

**EFFECTIVENESS OF PERFORMANCE MANAGEMENT IN KENYAN PUBLIC
SERVICE: A STUDY OF THE STATE DEPARTMENT OF IMMIGRATION AND
CITIZEN SERVICES**

BY

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REG.NO.:C51/11409/2018

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**A Research Project Submitted in Partial Fulfilment for the Award of Master of Public
Administration, University of Nairobi**

August 2020

DECLARATION

I declare that this research project proposal is my original work and that it has not been presented for any other academic award in any institution of higher learning.

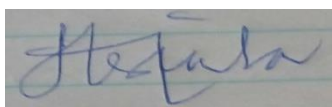
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DEDICATION

To my long-gone dad, Cornel Ogindi Okendo. You were the source of this rivulet that has morphed into a river that keeps rejuvenating its course, determined to keep meandering around obstacles; till I assuage my undying urge for distinction.

To my indefatigable mum, Rosebella Otae, you are the biggest part of my support system.

To my homely wife Delilah Taabu Okita and my children, Mambela, Ambasa and Otae; you are the best I could ask for.

ACKNOWLEDGEMENT

My unparalleled exaltation goes to the Abba Father, the All-potent and All-knowing God. My heart teems with appreciation for His Grace that has sufficed in anchoring me to this height.

I wish to specially thank Dr. Amadi for his zealous guidance in the course of refining this project to its end. My gratitude also goes to my lecturers: Dr. Otele, Dr. Kasyula and Dr. Onyango for re-forging my academic world-view in this realm of Public Administration.

I wish to appreciate too the invaluable contribution of Mr. Thuku, Mr. Kombako, Mr. Simon and Madam Jackline all of SDI & CS.

Mention must also be made of my colleagues Dr. Chumba, Mr. Kinoti, Mr. Wasamba and Mr. Chogo for their unwavering support when I needed them most.

I also cannot forget my super class-mates Madam Fatuma, Mr. Frank and Madam Monica who formed a critical pillar during the course period.

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ACRONYMS

CIDA-Canadian International Development Agency

COG-Council of Governors

ECA-Economic Commission for Africa

ISO-International Organisation for Standardization

MDA-Government Ministry, Department or Agency

NPM-New Public Management

PA-Performance Appraisal

PAS-Performance Appraisal System

PBB-Programme-Based Budgeting

PM-Performance Management

PSR-Public Sector Reforms

RBM-Results-Based Management

RRI-Rapid Results Initiative

TSC-Teachers Service Commission

The Department-State Department of Immigration and Citizen Services

ABSTRACT

Performance appraisal or its more encompassing version, performance management (PM), has been fully in force in the Kenyan Public Service since 2003 as part of the New Public Management (NPM) strategies aimed at revolutionizing public service delivery so that it is more efficient and effective in serving the citizenry, as is the case in world best practice where Performance Management Systems are effective. However, over a decade later, efficacy of the tool in Kenya has been questioned by scholars and public administration practitioners who have pointed to a growing dissatisfaction with (and negative attitude towards) the process, which has arguably become “a ritual” or “mere routine”. It is against this background that this study sought to investigate effectiveness of PM as currently administered at the department under inquiry (and the Kenyan Public Service in general); in relation to key tenets of a sound PM System such as fairness, target setting, appraiser skill level, frequency of PM outcome review and the PM reward system.

The study employed questionnaires to collect primary data from 42 employees of the State Department of Immigration and Citizen Services; a sample that was arrived at by way of a working blend of stratified, convenience and snow-ball sampling techniques given the closed nature of the department. The resultant primary data (and secondary data from relevant literature) was then analysed both qualitatively and quantitatively.

The study found out that partial conformity with key tenets of a sound performance management process-as enumerated above-was undermining effectiveness of performance management practice in the Kenyan Public Service, leading to a significant level of dissatisfaction with the process among public employees. Thus, the study laid bare the need to improve efficacy of the tool to realize its full potential, especially at this time when the Kenyan Government is considering introducing contractual employment based on performance to replace the current permanent and pensionable arrangement.

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CHAPTER ONE: INTRODUCTION

1.1 Background to the Study

The wave of public sector reforms that swept across the entire globe from the Americas to Europe, Asia, Australia and Africa, beginning the early 1980s, heralded pressure on the public sector in third and first world countries to adopt New Public Management (NPM) Strategies that ensure efficient and effective public service delivery. According to Osborne, D. & Gaebler, T., (1992), an efficient public service is one that uses the least resources to produce the best results while an effective public service is one characterized by quality public service which has a positive impact on the lives of a country's general citizenry. At the core of the pursuit of these reforms is performance management (PM), a concept which some scholars and public practitioners use interchangeably with the concepts of performance appraisal (PA) and performance contracting (PC).

As performance measurement evolved from traditional models (those focusing on individual accountability of workers) to modern/contemporary performance (which focuses on developing workers), more and more countries world over have today adopted PM as part of wider efforts to ensure efficiency and effectiveness in public service delivery. In the US, the use of performance appraisals began around the 1940s, with about 60% of firms adopting the practice. By the 1960s, 90% of US firms were using the system. In the UK, performance appraisal in public institutions began in the late 1980s (Adcroft and Willis as cited by Yadima, 2018) and continues to be practiced while being constantly improved.

In Asia, Singapore adopted performance appraisal in the 1980s as a core element of its wider public sector reforms. India too was not left behind as PM has been used intensively and extensively to "improve skills of staff", according to Sing and Velivelu, citing Kumar, 2014 (as cited by Yamima, 2018). In Africa, PM practice is in force in a host of countries like Botswana, Ghana, South Africa, Nigeria, Uganda, and Rwanda, just to mention a few. In Botswana, PM system was adopted in 1999 as part of a wider scheme to improve efficiency in its public service and the initiative returned tangible positive outcomes in service delivery, public officer morale and improved focus on national development goals (Republic of Botswana, 2002). Likewise, Ghana began infusing PM into its public service in the early 1990s in a bid to modernize its public service.

