share their views and experiences in the implementation of RBM (McMillan & Schumacher 2010: 138). Each of the ten focus groups consisted of seven experienced and three beginner (new) teachers. Thus, a total of one hundred teachers participated in the focus group interviews.

The focus group interviews were followed up with individual interviews with some of the teachers (Shenton 2004: 67).Two teachers who participated actively in the focus group interviews and exhibited a keen interest in the phenomenon, namely, the implementation of RBM and were thus information rich, were selected from each focus group. Thus, a total of twenty teachers participated in individual teacher interviews.

4.5.2 Data collection

The data collection methods selected in this research project provided a rich empirical basis upon which the study drew conclusions about the development of a sustainable RBM model for schools. This case study research was characterised by its use of a variety of data sources, a strategy that promoted data credibility (Baxter & Jack 2008:554). The use of varied data sources enabled the researcher to compare and contrast findings from these as a form of triangulation (Burns 2005: 357; Creswell 2012: 212). Data for the study were collected through semi-structured focus group interviews that were employed for gaining an in-depth understanding of the lived experiences of the teachers in the implementation of RBM and in-depth semi-structured individual interviews that were used to collect data on participants' personal perspectives and experiences with regard to participating in the RBM programme (Johnson & Christensen 2011: 198). Field notes were made with the purpose of collecting data on the behaviour of the participants during interviews. These data collection methods will be explained in detail in the subsequent sections.

4.5.2.1 Document analysis

In an endeavour to obtain useful background and historical information on RBM, related policies and official documents on the phenomenon were analysed (Punch 2011: 160). These included government policy circulars on RBM, the Ministry of Primary and Secondary Education Departmental Integrated Performance Agreement (DIPA), the Departmental Performance Work and Monitoring Plans (DPWMP) and individual work plans for the participants.These documents helped to provide a "behind the scenes" look at the RBM programme that could not be observed directly(Hancock, Ockleford & Windridge 2009: 19) and helped with verifying details that participants had supplied (Shenton 2004: 66). Thus, these documents were analysed to give insight into the implementation of integrated RBM in schools.

4.5.2.2 Individual interviews with school heads

Since school leadership plays a critical role in the implementation of RBM, face- to- face interviews were conducted with school heads due to their flexibility as a data collection tool (Punch 2011: 146). Face- to- face semi-structured interviews with open-ended questions, following a "broad-to-narrow" approach when the response communication deepened (Creswell 2012: 216) were conducted for school heads to collect data on their personal perspectives and experiences in implementing integrated RBM.Semi-structured interviews were used since the study attempted to delve deeply into the topic and understand the answers provided by the participants thoroughly (Harrell & Bradley 2009: 27).Thus, the rich data obtained from school heads enabled the study to get more information about the obstacles faced in the implementation of RBM in schools and suggestions on developing a sustainable RBM model. Interviews with school heads were carried out at their respective schools and done after school to ensure that the smooth flow of the schools' operations was not disturbed. Each interview lasted for approximately thirty minutes and all the interviews were tape-recorded and transcribed.

4.5.2.3 Focus group interviews with teachers

For the purpose of collecting large amounts of data in a short period of time focus group interviews with teachers were carried out (Harrell & Bradley 2009: 79). Moreover, according to the research, group dynamics were shown to elicit more information since participants were more confident about portraying their true feelings within a group with peer support than in individual interviews (Englander 2012: 27).Ten semi-structured focus group interviews with open-ended questions were conducted at each of the ten participating schools. Each focus group consisted of ten teachers. The focus groups were comprised of seven experienced teachers and three beginner (new) teachers. The school heads assisted in selecting teachers who were trained in RBM and showed a keen interest in its implementation. Once again, the focus group interviews were held at each of the participating schools after school to ensure that learning and teaching were not disrupted. The focus group interviews were voice recorded and took approximately forty minutes.

4.5.2.4 Individual interviews with teachers

To verify the researcher's opinions on the data collected during the focus group interviews, semi-structured interviews with open-ended questions were held (Hancock, Ockleford & Windridge 2009: 17) with twenty information rich teachers selected from each of the ten focus groups. Two teachers who were trained in RBM and portrayed a better understanding of RBMthrough active participation in the focus group interviews were selected from each of the ten focus groups to participate in these interviews.Thus, two teachers were selected per school. These individual teacher interviews took place at the participants' schools after school. The interviews were voice recorded and took approximately thirty minutes.

The semi-structured interview schedules used in this study were developed from the literature review. The study used separate semi-structured interview schedules for the school heads, the individual teachers and the focus groups for teachers. (See Appendices E, F and G for the interview guides for school heads, focus groups and individual teachers respectively). All the questions in the interview schedules were directly related to the objectives of the study and followed a given sequence that was adhered to during each interview. Thus, the written questions in the interview schedules were asked orally in exactly the same sequence and wording with appropriate probing questions where necessary (McMillan & Schumacher 2010: 206). The use of probing techniques motivated the research participants to give more in-depth responses to questions and ensured that theoretical saturation was reached (McMillan & Schumacher 2010: 206). The open-ended questions used gave participants the freedom to elaborate further on their responses (Harrell & Bradley 2009: 24).

The interview schedules for school heads, teachers and focus groups were set around the following themes:

- The obstacles faced with regard to implementing integrated RBM.
- The steps that should be taken to develop a sustainable RBM model.
- The suitable or appropriate RBM model for the Zimbabwean situation.

4.5.2.5 Field notes

Field notes were recorded throughout the empirical phase of the research study. The recording of observations done during the individual and focus group interviews was done and reflected on by the researcher (McMillan & Schumacher 2010: 350). These observations played a major role in producing the data related to the participants' "body language and effect in addition to their words" (Marshall 2006:99). Since the interviews served as the primary data collection method, observations were employed to support the findings derived from the interviews.

Descriptive field notes were written after each interview concerning whether the school heads and teachers focussed on the questions asked, their participation levels and their contribution to debates and attitudes when responding to questions. The descriptive field notes included descriptions of the interview processes and how they unfolded and reflective field notes included the researcher's thoughts, insights and personal feelings as the interviews proceeded (Creswell 2012: 203).The participants' comments before, during and after the interviews and the tentative interpretations made during data collection and data analysis were also of paramount importance.

The next section highlights the role of the researcher as a data collection instrument in this empirical study.

4.5.3 Researcher as an instrument

Since this research study aimed at gaining an understanding of the school heads' and teachers' perceptions, opinions, concerns and experiences in their real world conditions using the integrated RBM model, the qualitative design appeared appropriate, hence, a "wide and deep-angle lens" was used to examine their viewpoints and experiences in their natural settings (Johnson & Christensen 2012: 35). This study aimed to understand the participants' viewpoints and make sense of their perspectives through direct personal contact, which motivated the adoption of a qualitative research approach. Thus, in an endeavour to explore the research phenomenon the researcher acted as an "instrument of data collection" (Johnson & Christensen 2012: 36).

The context in which the participants shared rich data regarding their experiences of the RBM programme was created through creating an atmosphere of trust for them by putting them at ease and displaying the proper listening skills. The school heads and teachers were engaged according to their individual personalities, age groups, experiences and ideologies (Family Health International 2012: 4). Thus, the researcher entered into a collaborative partnership with the participants and ensured the free flow of communication with the main aim of creating an understanding of the phenomenon of RBM (McMillan & Schumacher 2010: 12).

To avoid researcher bias and subjectivity, a number of strategies were put in place (Creswell 2012: 208). Efforts were made to pay attention to the participants' own words and transcribe the interviews verbatim and observe the ethical code of conduct that is needed when carrying out an empirical investigation. Value judgements that might have biased the findings of the research were avoided and a neutral stance was maintained during the entire interview process. The participants' initial responses were probed, and this encouraged them to elaborate on their answers. These measures were taken to ensure that the research's findings were the result of the experiences and ideas of the participants, and not the researcher's preferences (Shenton 2004: 72). Triangulation of the data collection sources, data sources and research sites was employed to reduce the effect of researcher bias (Loh 2013: 5). The next section focusses on the data analysis.

4.6 DATA ANALYSIS

Data analysis was done with the aim of transforming information or data into an answer to the original research question (Kawulich 2004: 96). In this study, data analysis was done iteratively, consequently, the data collection, processing, analysis and reporting were intertwined (Baxter & Jack 2008: 554) with the aim of structuring and bringing order to the voluminous amount of data collected through the individual and focus group interviews (Leech & Onwuegbuzie 2007: 564).Data analysis followed a cyclical process during which collected data were analysed, additional data collected and then analysed to provide an explanation about the single phenomenon of interest. Interim analysis (a cyclical process) continued until the topic, namely, the implementation of RBM in schools was understood (Johnson & Christensen 2012: 520).To understand and illuminate the overall case, data from the varied sources were converged in the analysis process and not handled

individually (Baxter & Jack 2008: 554). The subsequent paragraphs explain the six steps that were followed in data analysis and interpretation (Creswell 2012: 237).

The first step involved transcribing all the individual and focus group interviews. Voice recordings and field notes were changed from spoken and written words to text data. Data was explored in detail to start the coding process, and it was organised according to participants and the ten research sites involved.

The coding of concepts was done as the second step. This coding or constant comparison analysis (Leech & Onwuegbuzie 2007: 564) was done after the first interview to distinguish between usable and non-usable data (Johnson & Christensen 2012: 403). The coding stage involved the labelling of concepts and important words and phrases in the collected data (Corbin & Strauss 2008:163; Johnson & Christensen 2012: 403). Data were organised and reorganised into categories to facilitate the identification of relationships between and among categories (Kawulich 2004: 106). As pointed out earlier, the data already collected was analysed while new data were being collected.

During the third stage, the transcribed data and other forms of data from the documentary analysis and field notes were read and reread to identify the themes and categories (Corbin & Strauss 2008:163; Johnson & Christensen 2012: 403). Vivo coding was added to the themes to "prioritise and honour the participant's voice" (Saldanha 2009:74). Vivo coding entails the process where an interview transcript is assigned a label, for instance, a concise phrase in order not to lose the main idea of what the participant is describing.

The fourth step involved reflecting on the collected data and using analytical thinking to develop a deeper understanding of the information provided by participants and information gleaned from the field notes and official documents (Johnson & Christensen 2012: 403).

At the fifth step, the study reached a stage where all themes were well developed, and further analysis on collected data did not add any new information. Thus, the study reached 'theoretical saturation' (Corbin & Strauss 2008: 163).

Step six involved interpretations to fit the themes that captured the major categories of information. The study derived meaning from the narrative and coding activities (Kawulich 2004: 106). At this stage, member checking was done to give participants a chance to give alternative interpretations, check the accuracy of the study (Loh 2013: 6) and enhance the trustworthiness of the study (Johnson & Christensen 2012: 4004). A literature control provided a benchmark for comparing and contrasting the findings of this study with findings of previous studies addressing comparable issues (Shenton 2004: 69).

Throughout the whole process of the qualitative data analysis, the researcher was engaged in "memoing," a process of recording reflective notes concerning what was learnt from the collected data (Johnson & Christensen 2011: 520). The next section will focus on the ethical considerations to be made in undertaking this study.

4.7 ETHICAL CONSIDERATIONS

This section is intended to highlight ethical issues relevant to the undertaking of this qualitative research study. This study was mainly concerned with the ethical issues brought about by the interaction between the researcher and the study participants (Family Health International 2012: 8). Study participants' privacy, confidentiality and anonymity were considered vital in this study (Johnson & Christensen 2012: 103) due to the fact that they guarantee high information disclosure (Creswell 2012: 230). This investigation was guided by the following ethical measures.

4.7.1 Approval for conducting the research

Permission to conduct the research was sought from the Provincial Education Director, the Mashonaland East Province, the Ministry of Primary and Secondary Education, under whose jurisdiction the schools in the Goromonzi District fall (See Appendix A)and was subsequently granted (See Appendix B).To ensure that the research complied with ethical principles the researcher, as a student of the University of South Africa applied for ethical clearance from the university.

4.7.2 Informed consent and voluntary participation

Since this study required the time of the participants and also that they disclose personal information about themselves, it was imperative that informed consent be obtained from them (Babbie 2007:62). All the participants were informed that their participation in the study was voluntary since they could not be forced to participate against their will (McMillan & Schumacher2010:118). Comprehensive information pertaining to the study was given to the participants in obtaining voluntary consent from them. The name and contact details of the researcher and the supervisor, the intention of the research,the benefits, the nature of the research, the involvement of the participants in the research and their rights were explained to the participants and their questions concerning the research were answered (Johnson & Christensen 2012: 114-115; Unisa Policy on Research Ethics 2014: 13-17). Letters were drawn up to inform the participants about the details of the research (Appendices D and E). The information contained in these letters was explained verbally to the participants. After the thorough explanation, the participants' signatures along with that of the researcher were taken as evidence of the informed consent. The participants were reminded that they reserved the right to withdraw from the study at any time during the process without any negative consequences (McMillan & Schumacher 2010: 118). Thus, permission was requested and granted by all the participants before the commencement of the interviews.

4.7.3 Privacy, confidentiality and anonymity

The participants were assured that their right to privacy was respected. Accordingly, the personal information and records accessed through document analysis and interviews were held in strict confidence and participants' identities were not revealed in the research report (McMillan & Schumacher 2010: 121). There was no link between the data and the research participants. To ensure confidentiality, the researcher kept a clear boundary between what he was told by participants and what he told them. No information was passed from one research participant to another.

To ensure privacy and anonymity, letters and numbers were assigned to each individual participant to protect their names, identities and settings (McMillan & Schumacher 2010: 121).The use of code names for people and places ensured participants' anonymity. School

head participants were identified as SH A, SH B, SH C, for example, and focus groups as FG1, FG2, FG3, for example. Teacher participants were identified as T1, T2, T3, for example, while schools were identified with the letters of the alphabet, that is, A-J. These codes were used to break discernible connections between the data and individuals or schools, and this ensured anonymity in this study (Johnson & Christensen 2012: 104, Creswell 2012: 232). Thus, research participants' privacy, anonymity and confidentiality was maintained throughout the important stages that included data collection, analysis and storage (Mouton 2006:244).The research records were stored under lock to protect the confidentiality of records and the anonymity of participants.

4.7.4 Permission to tape-record interviews

As mentioned earlier, this study used the qualitative interview approach to gather information rich data about the participants' thoughts, beliefs, knowledge and perceptions about RBM, a process that allowed the researcher to enter into the inner world of another person to gain an understanding of that person's perspectives (Johnson & Christensen 2011: 202). To capture all the vital information, all the interviews were audio recorded. All the participants were informed at the onset that all interviews would be recorded by means of an electronic recording device and that they had the right to withdraw from the study if they felt uncomfortable (Strydom 2007:61).This was included in the consent letters, hence, the voice recording of the interviews never proceeded without the consent of the participants to avoid deception (McMillan & Schumacher 2010: 119-123).

4.7.5 Measures to ensure trustworthiness

This section focusses on the quality criteria employed in this study to ensure the trustworthiness of the research. Different strategies for validation were employed to prevent the selective recordings of information, subjectivity and perceptions of the researcher that would have affected data interpretation (Johnson & Christensen 2012: 264-265; Loh 2013: 4).Four criteria namely credibility, applicability, consistency and neutrality as proposed by Guba and Lincoln (1985), cited in Creswell (2012: 259), were used to ensure the trustworthiness of the qualitative data.

4.7.5.1 Credibility

In addressing credibility, a critical factor with regard to establishing trustworthiness, the study focussed on determining the congruency of the research findings with reality (Merriam, cited in Shenton 2004: 64). The subsequent paragraphs explain the measures put in place to ensure credibility.

Various data collection strategies (triangulation) were employed during this research to enhance the credibility (truth value) of the study (Loh 2013: 5; Morrow 2005: 252). The concept of 'iterative questioning' whereby questions previously asked were rephrased to check if contradictions did not emerge, was also employed (Shenton 2004: 67). No falsehoods were detected in the study.

An in-depth understanding of the implementation of RBM was obtained by spending a considerable amount of time during a prolonged data collection period with participants and thereby creating detailed records on the phenomenon under study (Baxter & Jack 2008: 556). Data were collected over a relatively long period and this provided opportunities for interim data analysis, preliminary comparisons to refine ideas and to ensure a match between evidence-based categories and participants' reality (Loh 2013: 5; McMillan & Schumacher 2010: 331). The ten selected schools were visited before the interviews, during the interviews and again after the interviews to ensure that transcriptions were correct and to seek clarity on information that seemed vague.

To ensure the credibility of the study, shortly after the transcription of the interviews, a copy of the transcript was given to the participants to give them an opportunity to confirm the accuracy of the conversations and to add or clarify any points that they wished (Leech & Onwuegbuzie 2007: 575).Since the purpose of this qualitative research was to understand the phenomena under study through the eyes of the participants, the participants were also given access to the findings of the research to verify its authenticity (Loh 2013: 4).

To bolster the credibility of the study, participants were given the opportunity to refuse to participate or to withdraw from the study at any point to ensure that only those teachers and school heads who were prepared to take part and give data freely were involved (Shenton 2004: 66) .

4.7.5.2 Applicability

To ensure applicability (transferability), the research study provided a 'thick description' of the phenomenon under study (Loh 2013: 5; Morrow 2005: 252). A detailed descriptive information about RBM was presented in this research project, and this information may be used for comparison in future research using similar contexts, settings or groups (Shenton 2004: 69).In effect, the thick descriptions employed in the study conveyed the real situations that were investigated, the surrounding research contexts, processes and participants (Morrow 2005: 252).

4.7.5.3 Consistency

The use of "overlapping methods" (triangulation) of data gathering, that is, the focus groups interviews, individual interviews and document analysis helped to ensure the dependability of the study (Shenton 2004: 65). It was also noted that participant consistency (dependability) prevailed in the study when certain interview questions that were closely related, were answered consistently in the same way by the participants (Creswell 2012: 159). Another form of triangulation involving the use of varied participants was used to guarantee consistency. Triangulating through data sources enabled the study to verify participants' viewpoints and experiences against others and resultantly producing rich information based on the contributions of many people (Shenton 2004: 66).

4.7.5.4 Neutrality

To guarantee neutrality (confirmability), the study ensured that there was objectivity throughout the whole research process by guarding against researcher bias that could easily have influenced the description and interpretation of data (Morrow 2005: 252).This was achieved through the process of"member checking"that involved taking the descriptions, themes and interpretations of the data analysis back to the participants to give them a chance to give alternative interpretations (Loh 2013: 6). "Member checking" ensured that the study was shaped by the research participants' involvement only (Shenton 2004: 68).The transcribed data was also submitted to research participants who verified and confirmed that transcriptions were authentic and recorded accurately (Creswell 2012: 259).

In addition to the foregoing, the following strategies were used to ensure trustworthiness in this research study.

- **Field research**

All the interviews were done at the schools, which were the natural settings of the participants to reflect their lived experiences (McMillan & Schumacher 2010: 331).The schools that were the school heads' and teachers' natural settings reflected the reality of their experiences more accurately than laboratory settings would (Shenton 2004: 73).

- **Verbatim accounts**

Verbatim accounts in which the participants' exact words were provided in direct quotations were used (Johnson & Christensen 2012:267). In this study, verbatim accounts and direct quotes from transcripts were extracted to illustrate the tone, sense, intentions and emotions of participants (Morrow 2005: 253).

- **Mechanically recorded data**

For the purpose of this study, a tape recorder was used to record the interview proceedings. This was advantageous since accurate and relatively complete records of conversations between people were provided (McMillan & Schumacher 2010: 331)

- **Participants' language**

The interviews were conducted in the participants' official language which was English (McMillan & Schumacher 2010: 331).To ensure maximum understanding by participants, simple language was used. Research participants were also probed to clarify some meanings of their statements.

4.8 SUMMARY

Chapter four outlined the research design and the research methods used in the empirical phase of this study. This chapter explained the research question, aims and objectives, the research design, sampling methods, data collection methods, data analysis strategies that were used, as well as ethical considerations associated with the study. The results and findings of the empirical investigation will be presented and discussed in the next chapter.

CHAPTER 5
DATA ANALYSIS AND DISCUSSION OF RESEARCH FINDINGS

5.1 INTRODUCTION

Chapter four clearly outlined the research design and methodology used in this empirical study. Chapter five presents a discussion of the research findings based on the data analysis process to link the research questions to answers. This study explored the experiences of school heads and teachers in relation to the implementation of the IRBM with the aim of developing a sustainable RBM system in Zimbabwean primary and secondary schools. Therefore, an analysis was done of the research results, obtained from individual semi-structured interviews with school heads and teachers and focus group interviews with teachers. Thus, this chapter analyses the findings obtained from the interviews and gives a detailed interpretation as guided by the theoretical framework outlined in section 1.5 and the literature study conducted in chapters two and three.

5.2 PROFILES OF THE PARTICIPANTS

At the selected ten schools, interviews were held with:

- The school head (as an individual).
- Eight to ten teachers (as members of focus groups).
- Two teachers (as individuals).