In Kenya, the concept of PM-in the form of PC-was first incepted in 1989 in state corporations (particularly Kenya Railways Corporation and National Cereals and Produce Board), buoyed by the Parastatal Reform Strategy Paper of 1991. However, according Kobia, M. & Nura, M. (2006), this endeavour flopped owing to lack of political goodwill, lack of a performance incentive system and unforeseen externalities like changes in government policy. Nevertheless, in 2003, the concept got re-introduced, riding on the back of the Economic Recovery Strategy for Wealth and Employment Creation (ERS); a new strategy devised by the new government headed by President Mwai Kibaki-which rose to power in 2002-on the promise of reforms. The ERS Blue Print advocated for Results Based Management (RBM) characterized by strategic planning, performance management, work planning and service delivery charters which emphasized on effective and efficient public sector performance and service delivery (Government of Kenya [GoK] as cited by Obong'o S.O, 2009).

Over a decade later since adoption of PM in Kenya-and with an arguably improved public service characterized by New Public Management (NPM) practices such as contracting out, downsizing, decentralization, performance contracting, cost-sharing, entrepreneurial tendencies in public service, privatization, and competitiveness in public service etc.-questions are still abound as to whether these practices have been effective in enhancing performance of the Kenyan Public Service. Moreover, the attitude of public servants towards PM and its influence on effective PM has also been brought to question.

1.2 Statement of the Problem

Performance management (PM) was fully operationalized in Kenya in 2003 such that by 2006/2007 Financial Year, the practice had been adopted in all state corporations, government ministries and departments, including the State Department of Immigration and Citizen Services. However, almost three decades later, questions abound as to whether the process is effective especially at this time when-according to Mwere, D. (2019)-Kenya is mulling the discontinuation of permanent and pensionable employment terms for public servants in favour of contracts renewable based on performance; meaning that an effective performance management structure would be integral to such a policy shift.

Ideally, for PM to achieve its objectives, it has to be effective and devoid of what Fryer, K., Jiju, A. & Ogden. S. (2009) call “unwelcome effects of performance management”. An effective public

PM process should according to Mondy, R.W, & Martocchio, J.J (2016) be one in which: PM tools are aligned to organizational goals, employees understand their performance expectations, there is standardization for all employees, PM process is well documented, appraisers are well trained, feedback is continuously communicated and performance review done periodically. Aguinis (2013) summarizes an ideal PM as one that is capable of distinguishing between effective and ineffective performance as well as effective and ineffective employees.

Contrary to the above expectations, PM as practiced in the State Department of Immigration and Citizen Services today is suspected to be devoid of the hallmarks of an effectively performing PM System. It is suspected that PM is conducted only as a yearly ritual that participants do not look forward to because of possible belief that it is riddled with unfairness, administered by ill-trained supervisors/appraisers and that the appraisees rarely participate in setting of performance goals as is the case in world's best practice. Mutua (2019) says of PM in Kenyan public entities, "Decades after implementing performance management in Kenya, time is ripe to ask questions regarding efficiency and effectiveness of [the practice] as is currently implemented." Other observers and public practitioners have expressed doubt over the importance of PM in Kenya; indicating that despite constantly participating in performance appraisals, "nothing good has ever come out of these exercises" which they believe are only vital for "record keeping purposes" (Ask HR, Daily Nation, February 2020). Notably, questions on possible ineffective deployment of the tool in Kenyan Public Service abound as to how well the listed key tenets of the tool (fairness, participation in target setting and high level of appraiser skill) are being adhered to. Concerns also arise as to whether performance management results play a significant role in determining which public officers get rewarded (for instance by promotion) and which ones get demoted, sacked, or put under performance improvement initiatives to develop their performance capabilities. Moreover, doubts emerge as to whether there is a proper PM review mechanism in Kenya to gauge the attitude of the appraisees towards the tool and the reliability of the very process of PM. Recent developments in Kenyan Public Service with regard to PM, especially the recent move by Kenyan public school teachers to reject introduction of Teacher Appraisal and Development (TPAD)-Teachers Service Commission's version of PM (Wanzalo, 2017)-is a possible pointer to a significant level of dissatisfaction of Kenyan public employees with the conduct of the PM process.

These possible weaknesses in the practice of PM in the department-and Kenya's Public Service at large-have a bearing on the efficacy of public service delivery because PM is currently one of the key mechanisms by which efficiency of public service delivery can be measured. As argued by Osborne, D. & Gaebler, T. (1992), an effective PM is crucial in ensuring that performance gets measured because in the absence of an effective performance measurement mechanism, there is the risk of failing to recognize and reward success; and since inability to reward success amounts to rewarding failure, the ultimate result is that public practitioners will lose trust in the PM System leading to a general aloofness and lethargy that will translate into poor public service delivery.

It is based on the foregoing concerns that this study sought to establish the of effectiveness of performance management at the State Department of Immigration and Citizen Services; with the dependent variable being level of effectiveness of performance management while the independent variable is the level of conformity or adherence to key tenets of effective performance management.

1.3 Research Questions

- i. How is the actual performance appraisal administered in the State Department of Immigration and Citizen Services with regard to adherence to its key tenets such as fairness, appraisee participation in target setting and skilled appraisers?
- ii. To what extent is employee reward system in the State Department of Immigration and Citizen Services based on outcome of performance management?
- iii. Is performance management in the State Department of Immigration and Citizen Services subjected to periodic review for efficacy?

1.4 Objectives of the Study

- i. To assess how the actual performance appraisal is administered in the State Department of Immigration and Citizen Services with regard to adherence to its key tenets such as fairness, appraisee participation in target setting and skilled appraisers.
- ii. To determine the extent to which the employee reward system in the State Department of Immigration and Citizen Services is guided by the outcome of performance management.

- iii. To establish whether performance management in the State Department of Immigration and Citizen Services encompasses periodic review for efficacy.

1.5 Justification of the Study

1.5.1 Policy Justification

Since adoption of performance management in Kenya, performance delivery has improved considerably in Kenya's Public Service. Obong'o (2009) attests to this by indicating that since the beginning of PM piloting on 1st October, 2004; 13 out of 16 piloted state corporations had their performance increase by 282% in pre-tax profits. However, there are indications that the effectiveness of the process has been waning over the years owing to the perfunctory manner in which it is being done. Scholars and public practitioners alike, have indicated that there is a huge gap between PM as it ought to be conducted and as it is conducted in Kenya today (Mutua, 2019).

Thus, the findings of this study would go along way in offering advice to the Kenyan Government on how effective the tool is-as is currently implemented-so that efficacy of implementation can be enhanced to enable the optimization of its numerous benefits while also rooting out dissatisfaction with the process. Moreover, there is currently the talk of employment of public servants on contract basis; a practice that can only succeed if it is based on an effective PM System. This study would, therefore, act as a guide to policy makers on how to fully improve Kenya's PM System more so if plans for contractual employment were to be effected. The State Department of Immigration and Citizen Services formed a perfect case for this study because the docket handles crucial immigration functions such as visa management, issuing of passports and permits, just to mention a few; roles that the department had been accused of performing incompetently. The recent gridlock in issuance of new generation passports and the long wait that those seeking immigration services endure were instructive.

1.5.2 Academic Justification

An effective performance management system is critical to effective public service delivery as it forms an invaluable yardstick for measuring public sector performance (Obong'o, 2009). Nonetheless, little academic attention has been directed towards the effectiveness element of performance management. This is because past studies on PM practice in Kenya have focused on most aspects of PM but the question of effectiveness of the process itself and how the level of process effectiveness impacts on satisfaction of public employees with the tool. For instance, Ochoti, Maronga, Muathe, Nyabwanga, & Ronoh (2012) carried out a study in the defunct Ministry of State for Provincial Administration. However, the focus was on factors affecting employee performance appraisal system and not effectiveness, which was the focus of this study.

Additionally, a study by Kemunto (2013) on factors affecting effectiveness of performance appraisal at the Teachers Service Commission merely highlighted factors determining effectiveness of the tool and ranked the factors according to level of correlation with effectiveness but not how effectively the tool is currently being deployed at the commission (and by extension, the Kenyan Public Service). Moreover, the study did not touch on employee satisfaction with the current conduct of PM in Kenyan Public Service as influenced by their perception of its level of effectiveness; gaps that this study concerned itself with.

Likewise, Mbuu & Sarisar (2014) investigated challenges facing performance contracting initiative in Kenya without narrowing down to PM as this study did. Their study also steered clear of the aspect of effectiveness. This study also found another academic justification in seeking to fill a gap left by a past study by Korir, Rotich & Bengat (2015), who chose to focus on the role that PC and service delivery charters have played in enhancing public sector service delivery, while ignoring the element of effectiveness, which was the focus of this study.

This study also proceeded to analyze the viability of Kenya's plans to replace permanent and pensionable employment terms with contractual employment and how performance management practice relates to the plans. In a nutshell, the academic relevance of this study resided in the fact that it sought to enrich existing scholarly work in Kenya on the broad subject area of PM by filling in the foregoing literature gaps with regard to effectiveness of the tool in Kenyan Public Service.

1.6 Scope and Limitations of the Study

The study focused, to a great extent, on the effectiveness of the implementation of PM in Kenyan Public Service and the attitude of the appraisees towards it. Moreover, it only focused on PM at the level of individual organizational members; not at national or organizational (ministry/department/agency) level. It should, however, be noted that the study also touched-albeit to a limited extent-on the impact of the PM process on public service delivery. However, this was limited to effectiveness as per the perception of the participants and not on a quantitative analysis of the efficacy of the process with regard to efficient and effective public service delivery. In terms of duration of focus, the study limited itself to the period spanning 1980s to date because PM took shape in Africa only after most countries had achieved independence; heralding a need for Public Sector Reforms (PSR) to refocus efforts of African Governments toward efficient delivery of services to their citizenry.

CHAPTER TWO: LITERATURE REVIEW AND THEORETICAL FRAMEWORK

2.1. Introduction

Literature review proceeded thematically, focusing on five major subject areas. The thematic areas were: status of performance management in the public sector world over, effectiveness of performance management, the nexus between performance management and public service delivery, attitude of employees towards (or satisfaction with) performance management and the relationship between Expectancy Theory and cognitive persuasions of employees about performance.

2.2 Status of Performance Management in the Public Sector

In the UK, Fryer, Jiju & Ogden (2009) conducted a study on the status of PM in the UK, focusing on the National Health System (NHS) as a case study. The study adopted a theoretical approach based on review of existing literature. Information for the study was collected by way of e-research; characterized by analysis of different online literature on the subject. The thematic concerns of the study included: what constitutes performance indicators in public service delivery, how performance data and results are analyzed/interpreted, the process of communicating PM results, problems bedeviling PM and how they lead to failure of PM processes, and a focus on how to improve PM in general. One major weakness of the study is that it relied only on secondary data. My study sought to address this by employing both primary and secondary data.

In Kenya, Obong'o (2009) carried out a study on implementation of PC in Kenya by analyzing content (particularly content on piloting of PC in 16 state corporations in Kenya) on the role of PC and the status of its implementation in Kenya, since early 2000. The study found out that since the beginning of the piloting on 1st October, 2004; 13 out of 16 piloted state corporations had their performance increase by 282% in pre-tax profits. Consequently, the study recommended adoption of PC in the entire public sector, a suggestion that was operationalized in July 2005 with 34 out of the current 38 ministries/departments registering improved performance by June 2006 (end of 2005/06 Financial Year) as illustrated in the table below:

Table 1: Performance of Kenyan MDAs by June 20006, three years after introduction of PC

| Performance | Number of State Departments/Ministries | Percentage (%) |
|--------------|--|----------------|
| Excellent | Nil | 0 |
| Very Good | 19 | 56 |
| Good | 14 | 41 |
| Fair | Nil | 0 |
| Poor | 1 | 3 |
| Total | 34 | 100% |

International Public Management Review; <http://www.ipmr.net> (Obong'o, 2009)

2.2.1 Effectiveness of Performance Management

In Australia a study carried out by Baird, Schoch, & Chen (2012) in seeking to determine the correlation between a number of organizational practices like employee reward system, personnel training, innovation and teamwork among others on effectiveness of performance management systems studied about 450 Australian Local Governments. The study recommended improvement of effectiveness of PMS after it found out that the tool was performing below expectation with regard to efficacy. This study by Baird et al was therefore relevant because its findings indicated a possibility that the Kenyan Public Service in general could be performing below par hence the need for this study.

In India, Sharma, N., Sharma, T., & Agarwal (2016) conducted a study to examine how public service personnel perceive effectiveness of performance management system, with a key focus on the two critical tenets of a sound performance management system: fairness of the process and employee perception of the accuracy of the PM process. The study established that employee perceptions of either absence or presence of accuracy and fairness in conduct of performance management can serve as useful pointers of process inefficiencies and that organisations can harness such feedback from appraisees to improve management of performance hence increased effectiveness. These findings are relevant to the current study in that they are in tandem with some key tenets of PM that are also critical independent variables investigated at the State Department of Immigration and Citizen Services.