To foster the principle of confidentiality as highlighted in section 4.5, the selected ten schools were coded in the following way: school A, school B, school C, school D, school E, school F, school G, school H, school I and school J. The participating ten school heads were coded in the following way: the school head of school A as(SH A),the school head of school B as (SH B),the school head of school Cas (SH C), and so on,for the rest of the schools.The ten school heads consisted of a fair mixture of males and females. Teacher participants at each of the ten schools were coded as follows: at school A (T1-T10), at school B (T1-T9), at school C (T1-T10), at school D (T1-T8) and so on, depending on the number of teachers available for participation in the focus group interviews. The teachers

who took part in the individual interviews were drawn from the focus groups, hence they continued to use the codes given during the focus group interviews. For example, at school A, teachers T3 and T9 were selected for individual teacher interviews. As explained in section 4.5, the selection was based on the participants' knowledge and enthusiasm for the phenomenon under study, that is, RBM. In each of the ten schools, the teachers who took part in the study included an almost equal number of males and females. In total, ten school heads and ninety-six teachers participated. Ninety-six teachers participated in the focus group interviews and of these, twenty went on to participate in individual teacher interviews. The coding was done in such a way that there was no way that the data obtained could be linked to the participants or settings. This not only ensured the anonymity of the participants but also the data confidentiality (McMillan & Schumacher 2010:121). Table 5.1 shows the participants' profiles and coding in specific detail.

Table 5.1: Participant profiles and coding

SCHOOL	SECTOR - SECONDARY (S) - PRIMARY (P)	SCHOOL HEAD (SH) INTERVIEW (INDIVIDUAL)	TEACHER (T) INTERVIEW (FOCUS GROUP)	NUMBER OF TEACHER PARTICI-PANTS	TEACHER (T) INTERVIEW (INDIVIDUAL)
A	S	SH	T1 T2 T3 T4 T5 T6 T7 T8 T9 T10	10	T3 T9
B	S	SH	T1 T2 T3 T4 T5 T6 T7 T8 T9	9	T1 T7
C	P	SH	T1 T2 T3 T4 T5	10	T6

			T6 T7 T8 T9 T10		T8
D	P	SH	T1 T2 T3 T4 T5 T6 T7 T8	8	T2 T4
E	S	SH	T1 T2 T3 T4 T5 T6 T7 T8 T9 T10	10	T7 T8
F	P	SH	T1 T2 T3 T4 T5 T6 T7 T8 T9 T10	10	T1 T2
G	S	SH	T1 T2 T3 T4 T5 T6 T7 T8 T9 T10	10	T5 T9

H	S	SH	T1 T2 T3 T4 T5 T6 T7 T8 T9 T10	10	T1 T3
I	P	SH	T1 T2 T3 T4 T5 T6 T7 T8 T9 T10	10	T1 T2
J	P	SH	T1 T2 T3 T4 T5 T6 T7 T8 T9	9	T1 T2

5.3 IDENTIFICATION OF THEMES AND CATEGORIES

A qualitative data analysis process as described in sections 1.6.2 and 4.4 was used to analyse and interpret the raw data collected through the interviews and document analysis. The raw data obtained from the individual school heads' semi-structured interviews, teachers' focus group interviews and teachers' individual interviews were analysed systematically and developed into main themes, categories and sub-categories based on the aim of the study as discussed in section 1.4. Categorising the information obtained in this

empirical study assisted with the content analysis and interpretation (Wiersma & Jurs 2005:216).

Table 5.2 depicts the themes, categories and sub-categories that guided the analysis and findings of this empirical study.

Table 5.2: Main themes, categories and sub-categories

THEME 1	**5.4.1 THE IMPLEMENTATION OF IRBM IN THE SCHOOL SYSTEM**
Category 1	5.4.1.1 Role played by the staff in the implementation of IRBM
Category 2	5.4.1.2 The perceived effects of IRBM on teachers' and school heads' careers.
THEME 2	**5.4.2 OBSTACLES WITH IMPLEMENTING IRBM**
Category 1	5.4.2.1 School organisational challenges with implementing RBM
Sub-category 1	(a) School organisational climate and culture
Sub-category 2	(b) Resistance to change
Sub-category 3	(c) No staff incentives
Sub-category 4	(d) Distorting behaviour
Sub-category 5	(e) Non-use of school performance information
Category 2	5.4.2.2 Technical challenges to the implementation of RBM
Sub-category 1	(a) IRBM Model is too complicated
Sub-category 2	(b) Lack of resources
Sub-category 3	(c) Lack of training and support
Sub-category 4	(d) The challenge of measuring school performance and attribution

THEME 3	**5.4.3 CHARACTERISTICS OF A SUSTAINABLE RBM**
Category 1	5.4.3.1 Ensuring system adaptability and flexibility
Category 2	5.4.3.2 Fostering effective leadership and teamwork
Category 3	5.4.3.3 Encouraging effective knowledge management
THEME 4	**5.4.4 STRATEGIES FOR DEVELOPING A SUSTAINABLE RBM SYSTEM**
Category 1	5.4.4.1 Creating favourable conditions
Sub-category 1	(a) Providing focussed leadership
Sub-category 2	(b) Customising the RBM system
Sub-category 3	(c) Creating supporting systems
Sub-category 4	(d) Providing enough resources
Sub-category 5	(e) Providing training and education
Sub-category 6	(f) Ensuring staff participation
Category 2	5.4.4.2 Building credible performance measurement systems
Sub-category 1	(a) Developing a simple and practical measurement system
Sub-category 2	(b) Providing and making use of baseline data
Sub-category 3	(c) Upholding consistency in implementation
Category 3	5.4.4.3 Using school performance information
Sub-category 1	(a) Demonstrating the use of school performance information
Sub-category 2	(b) Providing incentives
Sub-category 3	(c) Reviewing and adjusting the system regularly

Table 5.2 shows the major themes that emerged from the verbatim transcripts. The table focusses on how the raw data obtained from the teachers' and school heads' interviews and documents as discussed in sections 1.5 and 4.5 were analysed and collapsed into four main themes, ten categories and twenty-one sub-categories. The following are the major themes established in the study:

- The implementation of IRBM in the school system.
- Obstacles in implementing integrated RBM in schools.
- Characteristics of sustainable RBM system.
- Strategies for developing sustainable RBM system.

The categorisation of the raw data in Table 5.2 assisted with discussing the research findings. A discussion of the research findings follows in the next section.

5.4 DISCUSSION OF RESEARCH FINDINGS

As highlighted in Table 5.2, four major themes were identified with each major theme comprising of a number of categories and sub-categories. The identified themes, categories and sub-categories served as the main headings and subheadings for the discussions below. Thus, the themes and categories are discussed in detail in the subsequent paragraphs and they present the major findings of this empirical study. In addition, the discussion will include selected applicable verbatim quotations to give information about participants' interpretations and personal meanings. Thus, quotations from the verbatim transcripts will be utilised to support the findings (Johnson & Christensen 2012: 267) and to emphasise the pertinent research findings. The next section discusses the first theme and its two categories.

5.4.1 Implementation of IRBM in the school system

The school heads and teachers were key stakeholders in the effectuation of RBM in the schools. The empirical study elicited responses regarding the school heads and teachers' perceived roles in the effectuation of RBM and its effects on their careers. It is important from the onset to point out that according to the empirical study, participants were not against the idea of RBM but had serious misgivings about how it was introduced and implemented.

5.4.1.1 Role played by staff in the implementation of IRBM

All ten school heads who participated in the study were in agreement that their role was to ensure that the IRBM was implemented without fail. The school heads of schools A, B, D, F, G, H and J stated categorically that their main responsibility in the IRBM was to ensure that teachers were trained on the relatively new phenomenon and that each and every teacher at their schools developed a work plan for a particular performance period which runs from January to December as required by the results-based personnel performance system (RBPPS).All the school heads mentioned that their role was routine and mechanistic

since they were expected to monitor the development of work plans at the beginning of the year, conduct periodic reviews, rate teachers by mid-November and forward the summary ratings to the District Education Officer for onward transmission to the Provincial Education Director who in turn forwarded these to the Secretary for the Ministry of Primary and Secondary Education and finally to the Public Service Commission.

School head A explained:

> *My role in the implementation of IRBM is simply to make sure that teachers are trained, 'make' them develop individual work plans for the performance year and rate them at the end of the cycle. Idon't [sic] have the slightest room to interrogate the system, that's [sic] not part of my mandate.*

School head I asserted,

> *I am asked to implement policy without question. We are often reminded that IRBM is a policy matter that is here to stay and when senior officials visit, work plans have to be seen with evidence of periodic reviews and teacher ratings for every performance period.*

It was evident from the study that school heads focussed on ensuring that teachers complied with the RBM policy. Participants' responses clearly showed that the staff were not consulted as highlighted by Perrin (2006: 23) who argues that the top-down method in implementing RBM, caused problems. The document analysis also showed that all the teachers at the visited schools had developed their work plans for the performance period. However, it was noted that the school heads and teachers' individual work plans for the current performance period were identical to the work plans for the previous performance periods. This showed that the staff was paying lip service to IRBM as highlighted by Madhekeni (2012: 126).This is evidence of the fact that the programme was taken just as a paper exercise. The school heads and teachers were clearly disengaged since they appeared to have been coerced into accepting the innovation. Their responses clearly show that RBM was considered a bureaucratic requirement without any tangible benefits for them. This disengagement could be attributed to the top-down approach used to introduce IRBM.

In the focus group interviews, teachers from schools A, B, C, E, F, G, H and J highlighted that their role in the IRBM system was to develop individual work plans and get rated in terms of what they put on paper. T8 from school H contended, "*We get scantily trained on* [the] *IRBM, asked to develop work plans which the school head approves and get rated at the end of the year….only God knows how the ratings are used*."This was corroborated by T9 during the individual teacher interviews who claimed,

> *We are simply told to do what the Government wants; that is to develop work plans that are supposed to guide us throughout the year, but which, unfortunately, don't [sic], and get ourselves rated at the end of the year. We are told in no uncertain terms that we should simply kowtow to policy since RBM is said to be here to stay.*

It was noted that none of the teachers interviewed had their individual work plans with them. These were neatly stashed in their personal files in the school heads' offices. There is evidence that these were only used at the end of the performance year when teachers were rated by the school heads and not for the day-to-day conduct of their work. The teachers' responses and the document analysis findings were in keeping with the view expressed by Perrin (2006: 25) that if the staff are not convinced that the RBM approach is an important instrument to aid them in executing their duties, then its implementation becomes a challenge.

The above clearly shows that the school heads and teachers' role in IRBM was mechanistic and restricted to developing work plans, carrying out performance reviews and rating. The World Bank (2011: 25) warned that the "command and control" management style used by the Ministry of Primary and Secondary Education did not work with knowledge workers like school heads and teachers. The staff complained that they were by-standers in a programme meant to change the traditional way of executing their jobs completely. As stated by the World Bank (2006: 28), excluding programme implementers in major decisions that concern them can be a kiss of death to a programme. There is clear evidence that staff in Zimbabwe schools were mere RBM implementers who did not have any say on the system. This contributed to the negative perception they have on the system. The following section explores the perceived effects of IRBM on school heads and teachers.

5.4.1.2 Perceived effects of IRBM on school heads and teachers

It was noted that most of the participants had a negative perception of the effects of the IRBM system on their careers. The school heads of schools A, B, C, D, E, F, H and I highlighted that they had not seen any positive effects of IRBM on their careers. School D head contended, *'It's [sic] something done as routine and I personally don't [sic] have any tangible benefit to my career as a result of implementing IRBM'*. The head of school H corroborated:

> *Honestly, there is nothing positive to write home about given the way the whole RBM issue was handled…..maybe the transport and subsistence allowance I got when I attended a one day training workshop on RBM. Otherwise, there is a lot expected from policy planners. The idea sounds noble on paper though.*

School B head added that,

> *To me, the effects have been largely negative in that more precious time is spent on developing work plans, carrying out performance reviews and rating teachers at the expense of our core business that is, teaching and supervision.*

Responses made by most of the school heads means that as managers, they were not convinced that the RBM system was meant to assist them in their own decision-making. This may be attributed to the top-down manner in which the system was introduced. It was not conceived as an instrument that could assist them in running their schools but was just a paper exercise to fulfill their job requirements. This demotivated the staff because the programme was considered to be an additional burden for the already overburdened and underpaid worker.

Dissatisfaction with the RBM programme could also have emanated from the manner in which it was introduced. One study participant complained, "*We were suddenly asked to change from what we were used to doing for over twenty years to something else that authorities wanted try"*(SH C). This typifies the "big bang" approach whereby authorities

tried to change to RBM all at once across all government ministries/departments. The sector wide approach to introducing results management was used because the government was under pressure to control expenditure. Resource constraints were exacerbated by the spiralling inflation. A vital finding was that this approach was faced with resistance and cynicism regarding the value of RBM. At face value, it might appear that people were complying, with all the work plans and reports in place but, in fact, there would be no change in activities on the ground. From the foregoing, it can be inferred that the introduction of the RBM system was hurried and "revolutionary." A fundamental organisational change of this magnitude is not easy, hence, there was aneed for providing a transition period during which the staff were given a chance to engage with this new approach where there was room for trial and error to ensure that they would not be disengaged from the whole process.

However, SH G and SH J pointed out that when they applied for the post of school head, they were asked to attach their appraisal forms and ratings for the previous performance year, hence, the IRBM system could have had a bearing on their subsequent promotion and career progression. It was noted, however, that they were not sure of the extent of the influence of their ratings regarding their appointments to the school head posts. Thus, it could be concluded that the promotion system was shrouded in secrecy with the staff not being made aware of the effect of performance ratings on their career progression. This augurs badly for the implementation of the RBM system, since transparency is vital if the system is to be taken seriously. As mentioned before, the participants had no idea how their ratings were used. Therefore, the appropriate utilisation of recognition and rewards is of paramount importance for the effective implementation of RBM (World Bank 2011: 27).

Teacher participants in schools A, B, C, E, F, G, H and J pointed out clearly that the IRBM did not have any positive effects on their careers., On the contrary, they felt that If anything it was cumbersome in that it demanded a considerable amount of time and their own scarce personal resources. One teacher expressed the following opinion during the focus group interviews,

> *Everyone gets a bonus year end despite the ratings. So, whether you are a high flyer, mediocre or poor performer, the remuneration is the same. When the employer decides to award a salary increment, the same*

percentage increment is given across the teacher grade. … There is no justification whatsoever for the extra mile we travel to meet the huge demands of the RBM system… too much clerical work. (T10 of school H)

The above was corroborated by T7 of school B during individual teacher interviews, who said,

There is no material gain that came our (teachers') way after the introduction of RBM as we were made to believe when authorities termed it Rave Basa Manje (it is now real work). However, in terms ofamount of work, there has been an increase in clerical work. So naturally, Ican't [sic] be expected to speak positively about Rave Basa Manje [RBM], especially how it came about.

Most of the school heads and teachers who took part in the study thought that the introduction of the IRBM system did not have any positive effects on their careers. In fact, most school heads and teachers had negative perceptions about the intervention, probably due to the top-down approach used in introducing it, the heavy workloads it brought about, the lack of incentives, training and support and its perceived irrelevance (World Bank 2011: 26). However, it would appear that participants had serious misgivings about the circumstances surrounding the adoption and implementation of IRBM and not with the concept of 'RBM' itself. Thus, the negative perception could have been brought about by obstacles encountered in the implementation of IRBM. The following section reports on the findings on the views of school heads and teachers on obstacles faced in schools in the implementation of RBM.

5.4.2 Obstacles to implementing IRBM

As supported by Madhekeni (2012: 125) and Mayne (2007c: 87) the implementation of RBM in schools is fraught with obstacles. Thus, data from the interviews with school heads and teachers from the ten schools showed that there were various obstacles faced in the implementation of the IRBM. In expanding on the main obstacles in the implementation of the IRBM brought forward by the various participants, the empirical study focussed on

two core areas supported by Mayne (2007c: 87) and ADB (2006: 17) namely, organisational challenges and technical challenges.

5.4.2.1 School organisational challenges in implementing RBM

According to most participants in the empirical study, a number of obstacles to implementing RBM emanated from school organisational challenges that included the school climate and culture, resistance to change, lack of staff incentives, distorting behaviour and non-use of school performance information.

(a) School organisational culture and climate

As supported by the ADB (2006: 17) and Mayne (2007c: 87) raw data from individual interviews with school heads and teachers and focus group interviews with teachers revealed that usually the emphasis in schools was traditionally on resources and activities instead of results. Schools A, B, D, E, F, G and H heads highlighted that their focus was on service delivery, that is, teaching and supervision and not results. One school head explained:

> *In a school situation,it's [sic] easier to rate a teacher on activities such as how many mathematics or English exercises were given per week rather than how students performed. It's [sic] difficult to attribute the results to a particular teacher because the academic history of the student has a strong bearing on his/her current performance. (SH G)*

School H head explained this further:

> *…it's [sic] difficult to mark down [on results] a teacher who is responsible for a class which sits for national examination yet the same students will have passed through many other teachers in the preceding years. They might have been academically 'killed' by the previous teachers not me.*

T6 from school B expressed similar sentiments during the individual teacher interviews when she noted:

> *When my Form 4 English class performs badly during Ordinary level final exams, Ishouldn't [sic] be held solely responsible for the poor performance since they were taught by various other teachers from Form 1. It's [sic] only fair to be rated on things that can be directly measured and attributed to me, for instance, whether I gave adequate written exercises…..*

Thus, participants were of the view that in terms of the fact that the school tradition emphasis should be on processes rather than outputs and outcomes hence the school culture posed a great challenge to the implementation of RBM in schools. It would appear this problem was exacerbated by the fact that when RBM was introduced no effort was made to invest in developing school heads in change management. Results management required changing staff mindsets, a move from tradition and culture, which required special change management skills that could only be got through training school heads (National Performance Management Advisory Commission [NPMAC] 2010: 8).

Most of the teacher participants also pointed out that the school climate and culture posed a big challenge to the IRBM. According to the teachers, they were not given room to comment freely on the intervention since school heads emphasised that IRBM was a policy issue and hence had to be implemented without question as expressed by SH I in section 5.4.1.1. During teachers' focus groups interviews and individual interviews, it was clearly stated that school heads were aloof and impersonal when implementing RBM. T9 of school G expressed it succinctly,

> *The school head says RBM emphasised production hence teachers should work hard. He gives rules and regulations about how things should be done according to RBM. Unfortunately, the rules are stringent, arbitrary and therefore naturally don't have voluntary takers.*

Another teacher expressed similar sentiments,

> *What the school head says about RBM and what she does are two different things. She isn't [sic] genuine in her actions, inconsistent and inconsiderate. Teachers are not given room to air their views and proffer suggestions... we are simply asked to take the medicine [RBM] without question (T3 of school D).*

These views pointed to a closed school climate which is characterised by high aloofness and low consideration where school heads do not provide adequate leadership for the teachers (Sergiovanni & Starratt 2011: 54) and in turn, becomes a major challenge to the implementation of RBM. In the process teachers were disengaged. It is also clear that the 'command and control style of management' is unsuitable for teachers and school heads (World Bank 2011: 25) hence the resultant cynicism in RBM portrayed by staff could be attributed to the top-down approach used by authorities in its introduction. The next section focusses on resistance to change as an obstacle in the implementation of RBM.

(b) Resistance to change

According to the ADB (2006: 17) resistance to change is an obstacle in implementing RBM. It is clear from most of the participants' responses that RBM suffered from resistance to change. It would appear school heads and teachers saw no reason of implementing a programme that did not add value to teaching as highlighted in section 5.4.1.1 and supported by Perrin (2006: 25). SH A revealed, *"Most teachers are vehemently resisting RBM."* Another school head corroborated, *"Staff develop work plans simply because this is a requirement otherwise given choice they won't [sic]."* (SH B). School G head highlighted the reasons why the new phenomenon was being resisted by staff, "*Resistance is due to the lack of support and commitment from seniors, inadequate knowledge on RBM and fear of the unknown."* T7 of school B corroborated this during individual teacher interviews,

> *Everyone is paying lip service to the implementation of RBM. School heads refer to it as 'this animal' clearly showing that it has been forced on them. It is cumbersome and an unnecessary burden to the already burdened teacher.*

As noted by Madhekani (2012:125), the school heads pointed out that senior officials in the Ministry of Primary and Secondary Education were also resisting RBM subtly. For example, it was revealed that school heads last received the Ministry Integrated Performance Agreement (MIPA) in 2012. It is the head of ministry (The permanent secretary) who was supposed to develop MIPA and cascade it to schools to ensure that they were duly guided by the ministry's major goals and priorities for a particular performance year. These goals and targets were based on the ministry's budget allocation for that particular year (RBB). Thus, according to school heads, schools operated without proper guidance and results expectations from the Ministry of Primary and Secondary Education.

Document analysis revealed a disturbing trend where progress reviews were done in retrospect and teachers rated themselves. Teachers at schools A, B, D, E, F and I confirmed that they were asked to rate themselves and the school heads would then simply sign their signatures to authenticate the process. No sane person would fail themselves. This demotivated and discouraged hard working teachers. Thus, the validity and reliability of some teacher ratings in schools was questionable given this discovery. This practice was an indication that school heads resisted doing what they were supposed to do. RBM does not appear to have been taken seriously and was resisted because there was no commitment from senior ministry officials. According to Perrin (2006: 23), 'commitment needed to be backed by actions as well as words' and this was lacking in the higher echelons of the Ministry of Primary and Secondary Education since authorities could not meet their part of the bargain by failing to produce the MIPA. The next section focuses on another obstacle to the implementation of RBM that is the lack of staff incentives.

(c) Lack of staff incentives

As supported by the World Bank (2011: 39) lack of incentives is a major obstacle in the implementation of RBM. The data collected demonstrated that the lack of incentives in the school system contributed to a large extent to the negative attitudes byschool heads and teachers towards the implementation of RBM in schools. According to World Bank (2011: 40), incentives can be monetary or non-financial. One teacher participant lamented during focus group interviews, *'The effort invested in the implementation of the RBM programme isn't [sic] commensurate with the rewards'* (T5 School A). This was supported by SH F

who argued, *'If the RBM programme is not coupled with an incentive regime it will die a natural death in schools.'* The lack of incentives led to the negative perception participants have on RBM as discussed in section 5.4.1.2 where SH D, SH H and T10 of school H clearly indicated that the lack of staff benefits on implementing RBM was its major undoing.

Most participants indicated that they valued monetary (financial) incentives as rewards for their good work contrary to the World Bank's (2011: 39) submission that both monetary and non-financial incentives were of equal value. T6 from school F revealed the type of incentive required,

> *We would cherish more money for good performance because we come to work to be able to provide for our families….Recognition of our good results in The Sunday Mail (national weekly newspaper) is almost meaningless; we need food on the table period.*

During individual teacher interviews T1 of school J added:

> *At the end of the performance cycle high flyers should be paid more……there should be a distinctionon salaries basing on performance, not the current scenario where performance isn't [sic] considered. Despite good ratings, for the past seven years, salaries continue to be [far] below the poverty datum line. No increment...and we [teachers] continue to wallow in poverty.*

As supported by Mavhiki *et al*. (2013:137), RBM implementation in Zimbabwe was negatively affected by the lack of incentives. Participants highlighted that although incentives had been promised, the Treasury did not have the funds to support this due to financial constraints. The issue of incentives was an emotive subject where participants blamed the government for failing to improve salaries regardless of the promise of rewards at the introduction of RBM. Thus, the Ministry of Primary and Secondary Education was not paying attention to the fact that the RBM system needed to be supported by a strong incentives regime as highlighted by World Bank (2011: 40). It is imperative to note that school heads and teachers clearly indicated that they were not keen to implement RBM

since they did not benefit from it. Perrin (2006: 26) concurs with this view when he avers that it was difficult and demotivating for teachers and school heads to implement RBM in an environment where they had no idea how their ratings were used, if at all. Thus, staff questioned if there was any value to the performance measurement they were expected to do since they did not receive any tangible benefits. This resulted in the intervention being perceived as merely a paper exercise. The next sub-category focusses on distorting behaviour as an obstacle in implementing RBM.

(d) Distorting behaviour

The problem of distorting behaviour is one of the obstacles observed when implementing RBM in schools as supported by Mayne (2007c: 97). The study participants highlighted that only the few chosen measurable indicators were emphasised, potentially leading to goal displacement and cheating as supported by Schatteman and Ohemeng (2008: 19). One participant asserted:

> *In RBM you are asked to come up with few indicators…these few get attention at the expense of other important things in the students' academic life. We are forced to focus only on issues in which we will be measured to the detriment of other important facets like student discipline. (T8 school E).*

This is supported by Mayne (2007c: 97) who posits 'only what gets measured gets done'. SH G corroborated what T8 said, *"Teaching is complex and not all that's [sic] done can be captured on few sheets of paper."*

In this empirical study, teachers and school heads clearly indicated that they concentrated on tasks that were easy to measure and in which they were likely to score highly which was a clear case of behaviour distortion. According to Bohte and Meier (2000: 174) behaviour distortion and cheating manifested when simple, easily achievable goals were set and complex areas were ignored. This was corroborated in this empirical study. T9 of school G argued, "*There is no logic in setting complex goals that are difficult to achieve yet I can focus on simple goals thatI can easily score highly."* This is a clear case of potential

organisational cheating in RBM in schools which militates against its implementation. The staff was only keen to score highly and be on the "safe" side.

An individual work plan analysis revealed that no school had room for group objectives or targets. This practice was deemed difficult because it called for proper coordination and teamwork, skills that appeared to be lacking, hence, it was avoided at all costs despite its importance. School heads and teachers chose to do what was less demanding, thus promoting individualism, yet in reality some results are realised through teamwork. To be able to foster teamwork, school heads clearly needed team building skills that could only be gained through rigorous training that appeared to have been lacking. The next sub-category discusses the challenge of non-use of performance information.

(e) Non-use of performance information

As supported by Williamson (2003: 63) failure to use school performance information is an obstacle in implementing RBM in a school set up. There is evidence from the empirical study that performance information obtained from schools was not used for decision making. As pointed out in section 5.4.2.1(c) above, while participants expect incentives based on performance information, none is forthcoming. One participant commented, *"It is discouraging to put effort where there are no favourable returns*" (SH F).This is supported by Mayne (2007c: 92) who asserts "If major decisions clearly ignore performance information, the message is clear." In line with this, T7 from school B complained,

> *Although I work hard to achieve results…. the evidence is clear. Idon't [sic] receive any favours from the system…..I am treated and remunerated the same as those who are average and poor…so Idon't see the purpose of achieving highly.*

It was clear from all the school heads' responses that although they were required to report on teacher performance, they did not always get feedback on what happened with that information. As highlighted by Perrin (2006: 26), this bred cynicism amongst staff and was a hindrance in effectuating RBM.

T10 of school G added another dimension:

> *While section 3 of the appraisal form seeks to assess competency gaps for staff, teachers have completed this section religiously for the past 7 years clearly indicating training required and specific courses but Ihaven't [sic] heard anyone who was sent for training because of that….It's [sic] information that is collected but not put to use. It's [sic] demoralizing.*

It was noted that no participant confirmed that they had received training in response to the competency gaps established on section 3 of the appraisal form entitled "Training and development needs" (See Appendix J). Thus, it was clear that performance information that was obtained from the results-based personnel performance work plan and appraisal was not put to use thereby demotivating staff (Mayne 2007c: 97).

However, as pointed out in section 5.4.1.2, SH G and SH J alluded to the fact that their performance appraisal ratings could have been used to decide whether they were promotable since they were asked to attach them to their applications. It is important to note though that from their responses, they were not sure of the weighting given to their ratings in their subsequent promotion to the post of school head. All these findings point to the fact that the collection and reporting of performance information were reduced to a paper exercise that did not benefit staff thereby subtly relaying the message that results management was not considered to be important. This problem could be attributed to lack of acceptance of the RBM approach by staff and the hurried implementation of the programme without proper consultation and training. The next category focuses on the technical challenges to the implementation of RBM.

5.4.2.2 Technical challenges to the implementation of RBM

As supported by both the ADB (2006: 17) and Mayne (2007c: 99) this study showed that there were technical challenges regarding the implementation of an integrated RBM system that included its complexity, shortage of resources, poor training and programme support and the challenge of measuring school performance and attribution. The findings on these will be discussed in the subsequent sections.

(a) IRBM is too complicated

There is a tendency by developing countries to import models of RBM that are too complicated as supported by ADB (2006: 17) and expressed by SH I,

> *The whole system of integrated results-based management is very complicated with too many concepts. The appraisal form itself is lengthy, has too many issues and it's [sic] difficult to comprehend…..it's [sic] also difficult to monitor.*

T9 of school G added, *"The mere size of the appraisal form and the intricate issues involved just puts me off… where on earth am I expected to get patience, time and energy to complete it*." Another school head expressed,

> *Our problem as a developing country is that we adopted a system that might have worked in a developed country and implemented it without making any adjustments to suit our conditions…The complexity of the model might be suitable in the developed world but not user friendly in Zimbabwean schools due to our inferior infrastructure and human resources systems. (SH C).*

Most participants highlighted that the integrated RBM model was too complex and difficult to implement in the Zimbabwean context. It was pointed out that the Results-based Budgeting System was difficult to implement in an environment of dwindling revenue and depressed economy where the official currencies used and relied on (The US Dollar and the South African Rand) were foreign. Moreover, the RBB system was complicated and not compatible with the accounting systems in place (Saldanha 2002: 19). The complementary component of the RBM information system (RBMIS) was not implementable in most of the schools since these had no electricity and computers as supported by ECA (2003: 32). Participants declared that for a developing country like Zimbabwe, with a poor infrastructure, especially in most rural schools, calling for the implementation of RBB and RBMIS, was expecting too much.

It was also noted in this empirical study that school heads and teachers were not conversant with the components of the IRBM. They highlighted that they did not receive adequate training on RBB, RBM&E and RBMIS, yet they were critical components of the system as advocated by Rasappan (2010: 15). As indicated by the respondents emphasis during training was on a results-based Personnel Performance System (RBPPS).Participants also clearly pointed out that the appraisal form used under RBPPS was voluminous and not user-friendly (see Appendix A: Personnel performance work plan and appraisal instrument used by teachers and school heads).

Participants alluded to the fact that the wholesale adoption of IRBM from a developing country militated against its successful implementation. According to SH A, *'IRBM was an elusive pie in the sky.'* Thus, since no effort was put by the government to ensure that infrastructural support was put in place before adoption, the introduction of IRBM was demotivating and bred cynicism about the importance of results management. The next sub-category focuses on the findings on the challenge of lack of resources.

(b) Lack of resources

Implementing RBM costs money that is scarce especially in a poor performing economy of Zimbabwe hence presenting serious implementing challenges (Madhekeni 2012: 125). Funds for the RBM programme were required not only for incentives but also for carrying out training programmes, buying stationery and engaging specialists who would offer technical assistance.

Participants in this empirical study were emphasised that the shortage of resources was one of the major obstacles in the implementation of RBM in schools. As supported by Mavhiki *et al.* (2013: 138) participants highlighted that it was impossible to implement RBM in schools without adequate resources or without a 'budget.' The head of school A offered the following insight,

> *There is the talk that RBM aims at maximizing results from the little resources given….This is mere theory because in the first place there are no resources to start with. Treasury used to give per capita grants to*

schools each term but this was stopped about ten years ago during the era of hyper inflation and we have almost nothing for our school programmes.

This is reflected in another comment by one teacher participant during focus group interviews,

The Ministry of Primary and Secondary Education doesn't [sic] provide us with the appraisal forms hence we are required to photocopy these using our meagre salaries…We are sort ofsubsidizing the Government which has introduced RBM but fails to supply the requisite stationery… This is very unfair and if not addressed quickly will make the programme a big flop. (T4 of school F).

The research findings are supported by Mavhiki *et al.* (2013: 138) who said that without budgetary support it is difficult to translate RBM into reality. Participants' views are also supported by Madhekeni (2012: 125) who highlighted that the UNDP withdrew its funding thereby compounding resource shortages to fully implement the RBM system in Zimbabwe. As discussed in section 5.4.2.1 above, the lack of budgetary support for RBM affects the government's capacity to give school heads and teachers incentives and carry out training programmes. Accordingly, it would appear that a lack of incentives and RBM training funds demotivated staff. The next sub-category discusses the issue of poor training and programme support as a hindrance to the implementation of RBM.

(c) Lack of training and support

According to the study participants, a lack of training and support is a major technical challenge to implementing RBM in schools and it is affected by the lack of resources discussed in the foregoing section. A results-oriented approach required expertise and skills that school heads and teachers did not have. It required a new way of thinking and managing (Perrin 2006: 26) which had to be acquired through training. It is evident from the data obtained from participants that the lack of training and support seriously militated against the implementation of RBM as supported by Madhekeni (2012: 125). The shortage of resources had a negative effect on the training programmes as expressed by one participant,

> *The training period for the complicated programme was too short. In two days, we were expected to master all the components of integratedresults-based management system including the comprehensive appraisal forms…Of course they cited shortage of funds but that was expecting too much from us. The million dollar question is; Why introduce a programme of that magnitude without requisite resources? Is it poor planning on the part of authorities? (Head for school H).*

This perspective is supported by Mavhiki *et al*. (2013: 137) who noted that the training received for implementing the RBM system was inadequate.

Some school heads further stated that they were not trained by trainers but by senior education officials who failed to "clear the mist" as noted by Madhekeni (2012: 126) who points out that due to the shortage of money, similar training cannot be done with regard to all people as planned since the UNDP indicated that funds for the activity were no longer available. In line with this SH J commented,

> *The trainers were not convincing. It appears they hadn't [sic] mastered the RBM key terms and concepts. In some instances, they conflicted in front of the trainees. Above all they [trainers] could not relate this [RBM] to the school situation … examples were generalised. Imagine we [School Heads] were then expected to cascade this [RBM] training to teachers.*

This view was confirmed by one teacher participant during individual teacher interviews who said:

> *The training we [teachers] got from our school head leaves a lot to be desired. There are a lot of grey areas the head failed to demystify such that we consider ourselves half-bakedin terms ofRBM. Training is key and it should be taken seriously if we [teachers] are expected to treat [RBM] it seriously (T2 school F).*

Further support was by T8 of school H in section 5.4.1.1 who pointed out that teachers were "scantily" trained on RBM.

It was also found out that some beginner teachers had never received training on RBM Probed on how they were implementing something they had not been trained on they indicated that they just copied their colleagues' individual work plans. According to them, school heads were not forthcoming when it comes to training them. The school heads' lack of interest in staff developing new teachers on RBM could be attributed to lack of confidence due to poor training they received themselves or a negative perception towards the phenomenon as discussed in section 5.4.1.2. The net effect of lack of training resulted in demotivating staff. The pronounced cynicism noted could have been caused by the pressure from authorities to implement an intervention with.which they were not fully conversant.

According to the participants, lack of support was also an obstacle in the implementation of RBM. As supported by Mavhiki *et al.* (2013:137) lack of commitment by senior authorities in the Ministry of Primary and Secondary Education negatively affected the implementation of IRBM. The head of school E revealed that, *'As required by the RBM system key reference documents weren't [sic] availed to us by Head Office'.* This was evidenced by the fact that the researcher found out that by the time of interviews February to March 2015 the key document, the Ministry Integrated Performance Agreement (MIPA) had not been availed to all the sampled schools despite the fact that ideally, school plans and individual work plans were supposed to be drawn from it (MIPA) (Ministry of Public Service 2009: 15). The first review quarter had also come to an end without the key reference document. School heads also revealed that the MIPAs for 2013 and 2014 were never availed to them so this was no longer surprising since it clearly showed a lack of commitment by senior authorities who were supposed to be exemplary in the implementation of RBM. One participant complained:

> *There is nothing we can do except to cut and paste plans for the previous years because authorities do not support us with the necessary guidelines and one wonders whether this is the right thing….each year should have its focus since the budget for the Ministry is different each year. (SH G)*

This is in line with participants' responses discussed in section 5.4.2.1 (b) above, which highlighted that senior ministry officials are complicit in the failure of RBM due to their resistance to change emanating from their failure to fulfil their obligations. According to

the school heads interviewed in the study, the actions displayed by senior officials were not consistent with their pronouncements that results management was important. This had an effect of causing confusion amongst the heads and teachers on how to handle the new phenomena.

On the other hand, teachers were of the view that school heads did not support them in the implementation of RBM. One teacher commented,

T9 of school J added, *'Teachers are expected to photocopy appraisal forms. The head doesn't [sic] support us and cites lack of resources'.* This is in agreement with the response given by T4 of school F in section 5.4.2.2 (b) above. Participants indicated that they were 'hurt' by the RBM programme. Thus, in an environment in which teachers complained of salaries that were below the poverty datum line and poor working conditions, failure by government to provide requisite RBM stationery and subtly asking them to pay for it further demotivated staff. It implied that RBM came at a cost to staff with an effect of further eroding their disposable income. This problem was compounded by the fact that there were no incentives for implementing RBM. As a result it staff did not treat the RBM intervention seriously.

The document analysis revealed that the individual work plans for most of the school heads and teachers had remained the same for the past three years, corroborating the response by SH G and T3 of school A that they simply copied the previous year's work plans. RBM was reduced to being a paper exercise. This practice according to Shangahaidonhi (2013: 584) defeated the purpose of RBM and, therefore, is a serious obstacle.

It is quite evident from the foregoing that poor training and support is a hindrance in implementing RBM in schools. The school heads and teachers indicated a lack of support and commitment by leaders as a major obstacle in the implementation of failure as supported by Madhekeni (2012: 126). Due to poor training and support teachers were demotivated and did not treat results management seriously. The next sub-category focuses on the challenge of measuring school performance and attribution.

(d) The challenge of measuring school performance and attribution

As supported by Col *et al* (2006:11) the problem in measuring school outcomes is a real. Data from interviews conducted with school heads and teachers points to the fact that the issue of performance indicators is a challenge to the implementation of RBM in schools. Teachers spoke strongly against the use of the student pass rate in assessing their work. T4 of school D said, *"The pass rate is beyond the control of teachers since it can be influenced by many other variables."* This view is supported by the World Bank (2011: 11) that posits that measuring performance in the public service is both complicated and ambiguous. One school head agreed with T4 of school D and commented,

> *Measuring the performance of students in my school should take cognisance of the difficult environment we operate in. It is unfortunate that we are measured and compared with well-established schools which have all critical resources at their disposal and above all, enroll high performers yet we take any student regardless of their performance. (Head of school I).*

Similar sentiments were expressed by the head of school H and T6 from school B in section 5.4.2.1 (a) above and thus, it is clear that participants were worried about the measures for school performance.

According to Mayne (2007c: 101) whilst measuring performance can be a challenge, the question of attribution is also problematic. It was evident from the study that assessing the degree to which an educational programme contributed to the results is more problematic. T7 of school E commented, *'It is difficult to conclude convincingly that students failed after 4 years of secondary education because of teacher X. There could be many other factors at play.'* The same argument was raised by T6 of school B and the school H head in section 5.4.2.1 (a) above. This challenge is worsened by lack of emphasis on team performance in schools. Instead, it would appear the focus was on individual performance and this approach is clearly limited in that amongst knowledge workers outputs are more collective than individual (World Bank 2011: 45). The next section explores what study participants said were characteristics of a sustainable RBM system.

5.4.3 Characteristics of a sustainable RBM system

According to the study participants and as supported by Col *et al*. (2006: 35), a sustainable RBM system is characterised by; adaptability and flexibility, effective leadership and teamwork and effective knowledge management. The findings on these three characteristics will be discussed in the subsequent sections.

5.4.3.1 Ensuring adaptability and flexibility

As supported by the United Nations University Manual (2014: 5) participants spoke of the need of developing adaptive RBM to ensure its sustainability. One participant explains,

> *It would be a grave mistake to think that once an RBM system is implementedit's [sic] game over. There is need for constant checking to ensure that it responds to the changing operational environment. (SH D).*

This view is supported by Binnendijk (2000:20) who asserts that constant reviewing of the RBM system would lead to a better understanding of implementation failure and hence, offer a window of opportunity of learning from mistakes and using shared experiences. T2 of school J weighed in,

> *To ensure programme sustainability it's [sic] of paramount importance to learn from mistakes and create a platform of sharing experiences and subsequently review the impact of what's [sic] being done.*

This view is in line with Perrin's (2006: 10) assertion that teachers should develop a system that is suitable for their own "situation and context. It is also supported by the Curistine (2005a: 140) that referred to the need for "adaptation instead of adoption" to ensure programme sustainability. Most study participants expressed the opinion that IRBM should have been adapted to match the unique mandate and organisational structure the Zimbabwean school. SH A further explained, *"Sustainability of RBM is brought about by introducing an approach that is relevant to our core business of teaching."* Thus, participants alluded to the need for flexibility or a "freedom-based approach" (Treasury Board of Canada Secretariat 2006: 12) to cater for different contexts and subsequently

ensure that they were not disengaged in the RBM process. Leaving room for changing approaches and strategies to avoid problems that would obviously be encountered is a kiss of life for the development of a sustainable RBM system. Thus, there is a serious need for flexibility to make RBM useful in terms of the school situation and information requirements.

The next category focusses on the responses given highlighting the need for effective leadership and teamwork to ensure the development of a sustainable RBM system.

5.4.3.2 Fostering effective leadership and teamwork

According to the study participants, effective leadership and teamwork are an important characteristic of a sustainable RBM system. As supported by National Performance Management Advisory Commission (NPMAC) (2010: 17) teachers and school heads were of the opinion that to obtain school culture change towards RBM and ensure its sustainability effective leadership was critical. According to the heads of schools A, B, C, D, E, G, I and J to develop a sustainable and effective RBM system, leaders have an obligation to manage change and resistance. Head of school A pointed out:

> *To address the RBM sustainability issue those in positions of leadership shouldn't [sic] merely give orders to us…..instead, they need to provide motivation and market to us a vision that we would voluntarily buy into.*

T3 of school A added:

> *The top-down approach doesn't [sic] work anymore on professionals … what we expect from our leaders are resources, motivation and support … conditions that guarantee the success and sustainability of RBM. We are colleagues and key stakeholders in this journey … so we deserve to be heard.*

Thus, in this study, it emerged that school heads and teachers regarded themselves as knowledge workers in line with Perrin's (2002: 15) viewpoint, and hence, they thought they worked better under leaders who inspired and motivated rather than under a "control

or compliance approach." Participants felt that they needed to make an input on the RBM system. This is corroborated by school A's head who complained that there was no room for staff to 'interrogate' the RBM system (see section 5.4.1.1 above). There is evidence from this study that there were limitations with implementing a RBM system "using a top-down command-and-control approach (World Bank 2006: 23).

Participants also suggested that leaders needed to work closely with their staff to promote teamwork and cooperation to develop a sustainable and effective RBM system. T2 from school F stated, *"Effective school heads should work with their teachers to develop a common understanding of RBM."* T4 from school D added, *"To sustain RBM an environment of cooperation and teamwork rather than competition should be created."* Participants' views were supported by the World Bank (2006: 25) that notes that for schools to develop a sustainable RBM regime there is a need for complete support and ownership by the staff and this is guaranteed by "effective leadership, team building, inspiration and motivation." Championing teamwork would encourage the staff to work collaboratively to realise the school targets and to share resources and information instead of competing for them. Teamwork would ultimately bring satisfaction and lead to the development of a sustainable RBM system.