In Zimbabwe, Zvavahera (2015) did an inquiry to establish the role of effective Results Based Management System (which has performance management as a core element) in improvement of service delivery in Zimbabwe's Public Sector. The study targeted four (4) ministries and employed a mixed method of analysing documents, questionnaires and oral interviews. The study revealed that there were inherent inefficiencies in the management of performance with most of the key tenets of a sound performance management system being ignored. For instance, it was found out that expected rewards for good performance never reached beneficiaries due to-among other reasons-failure by public entities to forward employee performance ratings for implementation of expected rewards. In cases where employees got rewarded, discrimination was found to be a common impediment.

Additionally, the study proved that performance appraisals were being done "hurriedly" only as yearly routines to conform to government directives. Overall, the study found out that the performance management system was not serving its intended purpose and that employees had lost confidence in it. As such the process needs to be improved so that it adheres to the key tenets of an ideal performance management system. The study in Zimbabwe aptly captured the spirit of this study hence the need to replicate some of its objectives in the study at the State Department of Immigration and Citizen Services.

In Ghana, Ahenkan, Tenakwah & Bawole (2016) conducted a study on the PM of SefwiWiawso Municipal Assembly with regard to the challenges faced by the assembly in implementing its Performance Management System (PMS). The trio used the case study approach; collecting data by way of interviews of purposively sampled heads of departments and employees. The collected data was then analyzed using qualitative method. The study revealed that PM Strategies in the assembly were not effective owing to poor communication, poor integration of the strategies into organizational strategies, low commitment by management, inadequate training/capacity in setting clear targets/objectives, poor performance measurement and evaluation criteria, lack of an effective reward system for good performance and inadequate finances for implementation of the PMS among other challenges. One major weakness of the study was that it merely identified challenges without delving into the emerging concern of process efficacy. My study sought to address this by attempting to explore the efficacy concerns.

In Kenya, a study was carried out by Ochoti N. G, Maronga, E., Muathe, S. Nyabwanga, R.N. & Ronoh, P.K in 2012 on the factors influencing performance appraisal in the State Department of Immigration and Citizen Services. The study focused on the influence of the appraisal process, interpersonal factors, rater accuracy, informational factors and employee attitude on the Performance Appraisal System (PAS). The study adopted the survey design which involved sampling 76 employees of the defunct Nyamira District in Nyanza Region of Kenya who were interviewed using questionnaires. Data collected was then analyzed using quantitative and qualitative methods. The study found out that all the four (4) variables have a bearing on effectiveness of the PAS as a performance management tool, more so the process itself. One weakness of the study is that it analyzed performance appraisal from the perspective of appraisees and not the appraisers. The study also made little attempt to establish effectiveness of the process with regard to enhanced public sector service delivery.

Another study in Kenya's State Department of Infrastructure by R.W. Gakure, Muriu, M.S. and Orwa, G. (2013) sought to establish the correlation between performance contracting and effectiveness of performance in Kenya's Public Sector. The study relied on a combination of qualitative and quantitative approaches, targeting 1072 employees of the department; 108 of whom were sampled and surveyed using questionnaires. Secondary data was also exploited especially government publications and journals. The study found out that performance contracting has a significant influence on employee performance. It also established that a majority of employees in the department had requisite training in performance management. Another finding was that performance management is viewed negatively by a majority of public servants because it exposes their inefficiencies. Lastly, the study found that performance ranking-to a considerable extent enhances performance of civil servants. One major lacuna that arose from the study is that it made no attempt to assess effectiveness of the performance management process itself as well as the level of public servants' satisfaction with it, hence the need for this study.

In the same year, another study at Kenya's Teachers Service Commission by Kemunto (2013), set out to investigate factors that have a bearing on effectiveness of performance appraisal at the commission. The study employed questionnaires to seek views of 50 participants who are part of the commission's employees by way of stratified sampling. Collected data was then analysed descriptively, leading to a number of findings-in form of factors-that affect the effectiveness of

performance appraisal at TSC. The study identified appraisee ignorance, unclear definition of performance appraisal parameters, unstructured feedback system, frictional relations between appraisers and appraisees and tedious appraisal procedures, among others, as the factors that undermine effectiveness of the process at the commission. One major gap arising from the study is that it merely identified factors affecting effectiveness without proceeding to establish if the process-as currently implemented-is effective or is a mere routine. Besides, the study did not address the emerging concern of employee attitude towards the process.

2.2.2 Performance Management and Public Service Delivery

In 2006, a paper was presented by Kobia, M. & Nura, M. at the 28th AAPAM Annual Roundtable Conference in Arusha, Tanzania on the theme, “Towards an effective delivery of public services in Africa”. The paper was based on analysis of data collected from a sample of 280 senior public service course participants at Kenya Institute of Administration. The findings of the study indicated that there is a positive correlation between PM and public service delivery such that PM (PC) adjusts public service delivery in manner that it becomes more results-centred.

In 2015, Korir, Rotich & Bengat carried out a study on PM and service delivery in Kenya. The study sought to explain the role that PC and service delivery charters have played in enhancing public sector service delivery as envisaged by the wave of public sector reforms. It found out that PM must be infused into wider management practices to enhance effective service delivery in the public sector. One weakness of the study is that it relied entirely on secondary data which was put through content analysis by way of description. Another weakness is that the study made little attempt to establish whether current PM practice in Kenyan Public Service is playing its expected role of enhancing public service delivery.

2.2.3 Employee Attitude towards (satisfaction with) Performance Management

Attitude can be defined as a feeling or opinion about something, especially when this manifests in one’s behavior (Cambridge Online Dictionary). According to Jeffrey (2005), attitudes determines how people see, think believe or behave towards a given situation or an object. Jeffrey (2005) further argues that at the work place, employee attitude can be measured by way of attitude assessment procedures developed by Thurstone & Chave (1929). The procedure was used in a study in Canada in 2003 by Lowe, Schellenberg, and Shannon to assess the correlation between

workers' perceptions of their work surroundings and how ensuing attitude can influence job satisfaction, commitment and retention among other variables. However, other scholars have used the concept of attitude and perception interchangeably. These and other related studies have shown that attitude/perception affects employee motivation and commitment leading to a choice to either perform effectively or not.