According to the study participants, effective leadership would also guarantee RBM sustainability through proper management of changes in the school culture as supported by the Treasury Board of Canada Secretariat (2006: 14). The experiences portrayed by study participants in implementing RBM show that one method of ensuring sustainability might be to inculcate the RBM 'way of doing things' in the school culture. Embedding RBM thinking within the school culture would ensure that the system is internalised. Knowledge workers are eager to continue with a programme they believe in and deem valuable to their work. It was clear from the interviews that participants advocated for the need for a change of the norms, values and behaviours of staff to ensure the development of a sustainable RBM system. Failure to address these would disengage school heads and teachers from the process. Thus, proper management of cultural change would allow for new school values and procedures to be institutionalised. The next section discusses findings on the need for upholding effective knowledge management as a characteristic of a sustainable RBM system.

5.4.3.3 Encouraging effective knowledge management

As supported by Ortiz *et al.* (2004: 22), participants highlighted the need to embrace knowledge management as a tool for ensuring the sustenance of RBM. School I head comments, *"There is a dire need for schools and other organisations to share knowledge and experiences on RBM. This would ensure continuous learning and that we don't [sic] run the risk of being overtaken by events."* T1 of school J added, *"A platform should be created to ensure that staff learn from past and present experiences…identify best practices and possibly help to reform the system."* The participants clearly pointed out that continuous learning and knowledge sharing guaranteed the sustainability of a RBM system. As given by the ADB (2006: 25), school heads and teachers highlighted that innovations and best practices should be recorded and reported to facilitate sharing and dissemination. It came out clearly in this empirical study that prioritising learning would subsequently lead to the improvement of the RBM approach and ultimately the identification of new ways of addressing new needs to ensure the sustenance of the system. School H's head commented, *"Mistakes made should be taken as learning opportunities….and this would definitely promote system innovation and hence ensure that it [RBM] is sustainable.*" SH D added, *'To ensure RBM sustainability it's [sic] imperative to put in place mechanisms that promote the adequate application of the lessons learnt.*" The same sentiments were expressed by T2 of school J and discussed in section 5.4.3.1 above. The study participants' views were in keeping with Perrin's (2006: 32) argument that learning through experience is the most effective way in which school heads and teachers learn. Some participants also encouraged the communication and sharing of failures. This would ensure that others avoided making the same mistakes, and hence increased their chances of success. These views are supported by the United Nations University (2014: 3) that indicated that there is a need for institutional capacity to share experiences, apply lessons learnt and adapt to changing situations if a RBM system is to be sustained.

The next section focuses on the study findings on strategies of developing a sustainable RBM system.

5.4.4 Strategies for developing a sustainable and effective RBM system

Whereas it is important to develop and implement a RBM system is one, it is crucially important to sustain it. The literature cites numerous examples of innovations that died a natural death. Thus, unless RBM can be sustained, no benefit will be realised from the considerable investment made in it by government. It could be discerned from the participants' responses, that results management was a good intervention if certain issues were addressed properly. As supported by Mayne (2007a: 5) and the World Bank (2011: 11), raw data from participants clearly demonstrated that a sustainable RBM system could be developed if favourable conditions were created, credible school performance measurement systems were built and school performance information was used in decision making. The research findings will be explored in the subsequent sections.

5.4.4.1 Creating favourable conditions

According to Shangahaidonhi (2013: 581) and Madhekeni (2012: 126), there was a dire need to create favourable conditions in order to develop a sustainable RBM regime. Study findings reveal that favourable conditions for a sustainable RBM system were created through providing focussed leadership, customising the RBM system, creating supporting systems, providing enough resources, providing training and education and ensuring staff participation. These will be discussed in the following paragraphs.

(a) Providing focussed leadership

Participants highlighted that the development and implementation of RBM require strong and focussed and supportive leadership as supported by Madhekeni (2012: 136) and NPMAC (2010: 17). According to the participants, leadership's full unfettered support, active participation and commitment would ensure the development of a sustainable RBM system. School B head expressed the following opinion: *"Senior officials in the Ministry of Primary and Secondary Education should lead by example, they should clearly show that they are serious and avoid making overtones which make us doubt their sincerity in results management."*

Similarly, one teacher participant remarked during the focus group interviews: *"School heads should show commitment and stop making remarks that show that they view results management negatively and that it has been forced on them….this obviously affects us in a negative way. (T3 of school J)."*

These views are supported by Mavhiki *et al.* (2013: 136) who comment that leaders must show enthusiasm for RBM and lead from the front. The school heads also revealed that RBM required the engagement of "knowledge specialists" who would assist them as supported by Madhekeni (2012:126). School D's head explained:

> *Government should employ fundis in the area of results management who assist us. Depending on us [school heads] entirely will not bear fruit because we have a lot on our hands and above all, this isn't [sic] our area of specialization.*

The above is supported by Perrin (2006: 36) who recommends the engagement of RBM champions to assist leaders. Thus, according to the participants, the need for strong leadership to ensure stewardship for RBM is of paramount importance. The National Performance Management Advisory Commission (NPMAC) (2010: 18) advocates the use of both internal and external champions to assist school heads with leading and managing change. In line with the above, the study participants suggested that both international and local consultants should be combined to help with the development of local expertise. This would ensure implementation success since locals are aware of the "terrain" and the local conditions in which they were operating. The next section focusses on the findings on the need to customise the RBM system.

(b) Customising the RBM system

It is quite evident from the data obtained in this empirical study, that in order to develop a sustainable RBM, it is critical that the system should be customised as advised by Amjad (2008: 7) and Pollitt (2003: 122).

During the individual teacher interviews, T4 from school A suggested:

> *I understand that the current model has been adopted wholesale from Mauritius, a developed country … totally different from our set up… why can't we have our own model which suits our conditions.*

One school head participant corroborated this viewpoint:

> *Let's [sic] avoid importing interventions simply because they have worked elsewhere…… Instead let's [sic] have something that is relevant to our own needs and situation.....A model that suits us is all what we need. (SH C)*

These views are supported by Amjad (2008: 7) who asserts that "since the specific national objectives vary from country to country, so should be the RBM strategies adopted." By and large, the participants spelt it out clearly that a home- grown system is more sustainable than the wholesale importation of the RBM systems from the developed countries. In Tanzania, for example, the introduction of RBM was premised on a "home grown rubric" known as PIM (Bana & Shitindi 2009: 6). To prevent staff disengagement, the participants agreed with the OECD (2005: 140) that "it should be adaptation instead of adoption." According to the school heads and teachers, RBM practices should be adapted to fit the school needs and culture. Moreover, the raw data clearly pointed out that there was a need for developing sector specific systems rather than the "one size fit all approach" in terms of which the same personnel performance work plan and appraisal form was used across ministries.

According to the study participants customising RBM also entailed changing the school culture and this is supported by NPMAC (2010: 2) that argues:

> *Simply imposing a performance management process onto a traditionally managed organisation may sound good, but in practice, it is not likely to make any difference. To make real improvements, an organisational culture must also be addressed.*

The above paragraph is consistent with the discussion in section 5.4.3.2 above, where the participants highlighted that leaders should be able to manage change and resistance in

order to develop a sustainable RBM system. Managing change and resistance were crucial for changing the school culture. The study participants contended that RBM should be institutionalised through the proper management of cultural change to facilitate new school norms and values. The next section highlights and discusses findings on the need to create supporting systems.

(c) Creating supporting systems

The raw data show that most participants advocated the creation of supporting systems to develop a sustainable RBM system for schools as supported by World Bank (2011: 7). The head of school I expressed the following viewpoint:

> *There is serious need for regulatory and legal framework to support results management. Currently some teachers strongly resist RBM and there is no clear way to deal with them. Statutory Instrument 1 of 2000 doesn't [sic] offer explicit ways to deal with such teachers.*

One teacher participant supported this during focus group interviews, *'It's [sic] discouraging to note that members who resist RBM go scot-free let there be rules to whip everyone in line'* (T9 of school B). Thus, in line with what Col, Holzer, Posner and Rubin (2006: 4) and Curristine (2005a: 133) mention, the participants felt that the Government of Zimbabwe should develop a legal framework for RBM in the mould of the Government Performance and Results Act (USGAO 1993) drawn up by the USA government. Currently, as highlighted by the study participants, the important legal documents that guide the operations of civil servants, including the school heads and teachers, skirt the issue of results. The Constitution of the Zimbabwe Amendment (No. 20) Act 2013, 194 (1) states (a) that "public administration must be development oriented" (Zimbabwe 2013) It does not express the importance of results clearly. The Public Service Act 16:04 (2) is also non-committal on the issue of results since it says that "the Commission shall ensure that the well-being and good administration of the Public Service and its maintenance in a high state of efficiency." Similarly, Statutory Instrument 1 of 2000 (8) (1) only indicates that all members shall be assessed continually (performance appraisal). It does not cover the major issue which is performance management, but only focusses on performance measurement.

The statutory instrument contains public service regulations. Thus, study participants' fear that RBM was not upheld by legal sanctions appears true, hence the need to improve them since statutes are important supporting tools in the development, implementation and sustenance of a RBMsystem.This is supported by Perrin (2006: 32) who mentions that a mixture of approaches that include "carrots, sticks and information" is required to facilitate the implementation of RBM. To facilitate the institutionalisation of RBM in schools, there is a need for a clear policy or act. The act would provide an enabling legal framework and give the RBM initiative a legal status. Thus, currently, the absence of a clear policy on RBM appears to disengage the staff.

However, it has to be noted that over-reliance on regulations can be detrimental, since it is tantamount to the imposition of RBM which can result in compliance but coupled with passive resistance. Some respondents were of the view that to ensure the development of a sustainable RBM model, school heads and teachers should implement it for the sole reason that they believe in it and that they see it as critical for their own work.

This is in keeping with the view expressed by Behn, cited in Perrin (2006: 24) that performance systems created by law to force good employee performance, do not work. When driven solely by statutes, the motivation to pursue RBM is extrinsic and its implementation is done half-heartedly to respond to the external pressure. Conversely, when the staff are convinced that RBM is relevant and the right programme for them, they become intrinsically motivated and will continue to implement it. Based on the study of the participants' responses, it would appear that school heads and teachers viewed IRBM as irrelevant and just a bureaucratic requirement. However, as evidenced by the raw data in the empirical study, it has to be pointed out that supportive legislation is critical but should be coupled with "soft measures" such as training and incentivising. This would guarantee the creation of an RBM regime that is sustainable.

The participants also contended that the senior leaders in the Ministry of Primary and Secondary Education should support schools, as observed by Munyaradzi (2012: 10), by crafting the MIPA and the DIPAs timeously and cascading them in time, since they are the source documents for crafting school and individual work plans.Other supports cited by the respondents to ensure the development of a sustainable RBM model include training and guides, the provision of RBM experts, funding assistance and providing recognition and

rewards. Such organisational support and assistance would ensure that school heads and teachers treat RBM as a critical component of sound management. These are discussed in the subsequent sections. The next sub-category discusses the findings on the need to provide enough resources to develop a sustainable RBM system.

(d) Providing enough resources

The raw data that emanated from the participants showed that resources were an important part of the equation in developing and sustaining a RBM system as discussed in section 5.4.2.2 (b) above and supported by Shangahaidonhi (2013: 586). According to Madhekeni (2012: 126), RBM comes at a great cost, hence, the provision of adequate resources is critical. SH D stated, *"Schools require adequatefinancial resourcesin order to develop and sustain an RBM system. Without adequate resources, the journey is doomed from the start.*" Another school head added, *"Leadership support of the programme is seenthrough providing adequate financial and human resources*."(SH J). This was corroborated by T1 of school H during the individual teacher interviews, who indicated: *"Resources are key for they are used to ensure quality training of staff….provision of stationery and other materials and above all providing incentives…..no excuses, enough resources should be mobilised first."*

It was quite clear from the interviews that most participants were of the opinion that financial and material resources were critical in developing a sustainable RBM programme. Tanzania, for example, established the PIF as a vehicle for funding RBM (Bana & Shitindi 2009: 6). SH E added another dimension to the discussion:

> *School heads should have a greater say in the recruitment of teachers at their schools, teachers with the requisite qualifications, experience and attitude are needed to sustain RBM.*

As highlighted in the above quotation, the issue of competent personnel is important, since according to (Saldanha 2002: 12), human resources are key to results delivery. It is clear that participants recognised the importance of meritocracy in staff selection since competent teachers were required for developing and sustaining an effective RBM system.

By and large, the study participants seemed to have fixed ideas on how a RBM programme is resourced and supported. A poorly funded intervention, as evidenced by the study participants' responses, is not likely to be taken seriously by the implementers. This view is shared by the United Nations University (2014: 3) that argues that staff see no in using their precious time embarking on an intervention that the government cannot fund adequately. This is an area in which the developed and the developing countries like Zimbabwe differ. In developed countries, success in RBM can be attributed to proper resourcing, whereas in developing countries implementation failure is due to the governments' failure to fund such programmes adequately. The poor funding of RBM initiatives demotivates staff, breeds cynicism and leads to employees' disengagement with regard to the whole process.

The next section focusses on the research findings on the need to provide training and education as an important component of developing a sustainable RBM system.

(e) Providing training and education

As also mentioned by Madhekeni (2012:126), participants in this empirical study cited training and education as key ingredients in the development and sustenance of a RBM system. Participants underlined the fact that a RBM approach brings with it a completely different way of doing things and hence, requires skills that are lacking in the school system, thus, guidance and technical assistance are required. One participant stated, *'It's [sic] imperative that staff are given the requisite knowledge and skills on RBM, there is no short cut.'*(SH J). T9 of school G supported the foregoing view and declared:

> *RBM training should be intensified so that staff appreciates the phenomenon. The training shouldn't [sic] be a one off event…. It should be ongoing and cover all teachers.*

Participants also highlighted what Shangahaidonhi (2013: 588) points out that training by specialists should not only be limited to senior officials such as school heads. According to teachers, it would be important to *"get it [information on RBM] from the horse's mouth"* as indicated by T10 from school F during the focus group interviews. This would help allay

the fears of T2 of school F as discussed in section 5.4.2.2 (c) above who pointed out that heads did not appear knowledgeable about RBM, hence, they could not train the teachers properly. It was generally agreed by the participants that specialist trainers with the capacity to update the training materials continuously in keeping with the changes on the ground were of paramount importance. This idea was supported by Amjad (2008: 16). The participants mentioned the fact that through proper training on RBM, staff would appreciate the phenomenon and this would subsequently help change the culture of their organisations. This is viewpoint is reiterated by Madhekeni (2012: 126) who asserts, 'Training does not only assist in the acquisition of skills but also in changing the school culture.' According to the study participants, the Ministry of Primary and Secondary Education should undertake capacity building through conducting training courses and seminars, availing outside consultants to help staff and making use of mentorships and secondments to assist the RBM implementers. The participants observed that since international consultants such as Dr Rasappan, the Malaysian hired by the Zimbabwean Government to introduce IRBM, they should be paired with local consultants to help develop local expertise.

To develop a sustainable RBM system, the participants asserted that training should help "clear the mist" regarding RBM concepts. According to the school heads and teacher participants and supported by the World Bank (2011: 19), it is imperative that definitions of key RBM terms are agreed upon and published. SH I explained,

> *An agreed [sic] dictionary for key terms such as output, outcome, indicator etc. [sic] should be developed to ensure that staff operates at the same wavelength and avoids confusion.*

This is of paramount importance since SH J noted that there was confusion regardiiing the meanings of RBM terms as discussed in section 5.4.2.2 (c) above. To ensure that every teacher was competently trainedwith regard to RBM, the heads and teacher participants suggested that this [RBM] should be part of the tertiary education curriculum. SH D pointed out that, "*If teacher training colleges include a course on RBM as part of their curriculum, school heads will have more time to manage and monitor implementation.* "This move would not only ensure the standardisation of teacher information on RBM but would result in all teachers being trained, unlike the scenario pointed out in section 5.4.2.2 above that noted that some beginner teachers had not been trained.

As was raised by T10 from school G and discussed in section 5.4.2.1 (e), most of the participants pointed out that the identified training needs indicated on the appraisal forms should be honouredin order to develop a sustainable RBM system. Thus, the Ministry of Primary and Secondary Education should go on and offer training to counter the identified gaps. This wouldgo a long way to motivating the staff whowould likely tend to work hard to ensure the development of a sustainable RBM regime. The next section explores the findings on the need to ensure staff participation in the development of RBM.

(f) Ensuring staff participation

The raw data collected from the participants indicated that to develop a sustainable RBM system there is a need for full staff participation to ensure that there is commitment of all staff members. According to the participants, staff involvement increases their commitment to RBM and helps develop a sense of ownership as supported by Mayne (2007a: 21). T5 from school A put it aptly, *"We are professionals and we deserve to be consulted on issues that concern us so that we are together in it."*SH E supported this when he said, *"As practitioners on the ground we have information and experience that will assist in the development of a robust RBM system."* As highlighted in section 5.4.3.2 above, T3 from school A demanded to be heard. This is supported by Amjad (2008: 13) who asserts that staff participation helps create a positive culture and programme ownership that, in turn, "increases loyalty and commitment and enhances accountability." Thus, there is overwhelming evidence from the study participants' experience that commitment and support come through the active involvement of the staff. Staff knowledge workers, in particular, have a tendency to reject a programme forced onto them, but take it as their own when they take part in its creation from the nascent stages onwards. Involving staff actively fosters "bottom-up participation and ownership" (Perrin 2006: 26). The participants' views are echoed by Hassanein, cited by the World Bank (2006: 25) that noted, "We should not at all forget that bottom-up is better than top-down."

During fthe ocus group and individual teacher interviews,the school heads of schools A, B, C, D, E, G, H, I and J and most of the teachers stated categorically that they needed to be involved from the onset in the development of guidelines and operational policies of the RBM system since they contributed directly to the input, output, outcome, performance and

all the important aspects of the school operations. As discussed in section 5.4.2.1 (a) above, T3 from school D complained that the teachers had no opportunities for suggestions, while SH A indicated that the perceptions were negative because they had no room to "interrogate" the IRBM system(see section 5.4.1.1).

According to the study participants, the involvement and participation can be done through piloting the RBM system as propounded by Perrin (2006: 11). Binnendijk (2000: 23) also supported piloting since according to her it provided an opportunity for experimentation and lesson learning. The following quotation indicates that SH C supported piloting:

> *Pilot testing the RBM system gives us a chance to identify and come up with solutions to problematic areas … it will make staff at lower levels participate fully and resultantly develop interest and this guarantees support of the intervention … let's [sic] walk together from the onset.*

It was made abundantly clear by the participants that piloting gives staff an opportunity to test run the RBM model, make mistakes and fine tune the programme. Learning opportunities take place during piloting because it accords an opportunity for trial and error where mistakes are not punished. Furthermore, piloting ensures that RBM is introduced gradually and is better than the "big bang" approach that is revolutionary, ineffective and unsustainable, according to the World Bank (2006: 34).The above quotation by school C's head alludes to the need to take advantage of the decentralisation approach in introducing RBM. The decentralisation approach as highlighted elsewhere in the report provides a fertile ground for institutionalising RBM. The study findings are supported by Bana and Shitindi (2009: 14) who posit that the most effective way to introduce changes to the school system is by "evolution rather than revolution."

Thus, according to most of the participants, the involvement of staff from the nascent stages of designing an RBM system would ensure their commitment to the system and motivate them to achieve the targets as supported by Curristine (2005a: 141). The next category discusses findings ways of building credible measurement systems as a way of developing a sustainable RBM system.

5.4.4.2 Building credible performance measurement systems

According to the empirical study, in order to build a credible RBM system, participants suggested that it is imperative to develop a simple and practical measurement system, provide and make use of baseline data and uphold consistency in implementation as suggested by the OAGC (2000:18). These findings will be discussed and analysed in the subsequent sections.

(a) Developing a simple and practical measurement system

Substantial evidence exists in the empirical study that, in order to sustain the RBM system the issue of complexity has to be addressed as advised by the World Bank (2011: 11).This is also in line with Binnendijk's (2000: 23) suggestion that the system should be simple and user friendly and efforts should be made to avoid making a "measurement bureaucracy." T9 of school I commented,

> *It's [sic] important to develop easy to understand RBM terms and seriously consider reducing the size of the appraisal form that is both complex and cumbersome … it should have face validity … the system has to be user friendly.*

This comment is not isolated since in section 5.4.2.2 it was reported that SH I complained that the IRBM system was complicated, while T9 from school G pointed out that the appraisal form is too long and complicated. SH C in the same section attributed the complexity to the wholesome importation of the model from developed countries were organisational and human resource systems were too advanced. It has been noted that external consultants were reluctant to simplify the system in conjunction with the local capacities.

T4 from school H aptly noted, *"Keep it simple [RBM] and you will get our support".* This is in support of Shangahaidonhi's (2013: 587) assertion that simplicity is a necessary condition for developing a sustainable RBM system. Most study participants were of the opinion that the logic model was easier to comprehend and implement than both the IRBM

and the conceptual models. The school head of school A had this to say: *"Let's [sic] use the results chain which runs from inputs, activities, outputs through to outcomes. It's [sic] more comprehensible and can be easily applied in schools than the rest."* This clarion call is supported by Meier (2003: 7). This vital finding could be because of the reason that the logic approach is close to the performance management system that was used in schools prior to the adoption of results management. The system used was activity oriented and using the logic model would imply adding and focussing on two extra steps, namely output and outcome. It is important to realise that in change management, people were comfortable with the incremental approach rather than making wholesale changes to the *status quo*.

According to the study participants, RBM areas that needed to be simplified to guarantee the development of a sustainable system include selecting few and less complicated indicators, the reporting system of performance information and the frequency of reporting and detail required. A cumbersome reporting system is likely to be treated as an additional task and therefore resisted.

According to the raw data obtained, the participants indicated that one way of making the RBM design simple, is to develop consensus on the use of RBM common terminology and provide comprehensive guidelines as highlighted by T2 of school F in section 5.4.3.2 above. This is supported by OAGC (2000: 15) which posits that a RBM system that is user friendly is embraced easily by staff. The participants also agreed that simplicity can be brought about by minimising indicators as supported by Cox (2009: 16). School heads B, C, D, F, G, H and J suggested that the indicators developed ought to be practicable and easy to understand. The view arising from the empirical study is that a big number indicators causes confusion and creates resistance in the staff.

The next section discusses findings on the need to provide and make use of baseline data as a way of developing a sustainable RBM system.

(b) Providing and making use of baseline data

Participants indicated that there was a need to provide and make use of baseline data if the schools were to develop a sustainable RBM system as supported by OAGC (2000: 19). The

school heads and teachers highlighted that baseline data would assist in setting realistic targets. One participant expressed the following viewpoint:

> *It will be important to know where we are in terms of what's [sic] being measured before we set targets so that we aren't [sic] short changed. It has been noted with concern that currently, targets set for us by our superiors are arbitrary ... just from the blues ... say, for example, 80% pass rate is expected at Grade 7 yet currently our school has a pass rate of 51%. That's [sic] not practical. (SH J).*

T5 from school D corroborated, *"Targets have to be based on existing standards….teachers will be motivated to work and improve on what is prevailing….not a short in the dark."* This clearly alludes to the need for collecting data and establishing performance baselines/benchmarks prior to setting targets. According to Binnendijk (2000: 23), baselines are handy when it comes to monitoring, making comparisons and a rating. A RBM system that results in a fair measurement of staff is sustainable OAGC (2000: 19). The general view arising from the study is that exerting force to realise arbitrary goals leads to goal displacement and cheating, even moreso when this is attached to incentives and punishments. Targets should also be qualitative because focussing on quantitative targets only, results in staff putting more emphasis on what is easier to measure at the expense of what is more important, thereby sabotaging the RBM process. The next section focusses on the findings regarding the need to uphold consistency in the implementation as a strategy of developing a sustainable RBM system.

(c) Upholding consistency in implementation

In line with Curristine's (2005a: 136) findings, raw data from the interviews revealed that consistency is an important attribute with regard to developing a sustainable RBM system. As pointed out by school heads G, H and I and verified by OAGC (2000: 11), there is a need to maintain momentum in the implementation of RBM. School H's head commented, *"Consistency should be maintained, there is no need to blow hot and cold."* Another participant supported this viewpoint, *"Senior authorities appear to have put the foot off the pedal since we no longer receive MIPA on time....no workshops....it shouldn't [sic] be like*

that"(SH G). These remarks pointed to the need to make sure that consistency is upheld to ensure the development and sustainability of RBM as echoed by Shangahaidonhi (2013: 587) who advocated the need for patience, persistence, building consensus and maintaining momentum. Those in leadership positions should be earnest and sincere in implementing RBM since knowledge workers such as school heads and teachers are professionals who can easily discern that the government is not serious with results management. Participants also brought up the issue of the need for continuity that Amjad (2008: 17) avers, has a positive effect on building a sustainable RBM regime.

The next section presents the findings on the importance of using school performance information to ensure the development of a sustainable RBM system.

5.4.4.3 Using school performance information

As suggested by Mayne (2007a: 36), the participants emphasised that the education authorities and school leadership should use performance information obtained from performance measurement activities to build a sustainable RBM system. According to the study participants, there should be demonstrable use of school performance information, provision of incentives and regular reviewing and adjustment of the system as supported by the OAGC (2000: 19). These will be discussed in the subsequent sections.

(a) Demonstrating use of school performance information

According to the study participants, it is imperative that the school system should demonstrate how that it is using the school performance information so that staff confidence can be boosted and the RBM system can be sustained. As highlighted by T8 of school H in section 5.4.1.1 one teacher participant elaborated on this point during the focus group interviews,

> *As teachers, we will be encouraged to accept and participate fully in a system where information obtained is readily used by school leadership and the employer to make decisions about our welfare. (T4 of school G).*

Thus, in line with Shangahaidonhi's (2013: 582) pronouncements, the credibility of a RBM system is enhanced when school information is used and is seen to be used by the staff. SH I supported by SH D in section 5.4.1.2 summarised the point, "*If authorities use performance information openly for decision- making, the lower tier managers will follow suit. Heads and teachers should realise that RBM brings real benefits to themselves and the school."*

The views of the participants in this regard is supported by Amjad (2008: 16) who said that staff who provide services, collect and report data are motivated if the government use that performance information because this would result in performance improvement and subsequently help with the sustenance of RBM. Failure to show how RBM can be used is likely to breed cynicism amongst staff members.

School heads A, C, D, E, F, H and J also highlighted the essence of the feedback of performance data to staff, as voiced by Saldanha (2002: 19). SH A expressed the following opinion:

> *We put a lot of effort in periodic reviews and rating so we expect feedback on this performance information ... we deserve to be told whether what we did was considered useful ... when we can be shown how our effort was used, we will value the programme and be encouraged to soldier on.*

The school heads' views are in line with Perrin (2002:23) who argues that for school information to be meaningful, efforts should be made to give feedback and show that it is relevant to those who produce it. The school heads clearly stated that they would give high priority to a programme that demonstrates meaning to them and in such cases, according to Saldanha (2002: 19), the data accuracy provided would not be questionable. Thus, to avoid RBM being treated as an add-on or a mere bureaucratic requirement, the programme has to be relevant and useful for the staff.

According to the findings of this study, the need to show the relevance of the school performance information is strongly linked to the issue of incentives which is discussed in the next section.

(b) Providing incentives

As discussed n section 5.4.2.1 (c),above the need for providing incentives was raised by the participants as a critical issue with regard to developing a sustainable RBM system as supported by Mavhiki *et al.* (2013: 138). Basing on the answers given by participants, there is evidence that providing incentives makes staff change their behaviour and shows the importance that the school system attaches to RBM. For public sector organisations like schools that are traditionally input and activity oriented, practising RBM is challenging, hence, the need for incentives to ensure institutionalisation. Recognition of good efforts can be motivating for the staff. Most responses given by the study participants are supported by one roundtable participant cited by the World Bank (2006: 50) who declared, "Until the policies are truly used and reviewed, departments will not fully believe in the government's commitment to RBM."

One school head remarked, *"It [RBM system] brings with it a lot of extra work hence staff should clearly see the benefits associated with this extra load."*(SH F). T1 from school B added, *"If teachers who are successful, are rewarded, they will realise the importance attached to the system and will endeavour to work harder for successful implementation."* These views expressed by participants are supported by the OAGC (2000: 20) that asserts that "the school must reward individuals who keep their end of the bargain." To ensure the sustenance of their RBM framework, the Philippine government introduced a PBB, a top up bonus for staff given commensurate with their effort towards the achievement of their organisation's goals (ADB 2013: 5).

Raw data obtained from the participants showed that most participants valued monetary incentives such as performance related pay and bonuses. This is contrary to the assertion of Ariely, cited in the World Bank (2011: 46), who contends that cash rewards resulted in "perverse effects on performance." T10 from school H expressed the following view:

> *Given the economic constraints and the poor salaries which are below the poverty datum line.....I expect more money to take home....more disposable income....my family should benefit from my good work performance.*

Another teacher participant added, *"It should be give and take, we expect more pay for implementing RBM.... we don't [sic] eat good reports and recommendations."* (T7 of school H) These views are in line with what was expressed by T6 from school F and T1 from school J in section 5.4.2.1 (c) above.

However, some participants indicated that non-monetary incentives should be used to augment monetary incentives in order to build a sustainable RBM system. SH G said, *"On top of money, high flyers should be given scholarships as a way of appreciating their effort."* T4 from school C agreed:

> *The section on training required on the appraisal form should be taken seriously ... I feel motivated to be accorded an opportunity to pursue a course of my choice as an incentive ... this will be for posterity ... unlike given cash only.*

Similar points were raised by T10 of school G in section 5.4.2.1 (e) above. The next section focusses on the importance of reviewing and adjusting the RBM regime regularly to ensure its sustainability.

c) Reviewing and adjusting the system regularly

In line with similar sentiments expressed by Mayne (2007a: 39), there is sufficient evidence from the study to support the essence of a continuous review and adjustment of the RBM system to ensure that it is sustainable. As highlighted in section 5.4.3.3. above, study participants indicated that to ensure the development of a sustainable RBM system, there is a need to review it periodically and improve it, based on the experiences of the implementers. In support, the World Bank (2006: 50) contends that the RBM initiative should be subjected to "regular review, evaluation and revision." According to SH H, *"It's [sic] critical to carry out periodic reviews with the aim of identifying what should be changed to ensure the system flows smoothly."* Similarly, T1 from school G lamented, *"The programme shouldn't [sic] be cast in stone, it should be amenable to review , revision and update to ensure it's [sic] in keeping with what's gotten from the field."* Another supporting comment was made by T3 from school I, "*Surely youcan't [sic] go on and on without*

getting feedback from us the programme users. If feedback is given, this will help note the problems on the ground and in turn, the system will be improved."

In line with Mayne's (2007a: 39) findings, the participants clearly pointed out that identifying problems with RBM as noted by the users will help to improve the system. It was also mentioned that the RBM system had to be evaluated by consultants if it were to be sustained .One school head stated, *"After so many years of implementation, credibility can be given to the system through evaluation by renowned consultants, who will come up with recommendations which will give the RBM system a new lease of life"* (SH C).

Thus, as highlighted by the participants and proposed by Mayne (2007a: 39), external evaluation is of paramount importance in developing a sustainable RBM regime. SH J pointed out that, *"The RBM approach should be continuously improved so as to become responsive to the changes in the school environment."* This is similar to the views expressed by SH I, SH D and T1 from school J in section 5.4.3.3 above and is in keeping with Amjad's (2008: 20) assertion that "RBM should evolve as a practical approach with blend of experience and academic literature." Regular review and revision would help to sustain the RBM system since it provides a chance to find out what might not be working and therefore, needs modification. It can also be a way of showing commitment to the system.

The responses from the school heads and teachers concerning the four emerging themes have been condensed to form a RBM model that will be the focus of the next section.

5.5 A SUSTAINABLE AND EFFECTIVE MODEL OF RBM

The overarching goal of the study was to create a sustainable and effective RBM approach for Zimbabwean schools. The development of the Zimbabwean RBM Practical Model (ZRBMPM) is premised on the vital facts got from the literature review on RBM and the interviews with the research study participants. Thus, an eclectical approach whereby the strengths of the discussed models were taken and fused with the study findings was employed to come up with the model. Figure 5.1 depicts the Zimbabwean RBM Practical Model (ZRBMPM) that is comprised of three phases namely; laying the implementation

foundation by addressing challenges, Incentivising to promote sustainable and effective RBM implementation and finally, the production of results.

5.5.1 Phase 1: Laying the implementation foundation by addressing challenges

The first phase entails laying the foundation for effective and sustainable implementation of RBM through identifying and addressing challenges in the school environment. A number of organisational and technical challenges were unearthed in the empirical study and strategies to countenance them will be the focus of phase one of the ZRBMPM. The general lack of demand for RBM in schools is manifested by the failure to utilise school performance information, the dearth of good examples of successful RBM implementation and the complexity of the models adopted "imported" from the developed world. To address this challenge, it is imperative that the cost effectiveness of RBM is demonstrated and examples of good RBM implementation are shared. The Kenyan Rapid Results Approach is a good example (Sylvester 2006: 1; Otwori 2013: 10). It is also important to indigenise RBM to come up with a simple, user-friendly, context sensitive and relevant intervention as done in Tanzania (Bana 2009: 6) and Phillipines (ADB 2013: 1). A customised RBM system would win the support of school heads and teachers who, as professionals, want to associate with something they helped to craft. Thus, indigenising RBM would ensure the development of a participatory culture that is an important ingredient in creating joint ownership of the intervention. According to the NPMAC (2010: 4) staff perception on a performance management intervention is shaped by their role in the programme. Thus, if given a key role in RBM, school heads and teachers would make efforts to implement it successfully. The Zimbabwean RBM Practical Model also advocates for the utilisation of performance information to make decisions in schools that will go a long way in motivating staff and entrenching the intervention.

Another challenge that is addressed in the first phase of the model is the lack of a RBM mandate. This is manifested by the lack of a legal or regulatory framework that results in a lack of a results culture and organisational support with regard to implementing RBM. To solve this problem, the first phase of the model proposes that a legislative and regulatory framework should be set up. It should be observed that RBM addresses accountability and authority issues, which require a strong political will and commitment with regulatory and legislatory support (Amjad 2008: 21). The crafting of an act of parliament in the mould of

the GPRA (1993) of the USA would ensure that staff in schools recognise the importance the Government of Zimbabwe and the Ministry of Primary and Secondary Education in particular, attached to RBM. This would subsequently lead to the development of a results culture in schools and guaranteed budgetary support from the fiscus.

The lack of training is manifested through insufficient workshops and seminars, the lack of quality trainers and the fact that RBM is currently not taught at tertiary level. In order to institutionalise RBM, the model calls for the introduction of RBM as a core course/subject at tertiary level, the intensification of training at all levels and the crafting of meaningful and informative RBM guidelines. Training gaps identified through the staff appraisal system should be taken seriously and addressed through staff development workshops or outside courses. Guiding materials contain an agreed glossary of common RBM terminology to avoid confusion. Workshops, seminars and symposiums are also necessary since they create a platform for sharing experiences on RBM implementation. Knowledge management is also important since the Zimbabwean RBM Practical Model (ZRBMPM) is work in progress that requires continuous interaction with the open environment. Staff needs to be accorded chance to share knowledge and learn through other member's experiences. This would ensure that regular reviews, adjustments and updates are made to the system in keeping with the dictates of the environment to guarantee its sustenance.

To address the lack of leadership and support and commitment that manifests through the lack of timeous provision of RBM guiding documents to schools and lack of change management skills amongst school heads the model advocates a number of measures. First there is need to ramp up the timely provision of the important RBM guiding documents to schools, that is, the MIPA) and the DIPAs. The MIPA and DIPAs should be given to schools before the onset of the performance cycle to give staff room to develop relevant individual work plans that are in keeping with the budgetary provisions. To ensure that a sustainable and effective RBM system is institutionalised, the model calls for the introduction of RBM champions in schools who would assist school heads. The advantage of RBM champions is that they rely on expert power, hence they help instill confidence with regard to the use of RBM among staff members. The model also emphasises the need for developing transformational/strategic and functional leadership amongst school heads. School heads are pivotal in RBM implementation, hence the need to enhance their management capability and capacity. Wachira (2013: 13) argues that change initiatives that

do not first ensure the enhancement of management capability would remain a pipe dream. Transformative leadership focusses on people, change management, direction and results (Covey, cited in Wachira 2013: 6) while functional leadership places the emphasis on group effectiveness and cohesion (Wachira 2013: 3). Thus, according to the ZRBMPM, school heads should be equipped with strategic leadership and change management skills. To ensure the sustenance of the envisaged RBM system, transformational leadership by school heads would ensure the institutionalisation of change management interventions that can change the mindsets of teachers to focus on results. Transformational leadership skills developed in school heads would require them to engage teachers in the important processes of RBM utilising the "top-down and bottom-up" method. Teacher participation empowers them to take responsibility for implementing planned reforms and ensures the achieving of commitment that is critical with regard to the institutionalisation and sustenance of the system. The active involvement of key stakeholders like teachers, in all the facets of RBM processes is important since programme ownership is key (Mayne 2007a: 29). Through functional leadership capacity building, school heads will develop team building skills that can bring the needed cohesion in the successful implementation of RBM. Team work is essential in schools since one teacher's output is usually another teacher's input. The institutionalisation, sustenance and effective implementation of RBM lies on the bedrock of teamwork (Amjad 2008: 9).

According to the ZRBMPM, the lack of resources is a major obstacle that has a bearing on all the other challenges cited in the preceding paragraphs. Without adequate resources, the institutionalisation of a sustainable and effective RBM system remains an elusive pie in the sky. The lack of resources is manifested through insufficient funding, the lack of requisite RBM materials and insufficient staff time. The lack of financial resources affects training programmes negatively and leads to a lack of demand for RBM because of the non-use of school performance information for awarding bonuses. In the Zimbabwean situation, the absence of a legal/regulatory RBM framework results in the lack of funds for the programme, since budgetary support for the intervention from the fiscus is not guaranteed. Without legislative support, the programme remains unprioritised in terms of the country's annual budget. This lack of resources, results in the inability to institutionalise a sustainable and effective RBM system because of the dearth of staff knowledge, lack of human and institutional capacity, lack of incentives and an unsupportive environment. The availability of adequate resources is the panacea for institutionalising a sustainable and effective RBM

model in the Zimbabwean context that is characterised by debilitative budgetary constraints. To address this and develop a conducive environment to support the implementation of a sustainable RBM system, the Government of Zimbabwe and the Ministry of Primary and Secondary Education should mobilise the required resources. In addition, sufficient time for RBM effectuation should be given. A simple appraisal system would help cut the time spent by teachers on it and have the effect of leaving them with more time to undertake their core business. According to the Zimbabwean RBM practical model, the resources for this critical intervention should be provided by the government. Moreover, it is imperative that there be a vote for RBM implementation in the annual budget. However, due to the constrained fiscal environment, funds can also be mobilised from donors. In addition, sustainable borrowing to fund the programme is also a viable alternative. Another alternative is to encourage public-private partnerships. After the mobilisation of sufficient resources, fertile ground for implementation will have been prepared and the model can move to the second phase that uses the available resources as its spring board.

5.5.2 Phase 2: Incentivising to promote sustainable and effective RBM implementation

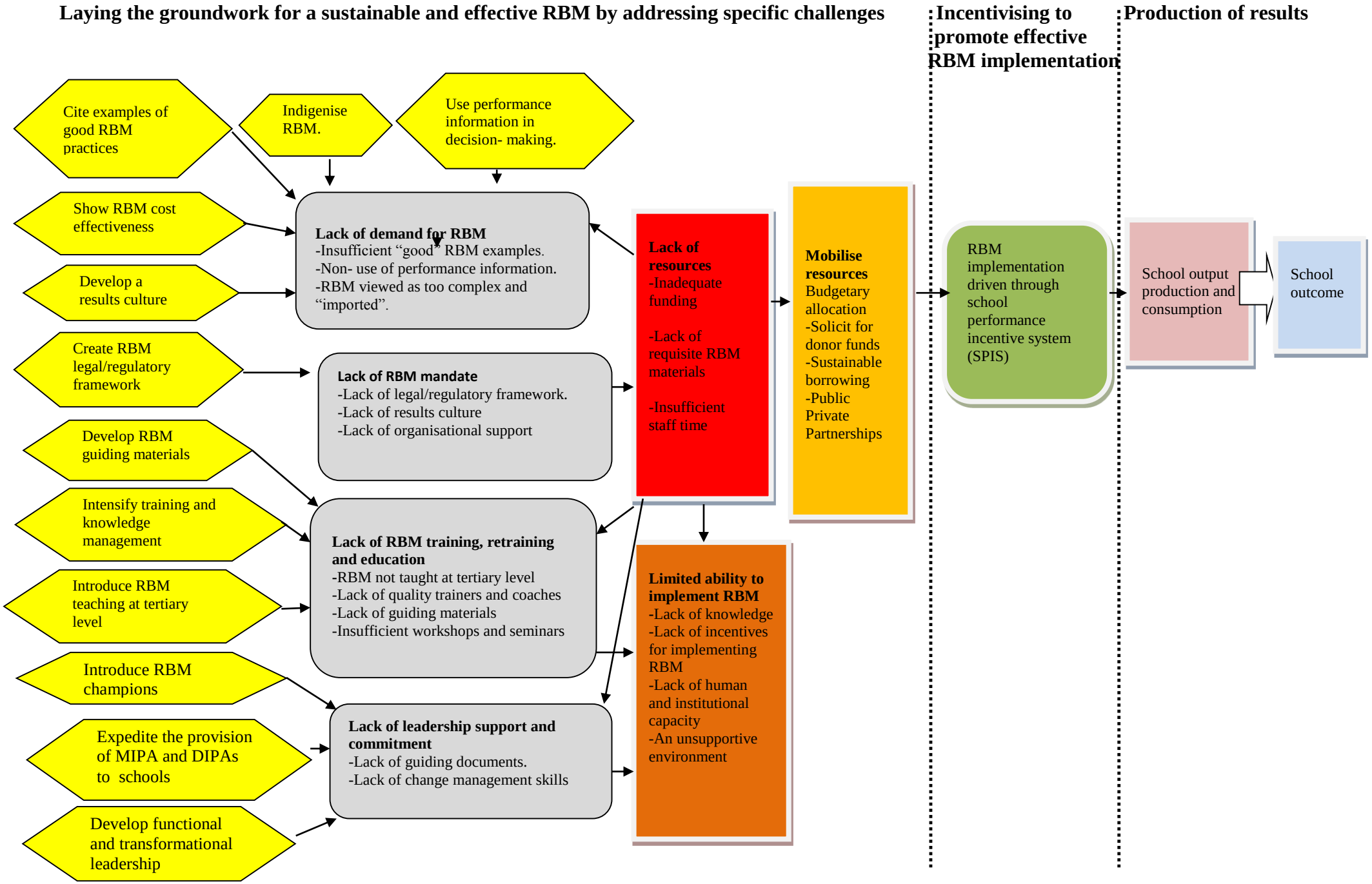
Incentives are a crucial element for the successful implementation and sustenance of an effective RBM system (Mayne 2007a: 14; ADB 2006: 17). Therefore, the second phase of the model entails promoting RBM implementation through incentivising staff. This is a critical phase whereby the inputs are mixed resulting in the production of outputs and outcomes (the third phase). The inputs include the sourced funds and human resources. This model takes cognisance of the fact that important interventions are conceived and achieved "through people and by people" (Wachira 2013: 13) hence, the need for strategic people management. Thus, this phase emphasises the need for the effective management of people, since human resources practices and productivity are closely linked. To achieve the above, this critical phase of the model is driventhrough the school performance incentive scheme (SPIS) which will ensure that members are rewarded for a good work. It is critical to observe that good behaviour is driven by incentives and without them, the RBM initiative is not likely to succeed. Since school results are realised by group efforts, the SPIS reflects this by having rewards for groups as well as individuals. Thus, this model advocates devising individual work incentives and an appraisal system that encourages teamwork. A

motivated workforce that is incentivised and sees the value of implementing RBM and is eager to produce good results is the focus of the third phase of this model.