In Kenya, a study on correlation between attitude and PM was conducted by Mang'ale (2013). The study utilized survey method to collect data by way of semi-structured questionnaires from all 270 employees of the Defunct Ministry of Local Government. The data was then analyzed to give the finding that there was no ownership, commitment and loyalty to the PC process among the employees as most of them had a feeling/perception that they were not involved in certain critical aspects of the process hence a negative attitude. Likewise, the study by Kobia & Nura (2006), hereinabove, found out that adoption of PM motivates public servants to participate more in core missions of the organization while also becoming more motivated to “enjoy their jobs”. This means that an effectively administered PM positively changes employee attitude towards the job. Moreover, the study by Ochoti et al (2012) reviewed hereinabove found out that attitude of employees has an effect on satisfaction with (and by extension effectiveness of) the PM process. They asserted this by citing several scholars:

According to Boswell and Boudreau (2000), perceptions of fairness of the system are an important aspect that contributes to its effectiveness. Understanding employee attitudes about the PAS in organizations is important as they can determine its effectiveness (McDawall & Fletcher, 2004). If the PAS is seen and believed to be biased, irrelevant or political, that may be a source of dissatisfaction with the system. Employee reaction to the PAS is a critical aspect of the acceptance and effectiveness of the system. Extreme dissatisfaction and perceptions of unfairness and inequality in the ratings may lead to the failure of the system (Cardy & Dobbins, 1994; Murphy & Cleveland, 1995)

2.2.4 Expectancy Theory and Cognitive Persuasions of Employees about Performance

Expectancy Theory, like any other process motivational theory, is hinged on the general tenet that the cognitive convictions or persuasions that individuals hold, drive them to either strive to achieve performance excellence or to perform poorly, be it in individual pursuits or in organizational settings. Lang, P. J. (1984) defines cognition as the process of mental conception of situations for “organized expression of a response”. Arguably, these cognitions morph into persuasions (convictions) that individual organizational members develop about their job experiences;

persuasions that can either lead to employee satisfaction with their jobs and a motivation to perform better or not.

Expectancy Theory makes a number of presuppositions that are in consonance with the argument that cognitive convictions of employees about their performance (especially the way performance is managed) can serve to either motivate or demotivate them. For instance, the theory envisages transparency or fairness in organizational practices such as setting of achievable performance targets, rating of employee performance and reward for performance such that any deviation from these expectations dissuades them from performing well. The theory also holds that individual organization members expect some outcomes from tasks allocated to them and are motivated to take action paths that-they are persuaded-will lead to achievement of the set goals, leading to some form of reward for themselves, such as promotion, recognition, monetary compensation among others. Additionally, the theory envisages clear communication or feedback to employees regarding their performance. In the event that the feedback path is clogged, employee understanding of the roles they need to play (and for what reason) gets hampered hence they get demotivated to perform.

A study of the contribution of motivation to worker performance and satisfaction in an Information Technology Park in Peshiwar Area of Pakistan in 2016 corroborates this argument. Ali, A., Bin, L. Z., Piang, H. J., & Ali, Z. (2016) based their study on a conceptual framework linking motivation, job satisfaction and employee performance. They found out that organizations that perform well do so because employees therein get motivated by the satisfaction accruing to them because their expectations have been met. Pang, K., & Lu, C. S. (2018) concur-based on a combination of unspecified content and process theories of motivation-that an organization's reward policy can either motivate or demotivate workers depending on whether they are satisfied with the policy or not. These arguments imply that when employees begrudge effectiveness of management tools (such as performance management in this regard), their motivation or job satisfaction levels are likely to suffer leading to poor performance.

Mauro (2017) attests to this by citing a study by Fernandez, S., & Moldogaziev, T. (2015) which investigated the link between empowerment of employees and job satisfaction in the US based on Self-Determination Theory. The study found out that there is a positive relationship between empowering workers with information about their goals and performance. This finding relates to

this study by alluding to the notion that an affective PM System is one in which employees are kept continuously aware of their performance expectations (goals) as well as feedback on their performance (extent to which they have achieved the goals), and that contrary behaviour serves to make them dissatisfied with their jobs hence low motivation and poor performance.

In Kenya, Kamau, R. N. (2013) carried out a study of motivation and job satisfaction of employees at Safaricom Limited. The study was hinged on two theories: Self-Determination Theory and Herzberg's Two-Factor Model of Motivation. It found out that proper communication/feedback mechanisms, equitability or fairness of reward systems enhance job satisfaction leading to higher levels of employee motivation to perform.

In a nutshell, this study sought to address the literature hiatuses left by the four studies in US, Pakistan, India and Kenya which attempted to generally link job satisfaction to employee motivation to perform. Firstly, the literature did not focus on the specific role of performance management (and an effective one as such) as the ultimate measure of the behavioral motivation ideals prescribed by Expectancy Theory. Secondly, the reviewed studies were based on an array of theories of motivation as indicated (all focusing on behavioral manifestation of cognition), but none specifically used Victor Vroom's Expectancy Theory. Moreover, the study in Kenya focused on Safaricom Limited which is largely private (the Government of Kenya holds 35% shares) hence this study will be important in studying the same thematic area within the realm of public service, that is, at the State Department of Immigration and Citizen Services.

2.2.5 Summary of Literature Review

Based on the above gaps in the reviewed literature, this study-unlike the reviewed ones-combined both secondary and primary data, focused on effectiveness of performance management as currently practiced in Kenya's Public Service, attempted to link effectiveness of PM to improved public service delivery, appreciated PM from the perspective of both the appraiser and appraisee, examined employee satisfaction/dissatisfaction with PM as is currently implemented, established how attitude towards PM affects its effectiveness which in turn impacts on service delivery and explored the nexus between Expectancy Theory and cognitive persuasions of employees about performance. The study also attempted to predict the place of PM in the plans by the Kenyan Government to unroll employment of public service officials on contractual terms.

2.3 Theoretical Framework

2.3.1 Expectancy Theory

The theory was propounded by Victor Vroom, in 1964 and holds that high levels of motivation occur when employees-being capable of performing a task at high levels-do so in expectation that their chosen action path is one that will return an attractive outcome. The theory has three components: expectancy (the belief that effort of a worker will result into realization of envisioned goals), instrumentality (belief that meeting performance objectives will culminate into commensurate reward) and valence (the worth of the expected reward).

The theory links a worker's effort and performance, that is, effort-performance linkage, by positing that the task assigned ought to be reasonably challenging because a non-challenging work may lead to boredom, frustration and poor performance. It also recommends that the supervisor involves the supervised in setting performance goals. This aspect of the theory is important in ensuring effectiveness of PM in that it will ensure high levels of appraisee participation hence a positive attitude towards the process.

With regard to performance-outcome linkage, the theory demands that the supervisor delivers the reward as promised. Additionally, managers should ensure that subordinates receive fair treatment in the entire PM process in matters like allocation of tasks, measurement of performance, clarity of feedback and impersonality. This element of the theory majorly addresses the fairness aspect of the independent variable. The instrumentality aspect of the theory is relevant to the question of how the outcome of PM ought to determine which employees will be rewarded or sanctioned based on how well they have performed against set targets.

However, the theory overlooks the idea that measurement of performance is not always accurate enough to precisely determine whether the worker has met the performance expectation. This is because many performance appraisal methods in Kenyan Public Service are administered by supervisors whose objectivity may be affected by their attitude towards particular employees, lack of a proper grasp of the procedures and the unscientific nature of the measurement process. This means that there is a possibility of mismatch between a worker's expected reward based on his own evaluation of his or her performance and the supervisor's appraisal (even in circumstances that the supervisor is objective or accurate).

In a nutshell, this theory spells out the ideal PM practice and is indicative of the possibility that any deviation from its envisaged norm such as lack of fairness of the process, lack of objectivity, failure to accurately measure performance, provide clear feedback, appropriately reward performance, non-involvement of subordinates in goal setting and failure to balance task challenge level, among other performance process weaknesses will hinder effectiveness of the PM process. This makes this theory the most suited to provide a framework based upon which the effectiveness of the performance appraisal practice in Kenyan Public Service can be evaluated.

The theory was applied in a study at Babes Bolyai University in Romania, Europe by Suci, Mortan & Lazar (2013) to study “[how] civil servants’ performance appraisal [influences] their expectancy and how this is reflected on their overall work motivation”. This study informs the current one because it seeks to indicate that the expectancy of employees about the reward that the job actions they undertake-and whether such reward expectations are ultimately met or not-will either motivate employees to greater performance or demotivate them. Expectancy theory is, thus, the most relevant to this study in that appraisal ought to be the measure that determines the amount of reward for public service employees hence the process must be efficient and reliable in measuring workers’ performance or else they will be demotivated by the very process leading to its inefficacy.

2. 3.2 Hypotheses

- i. Effectiveness of performance appraisal practice in the State Department of Immigration and Citizen Services is undermined by low adherence to its key tenets such as fairness, appraisee participation in target setting and appraiser skill level.
- ii. The extent to which current employee reward system in the State Department of Immigration and Citizen Services gives prominence to outcome of employee performance appraisal affects effectiveness of the process.
- iii. Constant periodic review of performance management in the State Department of Immigration and Citizen Services for process efficacy enhances effectiveness of the process.

2.3.3 Operationalization of Variables

2.3.3.1 The Dependent Variable: Level of Effectiveness of Performance Management

Effectiveness as a dependent variable ranges from one extreme of a high level of non-realization of expected standards of PM practice (ineffectiveness) to another extreme of complete realization of set ideals of PM practice (effectiveness). As already pointed out under the statement of the problem, an effectively performing PM is indicated by: adherence to outcome of PM in rewarding or sanctioning employees, fairness of process administration, participation of appraisees in setting targets, high skills and accuracy of appraisers, high level of appraisee satisfaction with the process and periodic review of process for improvement. These variables constitute the key tenets of performance management as already indicated.

2.3.3.2 The Independent Variable: Level of Adherence to Key Tenets of Effective Performance Management

The independent variable manifests in the form of a number of indicators (key tenets), whose level of presence either leads to higher or lower effectiveness and vice versa. Some of the indicators include performance management reward system, periodic review of performance management process for efficacy, appraiser level of skill/training, level of fairness and appraisee participation in target setting.

1. Performance Management Reward System

This sub-category of the independent variable manifests in terms of the extent to which the PM system adheres to the outcome of performance evaluation in a manner that only appraisees who perform well are rewarded with incentives like promotion, monetary compensation etc. while those who perform dismally are sanctioned in the same manner. A high adherence to PM reward guidelines will constitute an effective performance management system (the dependent variable) and vice versa.

2. Periodic Review of Performance Management Process for Efficacy

This sub-category of the independent variable is anchored on the fact that an effective PM system ought to have a self-auditing mechanism in the form of periodic review for efficacy. This is indicated by a regular conduct of periodic review to address inherent weaknesses leading to

increased effectiveness of the PM process (the dependent variable). Lack of regular audit/review is likely to lead to ineffectiveness.

3. Appraiser Level of Skill/Training, Fairness and Appraisee Participation in Target Setting

Here, the level of skill or training of the appraiser constitutes one of the sub-categories of the independent variable such that the higher the level of skill or training in administering PM, the better the achievement of the dependent variable (effectiveness of performance management).

Regarding fairness, the higher the level of process fairness and appraisee participation in the PM process (elements of the independent variable), the more effective the PM practice is (dependent variable). Additionally, higher level of appraisee participation in target setting returns a better employee attitude towards the process leading to increased performance, and consequently, enhanced public service delivery.

CHAPTER THREE: METHODOLOGY

3.1 Introduction

This chapter sets out the research methodology that was adopted to meet the objectives of this study. It looks at site description, target population, sample size/sampling, research design, methods/techniques of data collection, techniques of data analysis, reliability/validity concerns and ethical considerations.

3.2 Research Design

The cross-sectional design was used to carry out a case study analysis of PM practice in the state department in question within the context of the entire Kenyan Public Service. A cross-sectional approach was convenient; consuming less time hence less costly.