5.5.3 Phase 3: Production of results

The third phase of the Zimbabwean RBM Practical Model is the results production phase that focusses on the production and consumption of school outputs and outcomes. In this case, the term “results” refers to the school outputs and outcomes. The term “school outputs” refers then to the specific goods and services a school produces while the term “outcomes” refers to the effects that result from the school outputs. Since the school exists in an open environment,an evaluation of the school outputs and outcomes will naturally lead to the first phase where attempts are made to address the shortcomings (challenges) noted in the results production phase.

Figure 5.1 The Zimbabwean results-based practical model (ZRBMPM)



The next section offers a summary of Chapter 5.

5.6 SUMMARY

Chapter 5 presented the findings of the study. This chapter included the analysis of the study findings after individual and focus group interviews had been conducted with school heads and teachers in ten schools in the Goromonzi District of the Mashonaland East Province. In the empirical investigation, the researcher showed the way in which findings from the documentary analysis, interview transcripts and field notes were analysed by identifying the main themes, categories and sub-categories. The empirical investigation findings resulting from the emergent themes were discussed and supported by the participants' verbatim accounts. In addition, appropriate models and theories, as well as relevant evidence from the literature review conducted in chapters two and three were used to support the findings. The research findings were then used to develop a model for developing a sustainable RBM system in Zimbabwean schools, namely the ZRBMPM. The following and final chapter gives a summary of the empirical study, highlighting the conclusions reached, provides recommendations linked to the main findings of the study and also focuses on possible areas for further research.

CHAPTER 6
SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

The research problem investigated in this empirical study was:

What sustainable and effective RBM model can be developed for Zimbabwean primary and secondary schools in the Goromonzi District?

The main aim of the study was to identify the obstacles that hamper the implementation of RBM and to develop a sustainable RBM model compatible with the Zimbabwean primary and secondary schools (Sections 1.4 and 4.3).To achieve the main aim, the following objectives were set for this research study (Sections 1.4 and 4.3.1):

- To identify obstacles met in implementing the IRBM model in Zimbabwean schools.
- To identify the best practices for developing and sustaining an effective RBM model.

Chapter one gave a holistic view of RBM in schools, while chapter two explored the RBM concept extensively, models and implementation challenges. Chapter three focussed on the principles for developing a sustainable RBM system in schools. Chapter four described the qualitative research design and methodology utilised in this empirical study, while chapter five provided the results of the research findings. This chapter gives a summary of the main ideas emerging from the empirical study and draws conclusions from the main research findings based on the research question and the related literature review. In conclusion, this research study offers recommendations based on the study, presents recommendations for further study and identifies limitations. The next section focusses on the summary of the study.

6.2 SUMMARY OF THE STUDY

When introducing chapter one, the researcher highlighted that public service organisations such as schools are under scrutiny by the public who now demand results and accountability, hence the introduction of RBM (Section 1.1). To ensure re-election, politicians are also piling pressure on the need for tangible results and deliverables from schools. Section 1.2 pointed out that following the public outcry about the bad quality of service in government ministries, the Government of Zimbabwe instituted the Kavran Public Service Review Commission (1989) to carry out investigations and make recommendations. The recommendations were phased and the first phase resulted in the development of school visions, missions and client charters while the second phase led to the development of the activity focussed key result areas appraisal system that, however, was not readily accepted by the civil servants including teachers. Following international trends, the government then introduced the IRBM in 2005 to ensure that schools delivered their mandate effectively.

The research problem investigated in this empirical study was formulated as 'How to develop a sustainable and effective RBM model for primary and secondary schools in the Goromonzi District?'(Section 1.3). Three sub-questions emerged from the research problem. Section 1.4 contained the main aim of the study. To assist in looking for solutions to the research questions, objectives were formulated as given in the preceding section.

Section 1.5 indicated that this empirical study builds on RBM models as well as organisational management theories as they relate to the practical development, institutionalisation and sustenance of an effective RBM model. RBM models that were discussed briefly include the IRBM, the logic model, the conceptual model, RBMF business model and the (PIM (Section 1.5.1). The organisational management theories that underpin the implementation of RBM discussed in section 1.5.2 are the team building theory, change management theory and the open system theory. RBM calls for team work to ensure that there is joint ownership of the intervention and everyone works towards the attainment of school results. Moving from activity-based performance management to RBM is a reform that requires strategies to manage the human aspect of change to attain the much needed school goals; hence the importance of the change management theory. Furthermore, according to the systems theory of management, an RBM model is viewed as

a whole made up of interdependent parts working together collectively to achieve a common objective. RBM implementation can only be effective and sustainable if all the elements of the system are working and respond to the environment to remain relevant.

Section 1.6 provided an overview of the research methodology. The researcher surveyed the literature to explore the RBM models used in developed and developing countries, RBM implementation obstacles and RBM "best practices" (Section 1.6.1). The empirical study used the qualitative research design since it relied on the views, perceptions and beliefs of the key stakeholders (school heads and teachers) in the implementation of RBM, while in their natural settings that are the schools (Section 1.6.2).The school heads and teachers' views on RBM were obtained through semi-structured individual interviews and focus group interviews (Section 1.6.4). School heads and teachers' individual work plans were also analysed. Purposive sampling was used to select school heads and teachers who had been trained in RBM (Section 1.6.3). The sample of teachers included both experienced and beginner teachers. Section 1.6.5 highlighted that after data collection, the interviews were transcribed, coded and emerging themes identified after which the data obtained were linked to the literature review.

Since this research study dealt with human beings (school heads and teachers), section 1.7 briefly discussed the ethical issues considered in the study. The ethical issues discussed in the study included approval for conducting the research (Section 1.7.1), informed consent and voluntary participation of the school heads and teachers (see section 1.7.2), privacy, confidentiality and anonymity(Section 1.7.3) and access to research results (Section 1.7.4). Key terms used in the research study were defined in section 1.8 to create a common understanding. Section 1.9 gave a concise outline of the six chapters of the empirical study.

Chapter two focussed on a related literature study on the 'RBM' concept, models and implementation challenges. Section 2.2 traced how RBM evolved from Drucker's idea of 'management by objectives' pioneered in the 1950s, to the logical framework system of the 1970s and the new public management introduced in the 1980s. The rationale for implementing RBM in Zimbabwe in the light of the need to use the limited resources more effectively to achieve the targeted results was discussed in section 2.3. Section 2.4 explained the 'RBM' concept as a management tool that focusses on the realisation of the school results and thereby demystified the concept. The RBM key elements are the focus

of section 2.5. The key elements are that RBM helps the school clarify its mandate and clients, identify performance expectations and outcomes, connect the budget to output delivery, report on its performance, ensure a performance review and continuous performance and demand meritocracy in the management of human resources.

Section 2.6 highlighted that the introduction of the RBM approach in Zimbabwe could be implemented by the government or by donors seeking value for the injected capital. Section 2.7 paid attention to the eleven staged processes of RBM. Section 2.8 examined models of RBM that include the IRBM, the logic model, the conceptual model, the Philippine RBM framework (RBMF) business model and the Tanzanian performance improvement model (PIM).

Section 2.9 discussed the obstacles encountered when implementing RBM in schools. The RBM implementation obstacles were called organisational challenges (section 2.9.1) and technical challenges (Section 2.9.2). School organisational challenges cited included the problems associated with the creation of the right school climate, setting unrealistic school expectations, failure to gain acceptance, the problem of setting school outcome expectations, the problem of choosing relevant school performance information and utilising it meaningfully in making decisions, the problem of distorting behaviour and the issue of accountability for results.

Technical issues that hampered the implementation of RBM in schools that were discussed included the problem of measuring school outcomes, the issue of attribution, the challenge of linking budgetary and school performance information, bad quality of information, the poor training and support and the lack of resources dedicated to the implementation of RBM.

Chapter 3 focussed on the principles of developing a sustainable and effective RBM system in schools and is based on experience gained worldwide in the implementation of RBM which is referred to as "best practices" or "effective practices". The first principle discussed is creating high-level leadership in RBM in schools (Section 3.2.1). To achieve this there is a need to show high-level support and commitment (Section 3.2.1.1) which can be realised through showing senior leadership and support, providing consistent commitment and managing staff expectations effectively. High-level leadership in RBM can also be

created by developing the capacity of the school's senior managers as discussed in section 3.2.1.2.

Another critical principle pertaining to developing and sustaining an effective RBM system entails cultivating a results culture in schools (Section 3.2.2). Section 3.2.2.1 highlighted that aRBM culture in schools can be cultivated by creating a demand for information on the results. The demand for results information in schools can be created by promoting a desire for results information, showing the need for planning and budgeting based on results and creating a culture for results-based performance reporting.

As discussed in section 3.2.2.2, the creation of supportive systems in schools helps to inculcate a results culture. To facilitate the creation of supportive school systems that would, in turn, lead to the creation of a results culture, there is a need to introduce and support incentives in the school,give school heads the autonomy and flexibility to manage for results,put in place user friendly information systems and create linkages between RBM and other reform initiatives.

Another method of encouraging the creation of a results culture in schools is to ensure an outcome-oriented accountability system in the school as discussed in Section 3.2.2.3. This, in turn, can be achieved through taking cognisance of the problem of accountability for outcomes and recognising and rewarding good performance. Also of importance in the development of a results culture in schools is the need to build a capacity to learn, adapt and adopt as discussed in section 3.2.2.4. This is realisable through developing learning in schools and inculcating the spirit of accepting errors and learning from them. Thus, effective knowledge management is crucial.

To create a results culture, it is also imperative that a framework for outcomes assessment be built in the school as discussed in section 3.2.2.5.This canbe achieved by appointing RBM champions in schools, developing the capacity of school heads and teachers and developing the capacity of key stakeholders to the school, for example, the parents.

Another way of ensuring the development of a results culture in the school entails the clarification of roles and responsibilities for outcomes management in the school as discussed in section 3.2.2.6.This canbe achievedthrough ascertaining the important role of

RBM in the school system and distinguishing and clarifying the duties of teachers and school heads in relation to the RBM approach.

The third principle for developing a sustainable RBM system entails the development of outcome frameworks with support and ownership in the school as discussed in section 3.2.3. To achieve this, the first step would be to build a strategic outcomes framework for the school (Section 3.2.3.1). This step entails designing school objectives, linking school outcomes with projects, activities and available resources and seeking approval for the strategic outcomes framework from key stakeholders.

Another way of ensuring the development of outcome frameworks with support and ownership in the school is developing outcomes frameworks for school projects and programmes as discussed in section 3.2.3.2. From the onset, it is also mandatory to create clear and concrete performance expectations for the school (Section 3.2.3.3). The development of a measurement strategy and the setting of practical performance indicators are also critical in developing outcome frameworks for the school as discussed in section 3.2.3.4. It is also of paramount importance to develop joint ownership of outcomes frameworks by school heads and staff (Section 3.2.3.5). Thus, there is a need to ensure commitment through staff participation in setting outcomes frameworks and thereby making the RBM system relevant.

Making use of results information in the school for both learning and managing is another international best practice for developing a sustainable and effective RBM system (Section 3.2.5).Results information in schools should be used to inform, learn and improve processes (Section 3.2.5.1). Results information should also be used to support school accountability processes.

The last key principle underlying developing a sustainable RBM system in schools discussed in chapter 3 is the importance of developing an adaptive RBM model in schools (Section 3.2.6). This can be achieved by ensuring the reviewal and updating of the key elements of the RBM regime regularly as discussed in section 3.2.6.1.

Chapter four is a detailed discussion of the research design and the methodology utilised in undertaking this empirical study. The research question was expressed as **“**What

sustainable and effective RBM model can be developed for Zimbabwean primary and secondary schools in the Goromonzi District?" (Section 4.2). The study aimed at identifying the challenges that hindered the implementation of RBM and the subsequent development of a sustainable and effective RBM model applicable to Zimbabwean schools (Section 4.3).Section 4.4 spelt out that the empirical study used a qualitative design since it sought to explore teachers' and school heads' views, perceptions, attitudes and experiences in the implementation of RBM in their school settings. This was followed by the research methods (Section 4.5) that highlighted that the study participants were selected using a purposive sampling technique to select school heads and teachers who were trained in RBM and showed a keen interest in its implementation (see section 4.5.1).Data used in the empirical study were obtained by document analysis whereby individual work plans were scrutinised (section 4.5.2.1), individual face to face interviews with school heads (section 4.5.2.2), focus group interviews with teachers (section 4.5.2.3) and individual interviews with teachers (section 4.5.2.4). Section 4.5.3 highlighted that the researcher acted as a data collection instrument to get participants' first-hand information on their perceptions, views, opinions and concerns on the implementation of RBM.

Data analysis steps included the transcription of all interviews, coding, identification of themes and the interpretation of the themes (Section 4.6).The ethical measures that were dealt with briefly in section 1.7 were revisited and discussed in detail in section 4.7 and these include the approval for conducting the research (Section 4.7.1), informed consent and voluntary participation (Section 4.7.2), privacy, confidentiality and anonymity (Section 4.7.3), permission to tape record interviews(Section 4.7.4) and measures to guarantee trustworthiness (Section 4.7.5).Measures to ensure trustworthiness discussed included credibility (Section 4.7.5.1), applicability (Section 4.7.5.2), consistency (Section 4.7.5.3) and neutrality (Section 4.7.5.4).

Chapter five presented the findings of the data collected through school heads' individual interviews, teachers' focus group interviews, teachers' individual interviews and document analysis. Section 5.2 described the profiles of the participants. The schools were coded from A-J, while school heads (SH) were coded from SH A (school head of school A) to SH J (school head of school J) and teachers (T) were coded T1, T2, and so on. The establishment of the themes, categories and sub-categories was the subject of section 5.3. The four major themes established, included the implementation of IRBM in the school system (section

5.4.1), obstacles in implementing IRBM (section 5.4.2), the characteristics of a sustainable RBM (section 5.4.3) and strategies for developing a sustainable and effective RBM system (section 5.4.4).In addition, the research findings werediscussed in section 5.4. Findings on the first theme, that is, the implementation of IRBM in the school system were discussed in section 5.4.1. The first category for the first theme covered the role played by school heads and teachers in the implementation of IRBM in schools (Section 5.4.1.1) and the second category discussed the perceived effects of IRBM on school heads and teachers (Section 5.4.1.2). Theme two, that is, obstacles encountered when implementing IRBM in schools (Section 5.4.2) were categorised and discussed as school organisational challenges (Section 5.4.2.1) and technical challenges (Section 5.4.2.2). According to the research findings, a sustainable and effective RBM system ensured adaptability and flexibility in its implementation (Section 5.4.3.1), fostered effective leadership and teamwork (Section 5.4.3.2) and encouraged effective knowledge management (Section 5.4.3.3). Theme four focussed on the strategies for developing a sustainable and effective RBM system (Section 5.4.4). These strategies were found to be creating favourable conditions (Section 5.4.4.1), building credible performance management systems (Section 5.4.4.2) and using school performance information (Section 5.4.4.3). A three-phased sustainable and effective model of RBM for schools, the ZRBMPM was presented in section 5.5. The first phase of the ZRBM Practical Model entails laying the implementation foundation by addressing challenges (Section 5.5.1), followed by the second phase that focusses on the incentivisation of staff to promote sustainable and effective RBM implementation (Section 5.5.2) and finally, the results production phase (Section 5.5.3).

The following section will focus on the conclusions derived from the literature studied (Chapters two and three) and the conclusions reached from the empirical research findings. Thereafter, in section 6.4, recommendations based on the main findings of the research will be given. Section 6.5 identifies possible future research areas. The limitations of this empirical study are highlighted in section 6.6. Furthermore, Chapter 6 is summarised in section 6.7.

6.3 CONCLUSIONS FROM THE STUDY

The major findings of this empirical study are similar to those reported in other studies in the field of RBM. This empirical study provided insight into the development and

implementation of a sustainable and effective RBM system in schools. The conclusions derived from the empirical study are given in the next two sections. The first section (6.3.1) focusses on conclusions drawn from the literature studied and thereafter, section 6.3.2deals with conclusions drawn from the research findings.

6.3.1 Conclusions from the literature study

The following sections highlight the major conclusion derived from the literature study.

6.3.1.1 There is a demand for results management in schools

Section 2.1 confirmed the importance and need for the use of the RBM approach in schools for the purpose of containing public expenditure, judiciously deploying the finite resources at the disposal of organisations, improving performance and ensuring accountability. The introduction of RBM is justifiable in the Zimbabwean context that is the result of severe resource constraints. The concept of 'results management' was pioneered in the developed countries that have already made considerable strides in its implementation, resultantly leading to mounting pressure on developing countries, such as Zimbabwe, to adopt the new system as a panacea with regard to improving school performance (Section 2.3). Developing countries have adopted the concept since its citizenry now demand good quality services from the utilisation of scarce public resources. Section 2.5 showed that RBM is important in schools since it clarifies the school mandate and clientele, identifies performance targets, demands organisational improvement, amongst others. Thus, RBM helped teachers and school heads to stay focussed, ensured that emphasis was placed on results and not inputs and activities, upheld accountability and ultimately improved school performance. Schools are required to produce more tangible deliverables and RBM has become an indispensable management tool for effective public management (Madhekeni 2012:122). The following section looks at conclusions pertaining to RBM models.

6.3.1.2 Various RBM models.

It is evident that there are various models of RBM at the disposal of developing countries (Section 2.8) and these include the logic model, the conceptual model, to name only two. Accordingly, countries such as Zimbabwe, have adopted the IRBM of Malaysia (Section

2.8.1). However, some countries were innovative and developed their own sustainable and effective indigenous systems, for example, the Philippines came up with the RBMF business model (section 2.8.4) and Tanzania created the performance improvement model (PIM) (section 2.8.5).It was noted that home-grown models were relevant and sensitive to the economic, political and social contexts of the implementing states and, therefore, more relevant than "imported" models that were complicated and not compatible with the situations prevailing in the "host'' countries. For example, IRBM used in Zimbabwean schools requires a heavy injection of funds for its successful implementation as well as the political will, but it is unfortunate that these are lacking in most developing countries (Madhekeni 2012: 127). In contrast, indigenised RBM systems had the advantage of being user-friendly and flexible. It would, therefore, be advisable for countries to develop their own RBM systems or to adopt and adapt systems from developing countries. The following section focusses on the conclusions pertaining to challenges of implementing RBM.

6.3.1.3 Challenges that militate against the successful implementation of RBM

There are various obstacles that militate against the successful implementation of RBM in schools (Section 2.9). Creating a results culture in schools that would ensure the institutionalising of RBM is extremely difficult because there are insufficient policies, systems and procedures in place. In effect, the school system has disincentives that work against the development of a results culture (Bester 2012: 32) and these include the focus on output reports at the expense of outcomes information and the lack of feedback on performance reports (this discourages those who generated the reports). Another disincentive is the weak linkage between RBM and the performance appraisal system. In schools, there appears to be no repercussions with regard to the poor performance of teachers, resulting in little incentive for others to perform (Section 5.4.2.1c).

Another major challenge is the fact that in most developing countries, the RBM systems used were simply adopted from developing countries (Section 2.9.1.1). The relevance of such ''imported'' interventions is usually questioned since the political, social and economic contexts of developed and developing countries differ, hence they fail to gain acceptance (Section 2.9.1.3). Without key stakeholders' commitment, the sustainability of any RBM system is doubtful (Bester 2012: 29).

Most developing countries, such as Zimbabwe, face serious RBM implementation problems because of resource constraints (Madhekeni 2012: 127). Implementation of such a significant intervention costs a considerable amount of money. There were no funds to implement RBM effectively in Zimbabwean schools due to the depressed economic environment. This non-availability of adequate financial resources for RBM implementation has had ripple effects. It affects the capacity building of staff negatively since there are no funds to carry out effective training and develop requisite guiding materials (Section 2.9.2.5). Lack of resources would also mean that there are no funds to incentivise staff, yet RBM implementation is doomed without staff incentives (Section 2.9.1.1.).The lack of support by policy makers with regard to RBM is another major challenge and is evidenced by the lack of legislative/regulatory frameworks for operation (Section 2.9.2.5). Importantly, the lack of a legislative framework for RBM would mean that the budgetary support for the intervention is not prioritised.

There is overwhelming evidence that developing countries prioritised political expedience ahead of everything else (Wachira 2013: 9). The politics of patronage practised in developing countries means that appointments and promotions are not based on merit and hence militate against a results focus. RBM is a system whose subsystems must work efficiently for it to be implemented effectively (section 1.5.2). The following section focusses on conclusions on the essence of strong leadership in effectuating RBM.