3.3 Site Description

The study was carried out within Nairobi where the State Department of Immigration and Citizen Services is headquartered. The department is made up of four (4) directorates which are: Directorate of Travel Services, Directorate of Consular Services, Directorate of Foreign Nationals Management and Directorate of Border Management. Each of the directorates-headed by Director of Immigration Services-is further divided into units each headed by Assistant Deputy Director of Immigration Services (ADIS) and composed of approximately 200 officials. The units are further divided into sections which are between eight (8) and ten (10) in number per unit. Due to the homogeneity of the core duties of each unit, this study had intended to conveniently focus on the unit based at JKIA. The proposed study was to focus on the sections and sub-sections within JKIA because each of the sections has a Shift-in-Charge, who is a senior supervisor, and supervisors who have officers working under them, including subordinate staffers. However, the initial plan to distribute questionnaires became untenable due to the lean staffing occasioned by the Covid-19 Pandemic. The study therefore resorted to collect data virtually across the various units-but within Nairobi-by way of SurveyMonkey (an online data collection platform that allows distribution of questionnaires and collection of responses by either e-mail or social media). The units from which respondents were drawn included JKIA Unit, the Citizenship Unit, the Training Unit, the Visa Unit, the Investigation and Prosecution Unit, the Passports Unit and the Permits Unit.

3.4 Methods of Sampling

3.4.1 Target population

As already highlighted under site description, the target population of this study included shift supervisors (senior supervisors) of various shifts within the eight (8) units comprising the State Department of Immigration and Citizen Services as well as supervisors and junior officials. Working with a target population of approximately 200 officers in number (as mentioned above), this study targeted two cadres of the officials: senior supervisors/supervisors who administer performance appraisal on junior officials (supervisees) and the junior officials themselves.

3.4.2 Sample Size/Sampling

The sample size was calculated using the following formula by Naissuma (2009)

$$n = \frac{NC^2}{C^2 + (N-1)e^2} \text{ where.}$$

n = Sample size

N = Size of Target Population

C = Coefficient of Variation (0.5)

e = Error Margin (0.05)

On substitution:

$$n = \frac{200 \times 0.5^2}{0.5^2 + (200 - 1)0.05^2} = 66.89 \approx 67$$

Having known the sample size, non-probability/purposive sampling design was employed owing to the nature of the study site. This is because the site is a semi-closed state department handling material that may sometimes be classified, hence, an attempt at probability sampling was likely to flop. Mutai (2000) defines non-probability sampling as one that does not employ random techniques and justifies its use in circumstances when use of probability sampling is impractical. Flick (2014) concurs that there are circumstances in research where sampling is done based on “relevance [of sampled cases] rather than their representativeness”.

Particularly, the study used an integration of convenience and snowball sampling methods to access the already determined sample of 67 officials (only 42 officials participated due to Covid-19); at least eight (8) from the supervisory level and the rest from junior staff level. A minimum

of eight (8) supervisors was ideal because each of the shifts under one senior supervisor has at least eight (8) supervisors each in charge of about 20 officials; making the total of 200. Questionnaires were then administered to them.

3.5 Methods/Techniques of Data Collection

The study used primary data obtained from questionnaires (administered between 23.06.2020 and 17.07.2020) as well as secondary data from past studies on the broader subject area of performance management. Both the questionnaires employed questions that were both closed and open-ended. Primary data was then encoded both descriptively and by using quantitative analysis tools offered by the SurveyMonkey electronic research tool.

3.6 Techniques of Data Analysis

As already indicated, collected data was analyzed using both qualitative (descriptive) and quantitative methods. The focus was on making deductions and assessments on the conduct of PM at the department, effectiveness of PM process in the department as well as the attitude of public officials towards the process. Data was then presented by description, which was supplemented by working percentages, graphs, pie charts, tabulation among other methods.

3.7 Reliability and Validity of Instruments

Reliability-according to Kothari (2004)-implies the level to which data collected can be adjudged as replicable especially in the event that the study is re-done. In this study, reliability was enhanced by collecting data using questionnaires that are simple, specific, logical and clearly crafted. Moreover, care was taken to ensure that possible sources of error like investigator fatigue and boredom are minimized and that the measurement parameters are standardized for each portion of the sample. Pre-testing of the questionnaires was also done by way of piloting a representative portion of the total questionnaires for the inquiry.

Validity, on the other hand, denotes the extent to which tools used in research return accurate results (Bashir, Afzal & Azeem (2008)). This was achieved in the study by making concerted efforts to minimize all forms of researcher bias. Moreover, Morse, Barrett, Mayan, M., Olson, & Spiers, (2002)-while citing Guba and Lincoln (1980)-make a number of suggestions for ensuring validity, which this study employed. These included “audit trail, member checks when coding/categorizing [data], [holding] peer debriefing [sessions for collected data], negative case

analysis, structural corroboration and referential material adequacy.” Efforts were also made to ensure lower margin of error throughout the process of data collection, analysis and interpretation. Moreover, the researcher ensured proper and consistent application of the chosen research design, sampling techniques, data collection methods and data analysis techniques. Collected data was organized into logical thematic areas and analysed in light of the reviewed literature and the theoretical underpinning of the study.

3.8 Ethical Considerations

Rogers, B. (1987) identified four key considerations for ethical research that are still relevant today. These are: right of the respondents to whimsically participate or withdraw from research process based on full awareness of all aspects of the research, respondents’ right to privacy despite information divulged to researchers, anonymity or confidentiality of respondents as the case may be and lastly, freedom of research participants from physical, psychological and other forms of harm owing to participation in a research procedure.

In light of these ethical imperatives, this study involved an undertaking to the targeted participants that their involvement in the inquiry was completely discretionary. Moreover, the researcher committed to ensure privacy/anonymity/confidentiality would be strictly adhered to, and that the research exercise would not put the respondents in harm’s way. These undertakings were delivered to the research participants as promised. Logistical dictates of ethical research were also adhered to by the researcher who sought due permission from the relevant authorities prior to data collection. With regard to the provisions of scholarly research, the researcher strived to present original research with due acknowledgement of all sources of academic insight.

3.9 Limitations of the Study

As already alluded earlier in this chapter, the researcher faced a considerable number of challenges though the challenges did not jeopardize the overall outcome of the study. Key among the challenges was the difficulty in assessing would-be respondents due to the adoption of an extended shift system (in line with Covid-19 Response Protocol) which saw some officials working from home or being in the office intermittently. This occasioned a token change in the structure of the study to include the use of Survey Monkey; an online questionnaire administration platform that bridged the gap physical gap between the researcher and the respondents.

Another challenge was limited resources for SurveyMonkey subscription as well as logistical encumbrances at the State Department of Immigration and Citizen Services where the researcher had to make a considerable number of appointments and visits to be cleared to carry out the study and to meet respondents to convince them to complete online questionnaires (after the use of physical questionnaires proved a challenge), while also prevailing upon them to refer the researcher to other potential respondents in a typical snow-ball sampling arrangement.