6.3.1.4 Key role of school leadership in developing and implementing RBM

The international best practices for the creation, institutionalisation and sustenance of an effective RBM approach, point to the need for strong and supportive leadership (Section 3.2.1).Thus, the successful entrenchment of RBM requires functional and transformative leadership that focuses on people (Wachira 2013: 6). Strategic people management is vitally important for the delivery of good school results. Human resources practices and productivity are closely linked, hence, the need for managing staff selection, professionally, reward systems and career development (Section 2.5.6).

It is the duty of school leadership to inculcate the right culture for RBM implementation in schools (Section 3.2.2).The right culture would ensure there is a demand for results and would guarantee the ultimate sustenance of the RBM reform (Kusek & Rist 2004:12).

School heads can inculcate the right culture by providing the required resources (Section 3.2.3.1), building teacher capacity (Section 3.2.2.5) and demonstrating using school results information (Section 3.2.5). Use of school performance information can be shown to be effective by rewarding good performance through a credible incentive system (Section 3.2.2.3).Leadership support can also be exhibited by setting up legislative/regulatory and institutional frameworks that would ensure the entrenchment of RBM in schools. Organisations undergoing change require new and different ways of thinking. They require a complete change of "how business is run," hence, the need for strong and supportive leaders who are willing to introduce change management initiatives that would ensure that staff appreciate the essence of RBM in improving service delivery. The next section highlights the conclusions derived from the empirical study.

6.3.2 Conclusions from the empirical study

The subsequent sections focus on the major conclusions derived from the research study

6.3.2.1 Causes of the negative perception of RBM in schools

School heads and teachers showed that IRBM lacked buy-in in schools and this could be attributed to the fact that its introduction was top-down. The intervention was considered "alien" and too complicated since it was adopted from a developed country (section 5.4.2.2a). The staffwere not consultedand, therefore, did not have any input regarding the intervention, hence, their role was mainly that of implementation (Section 5.4.1.1.). Thus, school heads and teachers were implementing RBM merely to comply with work requirements. However, there was no enthusiasm for RBM implementation in schools because the staff did not believe it was of any benefit to them at all. In fact, it was viewed as a mere add-on to their workloads. The next section highlights conclusions on the major problems concerning implementing RBM in schools.

6.3.2.2 Major problems encountered with implementing RBM in schools

The issue of the unavailability of adequate resources was central to the teething problems begetting the effectuation of IRBM in schools in the Goromonzi District (Section 5.4.2.2b). The Ministry of Primary and Secondary Education was financially ill-equipped for an

intervention of such magnitude. The school heads and teachers attributed the non-committal of adequate resources to the programme to the lack of political will and seriousness on outcomes management. Consequently, the lack of resources for RBM implementation affected the staff, institutional and management capacitation programmes negatively. Inadequate funding impacted negatively on the quality of training received by the vital ‘’shop floor workers’’ who, in this case, are teachers and school heads (Section 5.4.2.2c) since they exhibited ignorance of important information about RBM.

Due to the lack of funds, school performance information was not used at all by the Ministry of Primary and Secondary Education and the Public Service Commission to incentivise staff, hence teachers and school heads were demotivated and were unwilling to carry the burden of implementing RBM. Accordingly, pay or bonus decisions were not based on school or staff performance information (Section 5.4.2.1e). Thus, teachers and school heads considered RBM as an additional burden and redundant and which did not benefit them at all.

School heads and teachers concentrated on those areas that could be measured easily at the expense of other important areas that were difficult to attain and measure. This is a clear case of behaviour distortion that leads to organisational cheating (Section 5.4.2.1d.) The next section focusses on conclusions regarding ways of overcoming problems associated with implementing RBM.

6.3.2.3 Overcoming RBM implementation problems in schools

It is vital to customise the RBM system by developing a home- grown system that is in keeping with the local conditions (Section 5.4.4.1b). The development of a context-sensitive RBM system can only be guaranteed when staff participation is ensured (Section 5.4.4.1f). Such staff participation can be achievedby utilising a stakeholder participatory approach whereby key stakeholders such as teachers, are consulted and informed about key issues regarding the RBM system. This approach would help with eliciting and sustaining support and commitment from the programme implementers. Staff participation can be realisedfully both when the bottom-up approach is used and when pilot studies are carried out.

RBM implementation should be upheld by legislation if it is to be sustainable and effective (Section 5.4.4.1c). Crafting RBM legislation would ensure that a budget for the programme is provided and staff would resultantly, take the whole issue more seriously. The provision of adequate financial resources is of paramount importance (Section 5.4.4.1d). If adequate, financial resources would be used to incentivise staff for implementing RBM .School heads and teachers in Zimbabwean schools in the Goromonzi District value highly performance-related pay and bonuses. Rewarding good performance is a way of demonstrating the use of school performance information. Sufficient funds can also guarantee that high-quality training and education is offered to all key programme implementers (Section 5.4.4.1e). By and large, providing enough resources shows government support and commitment to results management and it would in turn motivate staff.

It can also be concluded that RBM is not static. Since RBM was not castin stone it should be reviewed and adjusted regularly taking into cognisance the experiences and lessons learnt (Section 5.4.4.3c). Effective knowledge management would ensure the development of an RBM system that is responsive to the school's operational environment. More importantly, any designed RBM system should be regarded as a work in progress (ADB 2013: 8).

Effective leadership and teamwork can sustain and ensure the effective implementation of an RBM system (Section 5.4.3.2). Effective leadership entails the ability to manage change and deal with resistance to change effectively. Accordingly, effective school heads can manage knowledge in schools effectively. Making mistakes during RBM implementation should be acceptable and it is from these mistakes that professionals learn and make the necessary adjustments.

The conclusions emanating from this research study give room for recommendations that can be adopted by the Ministry of Primary and Secondary Education. The next section focusses on recommendations based on the study.

6.4 RECOMMENDATIONS BASED ON THE STUDY

The recommendations below are suggested in view of the findings of the study. These recommendations are aimed at developing a sustainable and effective RBM model in schools.

6.4.1 Focus on developing a results culture in schools

The development and sustenance of a results culture in schools is a major challenge in the implementation of RBM as discussed in section 5.4.2.1a. This problem makes the institutionalisation of RBM in schools a difficult task. Disincentives littered throughout the school operations militate against an outcomes orientation. The researcher recommends that the Ministry of Primary and Secondary Education and the Public Service Commission introduce meaningful incentives for implementing RBM and develop staff capacities and competencies for RBM. School heads should ask results questions during duty and use performance information in decision making. This can ensure that RBM is embraced as 'a way of doing business in schools' (Bester 2012: 38).

6.4.2 There is a need for a customised RBM system in schools

As discussed in section5.4.4.1b, IRBM used in schools was adopted from Malaysia and introduced in Zimbabwean schools despite the differing economic, social and political contexts. Malaysia is a developed country while Zimbabwe is a developing country fraught with many challenges, hence, the national priorities and the fiscal environments differ. This has resulted in school heads and teachers developing a negative attitude towards IRBM, an innovation that was introduced using the top-down approach (Section 5.4.1.1) and, therefore, there is no joint ownership (Vahamaki *et al.* 2011: 46). It is thus, recommended that staff input is solicited to develop sustainable and effective management RBM that is commensurate with local school conditions and owned by all key implementers such as school heads and teachers to ensure their commitment to the system. Thus, participatory methods that involve teachers and school heads at all stages of RBM should be used.

6.4.3 The RBM initiative requires adequate resources

The introduction of RBM is a major initiative that comes at a considerable cost. Implementing RBM without committing enough resources would not yield any meaningful results (Vahamaki *et al.* 2011: 46). IRBM was introduced in Zimbabwe in 2005 in a hyperinflationary environment. As discussed in section 5.4.2.2b, there is a lack of funding for the RBM programme in Zimbabwean schools due to the current economic constraints. This study would, therefore, recommend that adequate resources be mobilised and committed to the implementation of RBM. The Government of Zimbabwe through the Ministry of Primary and Secondary Education should provide enough resources to schools for the implementation of RBM or lobby seriously or funds from the donor community.

6.4.4 School heads and teachers require enough quality holistic training on RBM

The quality of individual work plans in schools leaves a lot to be desired as discussed in section5.4.2.2c. This points to a serious lack of training since some of the participants revealed that they did not receive any formal training on RBM. School heads and teachers are generally not skilled in RBM. It is therefore recommended that RBM be introduced as a course at tertiary level so that as teachers graduate, they are equipped with the requisite RBM skills. Thus, there is a dire need to invest in the development of the internal capacity of RBM. There is a need to build school heads' RBM expertise through rigorous training so that they provide the much-needed leadership and direction. It is also advisable to provide training for the training/learning needs identified through the appraisal system.

6.4.5 RBM implementation should be incentivised

As discussed in section 5.4.2.2b, there is no money for RBM and resultantly, school heads and teachers do not have appropriate incentives for implementing RBM despite the fact that literature stresses the importance of having incentives in place for using RBM (Mayne 2007a: 13). The study recommends that the Ministry of Primary and Secondary Education seriously lobby the government to provide adequate funding for providing financial incentives to school heads and teachers. It is also recommended that non-monetary incentives be used in collaboration with financial incentives. To encourage teamwork, there is also a need to introduce group rewards.

Associated with the issue of providing incentives is the need to remove disincentives from the school system. It is recommended that school heads should remove disincentives by making decisions based on performance information and giving timely feedback to teachers. This will go a long way in motivating teachers.

6.4.6 Leadership support is critical for RBM implementation

It was confirmed in this empirical study that there was a lack of leadership support for RBM in schools (Section 5.4.1.2). While teachers lamented that school heads did not give them the necessary support for the implementation of RBM, school heads also complained that senior educational officials did not support them with key RBM documents like the MIPA and DIPAs. The researcher recommends that the Ministry of Primary and Secondary Education provide the MIPA and DIPAs in time. The opportune time recommended for schools to receive the MIPA and DIPA is the beginning of January each year.

6.4.7 A simplified appraisal system is required

The investigation revealed that the appraisal system used is "overly complex," voluminous and lacks face validity (Section 5.4.2.2a). The study recommends that the Ministry of Primary and Secondary Education develop a simple appraisal system. It is ideal that school heads and teachers are involved in the development of a clear and simple appraisal system to ensure commitment and joint ownership.

6.4.8 RBM legislation is mandatory for successful RBM implementation

As discussed in Section 5.4.2.2c, there is no legislation that supports RBM in Zimbabwean schools. An act would provide an enabling framework for RBM in the civil service. The results initiative should be given a legal status. It is therefore recommended that results management legislation be drafted to show that the Government of Zimbabwe and the Ministry of Primary and Secondary Education, in particular, is serious on this issue.

6.4.9 It is imperative that school heads' management skills be broadened

The investigation clearly showed that the introduction of RBM was not coupled with the equipping of school heads with new management approaches/techniques. Thus, the introduction of RBM was generally considered as a "narrow technical exercise" (Bester 2012: 29). However, RBM implementation requires more than this because there are organisational challenges (Section 5.4.2.1) that cannot be solved by technical solutions. It is therefore recommended that school heads be capacitated with change management and conflict resolution skills since RBM is underpinned by the theory of change. The development of transformational and functional leadership skills among school heads is of paramount importance (Wachira 2013: 13).

6.4.10 School performance information should be put to good use

The study highlighted that performance information was mainly used for reporting in schools resulting in staff treating RBM as an add-on (Section 5.4.2.1e) and subsequently demotivating them. To ensure the development of a sustainable RBM model and its effective implementation, performance information in schools should be used for reporting, building the knowledge base and making informed decisions. It is recommended that the use of performance management be demonstrated through giving rewards to staff and encouraging learning through experience. In analysing the present findings, several areas for further research are identified and summarised in the next section.

6.4.11 There is a need to adopt the ZRBM Practical Model (ZRBMPM)

The researcher recommends that the Ministry of Primary and Secondary Education and the Public Service Commission adopt the pragmatic three phased Zimbabwean RBM Practical Model (ZRBMPM) developed as a result of this empirical study. The model is indigenisedand therefore customised and context sensitive to the results management needs of the Zimbabwean schools. Emphasis is on addressing challenges and mobilising the much needed financial resources for funding the intervention and incentivising school heads and teachers to ensure the production of the much needed results.

6.5 RECOMMENDATIONS FOR FURTHER RESEARCH

During the course of this study, the following areas for further research emerged:

- This research was restricted to primary and secondary schools in one district. It is therefore recommended that this study be explored in other districts and also tertiary institutions.
- Although the importance of incentives in developing sustainable results-based management model has been cited widely it is recommended that an investigation be carried out to determine the effects of monetary and non-monetary rewards on staff in schools.
- This empirical study established that implementation of the results agenda fails largely due to the lack of a results culture in schools. It is therefore recommended that further investigations be carried out on exploring ways of developing a results culture in schools.
- This research study was mainly focussed on the viewpoints of school heads and teachers on developing a sustainable RBM model in schools leaving out other key stakeholders. It is therefore recommended that further study be carried out on the viewpoints of key stakeholders such as students and parents on developing a sustainable and effective RBM model.
- It would appear from the literature that it is taken for granted that adopting a results management model would automatically lead to the achievement of school results. The study recommends that an investigation be done in schools to find out if results management leads to increased realisation of results in schools.
- There is a need to research on the cost effectiveness of the results agenda.
- It was highlighted in this research study that RBM thrives on team work. The researcher recommends that further research be carried out to ascertain the effectiveness of group rewards in schools.

6.6 LIMITATIONS OF THE STUDY

The study presented the following limitations:

- Firstly, there was limited data on the implementation of RBM in governments of the developing states especially the education sector, hence the researcher relied exclusively on international literature to draw conclusions for staff in the Zimbabwean school context.
- Secondly, this study was confined to primary and secondary schools in the Goromonzi District of Mashonaland East Province and, therefore, the findings cannot be generalised to schools in other districts.
- Thirdly, the study focussed only on the viewpoints of school heads and teachers in relation to the creation of a sustainable RBM model in schools.

6.7 CONCLUSION

This empirical study sought to develop a sustainable RBM model for Zimbabwean schools. The study used a qualitative research design and methodology. Individual and focus group interviews allowed the researcher to explore the lived experiences of ten school heads and ninety-six teacher participants regarding the developing of a sustainable RBM model for Zimbabwean schools. There was strict adherence to ethical principles in this research study.

In concurrence with the literature study, this empirical investigation found out that the need for the results agenda in the public sector and schools, in particular, was quite laudable. According to the study, it is uncontestable that results are needed in schools and that more performance information was required for improved decision making and learning. The study established that there are various models of RBM and the one used in the Zimbabwean schools, the IRBM model was faced with serious implementation problems. According to the findings, IRBM was viewed as too complicated and regarded as an additional burden. Other obstacles cited included a serious lack of resources caused by the prevailing unfriendly socio-economic-political environment, lack of demand for RBM, lack of legislative support, lack of training, lack of leadership support and commitment and more importantly the lack of incentives to motivate teachers and school heads. To ensure the development of a sustainable RBM model in schools the study established that there was a dire need for a customised RBM model, strong school leadership that develops a results culture in schools and ensures commitment from staff. The study further established that there was a need to mobilise sufficient resources for the development of a sustainable

RBM model, capacitate schools and staff, demonstrate using performance information and above all, provide incentives to show that the Ministry of Primary and Secondary Education and the government at large were serious about the results agenda. The empirical study culminated in the development of the three-phased ZRBM practical model (ZRBMPM). Recommendations based on the study were presented and also possible recommendations for further research given. Finally, the limitations of the study were also discussed.

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APPENDICES

APPENDIX A

Request for permission to conduct research in selected schools in the Goromonzi District

Private Bag 113
Goromonzi
7 July 2014

Title: Developing and sustaining a RBM module in Zimbabwean primary and secondary schools in the Goromonzi District.

XXXXXX

The Provincial Education Director Mashonaland East Province

Ministry of Primary and Secondary Education

Bisset House

P.O. Box 752

Marondera

Telephone: 0279-24792

Dear XXXXXX

I, Addmore Pazvakavambwa, am doing research with GM Steyn, a professor in the Department of Education Management towards a Doctorate of Education at the University of South Africa. We are inviting you to participate in a study entitled Developing and sustaining a RBM model in Zimbabwean primary and secondary schools in Goromonzi District.

The study aims to evaluate the RBM model used in Zimbabwean primary and secondary schools. Schools in Mashonaland East Province and Goromonzi District in particular have been selected because this is where the researcher works and resides and therefore it will cut costs in undertaking the research.

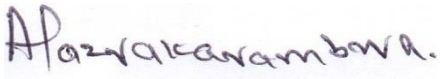
The study will entail the purposive selection of ten schools whose school heads will participate in thirty minutes long in-depth interviews aimed at soliciting their experiences

in the implementation of IRBM. The school heads of the selected schools will help the researcher select six to eight experienced and beginner teachers at each of the selected schools who will participate in focus group interviews which will be approximately forty minutes long. Two teachers from each of the focus groups who exhibit knowledge of RBM will be further interviewed individually. The interviews will be audio recorded. The researcher will also analyse RBM related documents at the school such as departmental work and monitoring plan (dwmp) and individual work plans for all participants.

The benefits of this study are that the experiences of the educators in the implementation of RBM will be invaluable feedback to policy makers. The information will also be used in developing a sustainable RBM system.

There are no known or anticipated risks to participants in this study. I will make a summary report available to all research participants which may put them in a position to have a better understanding of RBM with a view of improving service delivery in schools and provide you with a copy of my final report.

Yours sincerely



Addmore Pazvakavambwa
(Researcher)

APPENDIX B
PERMISSION TO CARRY OUT RESEARCH IN MASHONALAND EAST PROVINCE: GOROMONZI DISTRICT

Reference: Pazvakavambwa. A

E. C. No.: 0841538 D

All communications should be addressed to
"The Provincial Education Director
Mashonaland East Province"
Telephone: 0279-24811/4 and 24792
Telex :
Fax: 079-24791

ZIMBABWE

Ministry of Education, Sport & Culture
Mashonaland East Province
P.O. Box 752
Marondera
Zimbabwe

16 July 2014

MIN. OF EDUCATION AND CULTURE
THE EDUCATION OFFICER
16 JUL 2014
(ADMINISTRATION AND SERVICES)
MASHONALAND EAST REGION
P.O. BOX 752, MARONDERA

Mr./~~Mrs./Miss~~ PAZVAKAVAMBWA.A.
PRIVATE BAG 113
GOROMONZI

PERMISSION TO CARRY OUT RESEARCH IN SCHOOL FOR EDUCATIONAL PURPOSES:
MR/~~MRS/MISS~~ PAZVAKAVAMBWA A **E. C. NO.** 0841538 D
STUDENT I. D. R80184665 **HEAD/TEACHER AT .....SCHOOL**

Reference is made to your minute dated 7 July 2014
Please be advised that permission has been granted that you carry out research work in our schools. You are accordingly being asked to furnish the Ministry with information about your findings so that we share the knowledge for the benefit of the system as well as our nation at large.

We wish you all the best and hope to hear from you after completing your project work.

N. SENGWAYO
HUMAN RESOURCES OFFICER – DISCIPLINE
FOR PROVINCIAL EDUCATION DIRECTOR
MASHONALAND EAST PROVINCE
/mm

APPENDIX C: UNISA RESEARCH ETHICS CLEARANCE CERTIFICATE

UNISA | college of education

Research Ethics Clearance Certificate

This is to certify that the application for ethical clearance submitted by

A Pazvakavambwa [48018465]

for a DEd study entitled

Developing and sustaining results based management model in Zimbabwean primary and secondary schools in Goromonzi district

has met the ethical requirements as specified by the University of South Africa College of Education Research Ethics Committee. This certificate is valid for two years from the date of issue.

Prof VI McKay
Acting Executive Dean: CEDU

Dr M Claassens
CEDU REC (Chairperson)
mcdtc@netactive.co.za

Reference number: 2014 NOVEMBER /48018465/MC 17 NOVEMBER 2014

UNISA
COLLEGE OF EDUCATION
2014 -12- -1
Office of the Deputy Executive Dean

APPENDIX D: LETTER REQUESTING SCHOOL HEADS TO PARTICIPATE IN AN INTERVIEW

Private Bag 113
Goromonzi
18 August 2014

Dear ……

This letter is an invitation to consider participating in a study I, Addmore Pazvakavambwa, am conducting as part of my research as a Doctorate of Education student entitled: Developing and sustaining a RBM model in Zimbabwean primary and secondary schools in the Goromonzi District at the University of South Africa under the supervision of Professor GM Steyn. Permission for the study has been given by the Provincial Education Director Mashonaland East Province and the Ethics Committee of the College of Education, UNISA. I have purposefully identified you as a possible participant because of your valuable experience and expertise related to my research topic.

The importance of RBM in education is substantial and well documented. I would like to know the obstacles you meet in the implementation of integrated RBM and use your experiences to develop a sustainable RBM model. In this individual interview I would like to have your candid views and opinions on this topic.

Your participation in this study is voluntary. It will involve an interview of approximately thirty minutes in length to take place in a mutually agreed upon location at a time convenient to you. You may decline to answer any of the interview questions if you so wish. Furthermore, you may decide to withdraw from this study at any time without any negative consequences.

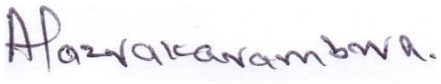
With your kind permission, the interview will be audio-recorded to facilitate collection of accurate information and later transcribed for analysis. Shortly after the transcription has been completed, I will send you a copy of the transcript to give you an opportunity to confirm the accuracy of our conversation and to add or to clarify any points. All information you provide is considered completely confidential. Your name will not appear in any

publication resulting from this study and any identifying information will be omitted from the report. However, with your permission, anonymous quotations may be used. Data collected during this study will be retained on a password protected computer for 12 months in my locked office. There are no known or anticipated risks to you as a participant in this study.

If you have any questions regarding this study, or would like additional information to assist you in reaching a decision about participation, please contact me at 0773 528 111 or by e-mail at addmorepazva@gmail.com.

I look forward to speaking with you and thank you in advance for your assistance in this project. If you accept my invitation to participate, I will request you to sign the consent form which follows on the next page.

Yours sincerely



Addmore Pazvakavambwa
(Researcher)

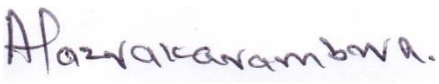
CONSENT FORM

I have read the information presented in the information letter about the study on developing a sustainable RBM system for primary and secondary schools in Goromonzi District. I have had the opportunity to ask any questions related to this study, to receive satisfactory answers to my questions, and add any additional details I wanted. I am aware that I have the option of allowing my interview to be audio recorded to ensure an accurate recording of my responses. I am also aware that excerpts from the interview may be included in publications to come from this research, with the understanding that the quotations will be anonymous. I was informed that I may withdraw my consent at any time without penalty by advising the researcher. With full knowledge of all foregoing, I agree, of my own free will, to participate in this study.

Participant's Name (Please print):

Participant Signature:

Researcher Name: (Please print) Addmore Pazvakavambwa

Researcher Signature: 

Date: 10 August 2014

APPENDIX E: LETTER REQUESTING TEACHERS TO PARTICIPATE IN A FOCUS GROUP INTERVIEW

Private Bag
Goromonzi
18 August 2014

Dear ……..

This letter is an invitation to consider participating in a study I, Addmore Pazvakavambwa, am conducting as part of my research as a doctoral student entitled: Developing and sustaining a RBM model in Zimbabwean primary and secondary schools in the Goromonzi District at the University of South Africa under the supervision of Professor GM Steyn. Permission for the study has been given by the Provincial Education Director Mashonaland East Province and the Ethics Committee of the College of Education, UNISA. I have purposefully identified you as a possible participant because of your valuable experience related to my research topic.

I would like to provide you with more information about this project and what your involvement would entail if you should agree to take part. The importance of RBM in education is substantial and well documented. I would like to know the obstacles you meet in the implementation of integrated RBM and use your experiences to develop a sustainable RBM model. In this focus group interview I would like to have your candid views and opinions on this topic.

Your participation in this study is voluntary. It will involve a focus group interview of approximately forty minutes in length to take place in a mutually agreed upon location at a time convenient to you. You may decline to answer any of the interview questions if you so wish. Furthermore, you may decide to withdraw from this study at any time without any negative consequences.

With your kind permission, the focus group interview will be audio-recorded to facilitate collection of accurate information and later transcribed for analysis. Shortly after the

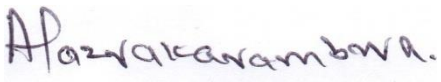
transcription has been completed, I will send you a copy of the transcript to give you an opportunity to confirm the accuracy of our conversation and to add or to clarify any points. All information you provide is considered completely confidential. Your name will not appear in any publication resulting from this study and any identifying information will be omitted from the report. However, with your permission, anonymous quotations may be used. Data collected during this study will be retained on a password protected computer for 12 months in my locked office. There are no known or anticipated risks to you as a participant in this study.

If you have any questions regarding this study, or would like additional information to assist you in reaching a decision about participation, please contact me at 0773 528 111 or by e-mail at addmorepazva@gmail.com.

Some of the focus group participants who appear information rich on RBM will be asked to participate as participants in individual interviews for teachers that will last for about thirty minutes. These will be notified soon after the focus group interviews.

I look forward to speaking with you and thank you in advance for your assistance in this project. If you accept my invitation to participate, I will request you to sign the focus group interview assent and confidentiality form which follows on the next page.

Yours sincerely



Addmore Pazvakavambwa
(Researcher)

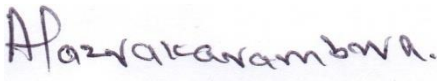
FOCUS GROUP INTERVIEW ASSENT AND CONFIDENTIALITY AGREEMENT

I_____ grant consent/assent that the information I share during the group discussions (focus group interviews) may be used by the researcher, Addmore Pazvakavambwa, for research purposes. I am aware that the group discussions will be audio recorded and grant consent/assent for these recordings, shared in the group discussions to any person outside the group in order to maintain confidentiality.

Participant's Name (Please print):

Participant Signature:

Researcher's Name: (Please print): Addmore Pazvakavambwa

Researcher's Signature: 

Date: 10 August 2014

APPENDIX F: INTERVIEW SCHEDULE FOR SCHOOL HEADS

1. What are your perceptions of the IRBM?
2. What positive effects did the introduction of IRBM have in your school?
3. Are there any obstacles you have encountered in the implementation of IRBM at this school?
4. What role should school leadership play in the adoption and implementation of RBM?
5. What role should teachers play in the adoption and implementation of RBM?
6. Does the school endeavour to train or develop awareness of RBM to its key stakeholders and partners?
7. In your view, is IRBM sustainable? Explain in detail.
8. What strategies will enhance the adoption and implementation of a sustainable and effective RBM model in your school?
9. What do you think characterises a sustainable and effective RBM model?

APPENDIX G: INTERVIEW SCHEDULE FOR FOCUS GROUP OF TEACHERS

1. What are your perceptions of the IRBM
2. What positive effects did the introduction of IRBM have in your career
3. Are there any obstacles you have encountered in the implementation of IRBM at this school?
4. What role should school leadership play in the adoption and implementation of RBM?
5. What role should teachers play in the adoption and implementation of RBM?
6. In your view, do you think IRBM is sustainable? If not what strategies should be put in place to make RBM sustainable?
7. What do you think characterises a sustainable and effective RBM model?

APPENDIX H: INTERVIEW SCHEDULE FOR INDIVIDUAL TEACHERS

1. In your opinion, what do you think were the benefits of IRBM?
2. What do you think was not done well in the implementation of RBM in schools? Give suggestions on how things could have been improved?
3. Do you think teachers' experience and expertise was fully utilised in the development of IRBM? Explain in detail.
4. In your view, what should a sustainable and effective RBM model entail?
5. Do you have any comments or suggestions on developing a sustainable and effective RBM model for schools?

APPENDIX I: TRANSCRIBED INTERVIEW WITH SH A

20 February 2015

I: **SH A thank you for agreeing to participate in this study.**

SH A: My pleasure

I: **What are your perceptions of IRBM?**

SH A: Uhmmm... it has brought more work....more in terms of writing at the expense of teacher supervision and teaching. It is an innovation copied and pasted from Malaysia. Don't forget that Malaysia and Zimbabwe are miles apart in terms of development. However, the idea is noble if implemented properly.

I: **Can you elaborate on how your perception is influenced by the fact that IRBM was 'imported'?**

SH A: Ahh… the explanation is simple. The Zimbabwean context differs from the situation in Malaysia. We are a poor country with little or no resources for implementing such massive innovations. Educators are paid salaries well below the poverty datum line and you honestly think they can entertain implementing something which results in increased workload…….no it can't be.

I: **How does IRBM increase your workload?**

SH A: You simply need to look at the lengthy appraisal form and you will be convinced that teachers and school heads have been turned into secretaries. A lot of precious time is spent completing the forms instead of imparting knowledge to the students. Moreso it is painful to invest time and effort on something you know pretty well that it won't be used in any way.

I: **What positive effects did the introduction of IRBM have in your school?**

SH A: Honestly, there is nothing positive to talk about. In fact, teachers are not interested since it's like an extra load has been added which actually distracts them from focussing solely on teaching as has been mentioned earlier. Staff is preoccupied with the poor salaries and poor working conditions. As long as IRBM does not address this then it's doomed to fail. Mere completion of the appraisal forms yearly should not be mistaken as acceptance. It's merely compliance to appease the authorities, nothing more.

I: **So generally what is the mood of the teachers with regard to IRBM?**

SHA: It's negative, period.

I: **Are there any obstacles you have encountered in the implementation of IRBM at this school?**

SH A: The intervention is overweighed by many challenges..... Most teachers are vehemently resisting RBM. Yhaa...as pointed earlier, it's a reform copied from a developed country and appears not suitable for our environment. Another challenge is that staff hasn't received enough training on RBM. Training was poorly done. It was executed by trainers who appeared not fully conversant with the approach. Many teachers didn't receive the training at all.

I: **Excuse me, were you not supposed to cascade the training to your teachers since you received training yourself?**

SH A: [Laughs] Cascading wasn't going to be effective since I didn't receive any meaningful training. I can't be expected to cascade concepts that I did not grasp myself. You know, the trainers generalised issues. It's a case of a blind man leading another blind me. There was need for trainers to give examples specific to the education sector to enhance understanding of the complex concepts.

I: **Any other notable challenges?**

SH A: Yes, after toiling hard to implement RBM, you don't get anything. The government is very unfair. How can we be expected to take it seriously when you get nothing at the end? There is nothing that motivates us to soldier on. There is simply no money for incentives. Government is already struggling to pay salaries hence it would be expecting too much to expect incentives. Thus, the information that we labour to produce throughout the year isn't put to any meaningful use. Another problem I have observed is that those people to whom we report to and are in positions of authority make negative comments about RBM in our presence. This has a rub on effect on us. It's clear that our supervisors expect us to implement something that they aren't convinced that it works. There is clearly no support for RBM from those in positions of authority and influence. The obstacles are many, we can go on and on but it appears they are mainly centred on the unavailability of resources, both financial and material resources.

I: **What role should school leadership play in the adoption and implementation of RBM?**

SH A: Currently my role in the implementation of IRBM is simply to make sure that teachers are trained, 'make' them develop individual work plans for the performance year and rate them at the end of the performance cycle. I

don't have slightest room to interrogate the system, that's not part of my mandate.
Having said that and responding directly to your question, I strongly feel as School Head and a professional, I should have input in the design of a relevant and appropriate RBM system. This can be done easily through piloting.

I: **Why do you think your participation is of paramount importance?**

SH A: Uhmmm…we are professionals and we have to be consulted on things that affect us. We aren't empty and we can make fruitful contributions. After all it's easy to grasp and implement a system that you helped to design.

I: **What role should teachers play in the adoption and implementation of RBM?**

SH A: Uhmm... teachers, as professionals, also need to be consulted. You will be surprised they have constructive ideas. They implement better something they will have had a say in its development. It's simple logic, they will understand better and respect a system in which their ideas are incorporated. The top-down approach doesn't work well with professionals.

I: **Does the school endeavour to train or develop awareness of RBM to its key stakeholders and partners?**

SH A: Ahhhh....no. That's not done but I think it's important and necessary.

I: **Why?**

SH A: Their support would augur well with the implementation of RBM since they usually make frank assessments of programmes

I: **In your view, is IRBM sustainable?**

SH A: Uhmmm.....unfortunately no.

I: **Why?**

SH A: There is the talk that IRBM aims at maximising results from the little resources given to the organisation..... This is mere theory because in the first place there are no resources to start with. Treasury used to give per capita grants to schools each term but this was stopped about ten years ago during the era of hyperinflation and we have almost nothing for school programmes.
Sustainability of RBM is also brought about by introducing an approach that is relevant to our core business of teaching.

I: **What strategies will enhance the adoption and implementation of a sustainable and effective RBM model in your school?**

SH A: To address the RBM sustainability issue those in positions of leadership shouldn't merely give orders to us.....instead, they need to provide motivation and market to us a vision that we would voluntarily buy into. Resources are key and these should be provided to ensure smooth implementation. Financial resources would ensure that enough training is given and incentives are provided to motivate staff. Without these…hmm I am afraid we won't achieve anything.

I: **What do you think characterises a sustainable and effective RBM Model?**

SH A: We put a lot of effort in periodic reviews and rating so we expect feedback on this performance information supplied. We deserve to be told whether what we did was considered useful or not.....When we can be shown how our effort was used, we will value the programme and be encouraged to soldier on. There is also need for wider consultation in order to craft a relevant and user friendly system than relying on models crafted in other countries. It is also important to continuously review the model in use. There is also need to create platforms to share experiences…yah.

I: **Can you elaborate on the need for sharing experiences?**

SH A: Yes, this is key. Sharing knowledge and experiences would ensure that we can draw lessons from challenges encountered in implementing RBM. Information obtain will then be used to improve the system…..This is linked to the need for reviewing the approach constantly. No, it shouldn't be cast in stone. It is imperative that we as implementers are allowed to interrogate the system. In any case this gives the assurance that we are not mere by-standers in the whole process. Feedback is important and when it leads to programme change, that's the flexibility that's required for any programme to survive.

I: **Thank you for your participation. Your input is appreciated.**

APPENDIX J: PERSONNEL PERFORMANCE WORK PLAN AND APPRAISAL TOOL

Confidential **Band C, D, E & F**

PUBLIC SERVICE OF ZIMBABWE

PERSONNEL PERFORMANCE WORK PLAN & APPRAISAL

PERIOD OF ASSESSMENT: FROM:_____ TO:_____

Distribution - 1 copy to appraisee
- 1 copy to the appraisee's personal file

Section 1 PERSONAL DETAILS AND SERVICE PARTICULARS

Name: _____

E.C. No_____ National I.D. No._____

Qualifications: _____
_____
_____
_____

Experience: _____
_____
_____
_____
_____

Date of Appointment into Service:_____

Current Post_____ Date of Appointment to the Post_____

Ministry_____

Department_____ Station _____

Appraiser's Name: _____ Appraiser's Position:_____

Reviewer's Name _____ Reviewer's Position:_____

NOTE:

See guidelines for completion

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SECTION 2: PERFORMANCE PLAN & ASSESSMENT

A. OUTPUT PERFORMANCE (Total Weightage: 100%)

Dept. KRA Ref.		KRA Description.	
Goal Ref		Goal Description	
Obj Ref		Objective Description	
Dept. Outcome Ref.		Outcome Description.	
Dept. Output Ref.		Output Description.	

					Weight	Agreed Target	Actual Perf	Allowable Variance	Actual Variance	Rating	Weighted score
Output No.		Output Description.									
Quantity Description.			Standard								
Quality Description.			Standard								
Timeliness Description.			Standard								
Cost Description.			Standard								
Output No.		Output Description.									
Quantity Description.			Standard								
Quality Description.			Standard								
Timeliness Description.			Standard								
Cost Description.			Standard								
										Total	

Note: Create addition tables where necessary

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SECTION 3: TRAINING AND DEVELOPMENT NEEDS

(To be completed during performance agreement session and quarterly thereafter)

Competency Assessment:

REQUIRED COMPETENCIES FOR THE JOB	EXISTING COMPETENCIES (related to the job)	COMPETENCY GAPS (specific skills required)	INTERVENTION STRATEGIES (e.g. training, counselling, transfer etc.)	ACTION RECOMMENDED (e.g. specific course)	ACTION TAKEN
1st Quarter					
Date information was received by Ministry's Human Resources department:_____Name_____Signature_____					
2nd Quarter					
Date information was received by Ministry's Human Resources department:_____Name_____Signature_____					

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REQUIRED COMPETENCIES FOR THE JOB	EXISTING COMPETENCIES (related to the job)	COMPETENCY GAPS (specific skills required)	INTERVENTION STRATEGIES (e.g. training, counselling, transfer etc.)	ACTION RECOMMENDED (e.g. specific course)	ACTION TAKEN
3rd Quarter					
Date information was received by Ministry's Human Resources department:_____Name_____Signature_____					
Final Review					
Date information was received by Ministry's Human Resources Department:Name:_____ Signature:_____					

AGREEMENT OF WORK PLAN	
Signature of Appraisee:	Date:
Signature of Appraiser:	Date:
Signature of Reviewer:	Date:

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SECTION 4: PERFORMANCE PROGRESS REVIEWS

4A: The list of possible comments on strengths and areas for improvement are given in 4B. Capture the corresponding number(s) only in the space provided on progress reviews. General comments relating to the highlighted strengths and weaknesses would be given by the parties involved.

Interim Progress Review						Final Performance Review & Assessment	
1st Quarter Review		2nd Quarter Review		3rd Quarter Review		4th Quarter Final Review/Assessment	
Strengths	Areas for Improvement	Strengths	Areas for Improvement	Strengths	Areas for Improvement	Strengths	Areas for Improvement
Appraiser's Comments	Appraiser's Comments	Appraiser's Comments	Appraiser's Comments	Appraiser's Comments	Appraiser's Comments	Appraiser's Comments	Appraiser's Comments
Appraisee's Comments	Appraisee's Comments	Appraisee's Comments	Appraisee's Comments	Appraisee's Comments	Appraisee's Comments	Appraisee's Comments	Appraisee's Comments
Reviewer 's Comments (where applicable)	Reviewer 's Comments (where applicable)	Reviewer 's Comments (where applicable)	Reviewer 's Comments (where applicable)	Reviewer 's Comments (where applicable)	Reviewer 's Comments (where applicable)	Reviewer 's Comments (required)	Reviewer 's Comments (required)

1st Quarter Review	2nd Quarter Review	3rd Quarter Review	4th Quarter Review
Signature of Appraisee:	Signature of Appraisee:	Signature of Appraisee:	Signature of Appraisee:
Date:	Date:	Date:	Date:
Signature of Appraiser:	Signature of Appraiser:	Signature of Appraiser:	Signature of Appraiser:
Date:	Date:	Date:	Date:
Signature of Reviewer (where necessary)	Signature of Reviewer (where necessary)	Signature of Reviewer (where necessary)	Signature of Reviewer
Date:	Date:	Date:	Date:

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4B: Possible comments on strengths and areas for improvement

Strengths	Areas of Improvement
1. Member is results oriented	1. Member needs to be results oriented
2. Member is highly focused on the set targets.	2. Member needs to delegate duties equitably.
3. The member is meeting set targets.	3. Member needs to focus more on set targets.
4. There is effective/efficient budget utilization.	4. Member should meet set targets.
5. Member has sound financial management skills	5. Member needs to utilize budget effectively.
6. Member is highly motivated	6. Member needs financial management skills
7. Member clearly appreciates the organization's overall thrust.	7. Member needs to understand the organization's thrust
8. Member effectively utilizes the organization` resources.	8. Member needs to effectively utilize the organization's resources
9. Member values team work.	9. Member needs to value team work
10. Member is highly knowledgeable about the job requirements	10. Member needs to be more knowledgeable about the job requirements
11. The member exhibits effective decision making skills.	11. Member needs to improve on decision making
12. Member exhibits sound judgment.	12. Member needs to make sound judgment
13. Others (please specify)	

4C. Adjustments to the work plan, where necessary.

<table>
<tr><td>Period, from.....to.....
Work plan adjustments:

Appraisee`s comments to justify work plan adjustments:

Signature.....Date.....
Appraisee</td><td>Appraiser's comments to endorse the adjusted work plan:

Signature.....Date.....
Appraiser

Reviewer's comments to endorse the adjusted work plan:

Signature.....Date.....
Reviewer</td></tr>
</table>

SECTION 5: A FINAL PERFORMANCE ASSESSMENT & RATING

Rating on Performance Targets

KRA Ref	OUTCOME REF	DEPARTMENTAL OUTPUT REF	OUTPUT NO	WEIGHTED SCORE
TOTAL SCORE				

Final Score: ☐

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5B: PERSONAL DIMENSIONS

Based on the assessment of achievements/results, establish any areas where some training or development may be necessary. Although feedback on this page would not be used to determine the subordinate's ratings – the feedback is very important to help the subordinate know which areas need improvement.

Pinpointed supporting remarks are to be provided. For example, what specific BEHAVIOUR which is job related the supervisor witnessed to support his/her point. Fill in both strengths and or areas for improvements on relevant dimensions.

STANDARD DIMENSIONS	COMMENTS ON DIMENSIONS	
	Strengths	Areas for improvement
PLANNING AND ORGANIZING Sets goals and priorities, plans solutions, plans ahead and utilises resources effectively. Ability to meet deadlines, and to monitor tasks and activities.		
LEADERSHIP MANAGEMENT Motivates, co-ordinates, guides and develops subordinates' respect through actions and attitudes. Effectively manages and implements changes.		
JUDGEMENT Considers pros and cons before making decisions; anticipates short and long term impacts; weighs risks involved.		
COMMUNICATION Effective verbal skills; presents ideas and information concisely and persuasively; keeps others informed; courteous to the public; inspires confidence in subordinates and superiors.		
CONTROL Takes action to monitor or regulate processes, tasks or activities. Keeps track of delegated assignments. Delegates tasks to achieve results using subordinates effectively.		
COOPERATION Willingness to work with others in achieving individual and team objectives.		
INITIATIVE Actively attempts to influence events to achieve goals. Self starter, Generates improved solutions to problems.		
RELIABILITY Can be counted on to achieve set objectives without supervision or coercion.		

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ACCURACY/QUALITY OF WORK Achieves high quality work that meets or exceeds requirements of the job.		
QUANTITY OF WORK OUTPUT Meets or exceeds the standard amount of work expected on the job.		
OTHER Please specify:		

5C: OVERALL COMMENTS ON THE APPRAISEE'S POTENTIAL WITH REGARDS TO CAREER PROGRESSION: (for example, the member's potential for promotion)

_____
_____
_____
_____
_____

Final Appraisal	
Signature of Appraisee:	Date:
Signature of Appraiser:	Date:
Signature of Reviewer:	Date:

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