CHAPTER FOUR: DATA PRESENTATION AND ANALYSIS

4.1 Introduction

This chapter presents both secondary and primary data for the study undertaken, an analysis of the data and ensuing discussions on the Determinants of Effectiveness of Performance Management in Kenya's State Department of Immigration and Citizen Services. The chapter comprises a highlight of the response rate, the demographics of the respondents, data on the variables studied, analyses of the data as well as discussions around the research questions, objectives, hypotheses and the theoretical framework that guided the study

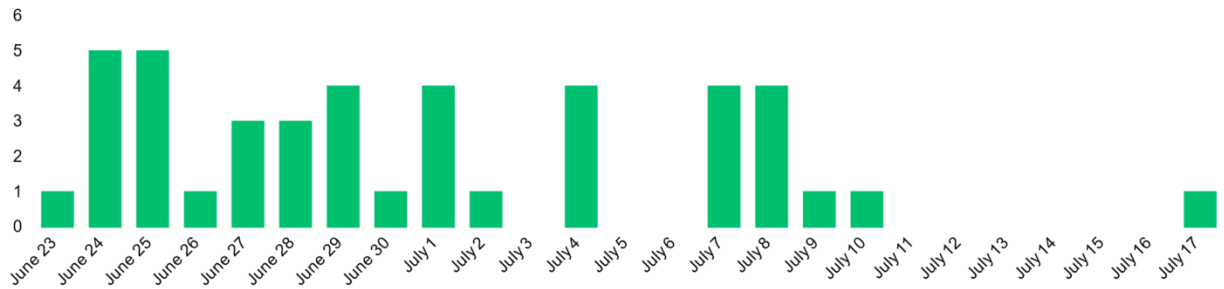
4.2 Interview Response

Responses in the study were analysed in terms of response rate, distribution of responses during the field research duration and responses in terms of geographical location of respondents within Nairobi, role deployment and cadre.

4.2.1 Response Rate

This study intended to interview a minimum of 67 respondents arrived at by way of the sampling formula proposed by Naissuma (2009). However, only a sample size of 42 was attained for two reasons: the generally opaque nature of the department by virtue of its functions and the lean staffing of the study site's offices-at the time-in line with Covid-19 Pandemic Response Protocol. This translated into a response rate of 63%. According to Mugenda and Mugenda as cited by Boboti S.M. (2010), a researcher is justified to proceed to present and analyze data if 50% of the sample population manages to respond to the questionnaires. The overall response distribution time-wise is as per the chart below.

Figure 1: Distribution of responses as per the study duration

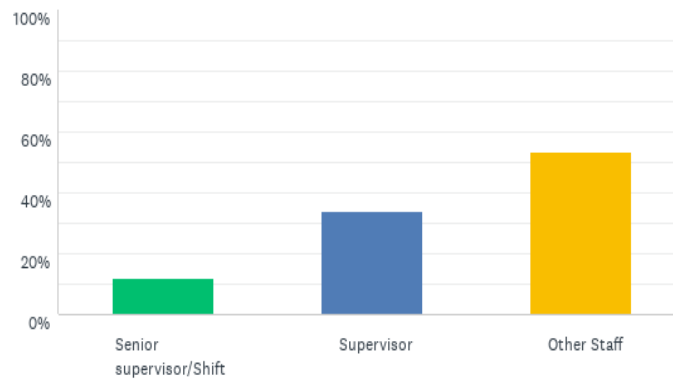


Source: Author (2020)

4.2.2 Responses by Staff Cadre

Of the 42 respondents in the study from whom the researcher collected primary data, about 46 per cent were supervisory staff while about 54 per cent were non-supervisory staff ; meaning that senior supervisors, shift supervisors and supervisors were all treated as supervisory staff (appraisers) who conduct appraisal on other staff (supervisees/appraisees). This introduced the element of stratification of respondents by virtue of their distinct roles in the PMS process as either appraisers or appraisees. The chart below shows the response by cadre.

Figure 2: Respondents as per employee cadre



Source: Author (2020)

4.2.3 Response by Staff Deployment

This study provided for heterogeneity in the respondents owing to their varied deployments in terms of role and work station locations within Nairobi. Some of the different roles included border management/control, visa functions, human resource management, passport management functions

and investigations/prosecution among other roles. The officers are based in various office locations within Nairobi such as Jomo Kenyatta International Airport (JKIA), Wilson Airport, Immigration Headquarters at Nyayo House and Huduma Centres within Nairobi.

Table 2: Respondents as per staff deployment

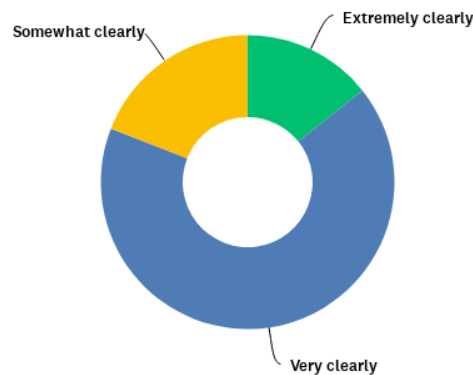
| S/No. | Role Deployment | Number of Respondents | Office Location |
|--------------|---------------------------|------------------------------|-----------------------------|
| 1. | Border Management | 14 | Headquarters |
| 2. | Visa Section | 10 | JKIA/Wilson |
| 3. | Human Resource Section | 2 | Headquarters |
| 4. | Administration | 2 | Headquarters |
| 6. | Passports | 8 | Headquarters/Huduma Centres |
| 7. | Communication | 1 | Headquarters |
| 8. | Investigation&Prosecution | 1 | Headquarters |
| 9. | Permanent Residence | 1 | Nairobi |
| 10. | Respondents who skipped | 3 | Similar locations as above |
| Total | | 42 | |

Source: Author (2020)

4.3 Administration of Performance Appraisal in the State Department of Immigration and Citizen Services

As indicated by the respondents, performance appraisal in the State Department of Immigration and Citizen Services is carried out regularly throughout the year. Moreover, over 80 percent of respondents understand very clearly what performance management or appraisal entails. However, the remaining 20% indicated that they understand it “somewhat clearly” (see Figure 3 below).

Figure 3: Respondents' understanding of the performance management process



Source: Author (2020)

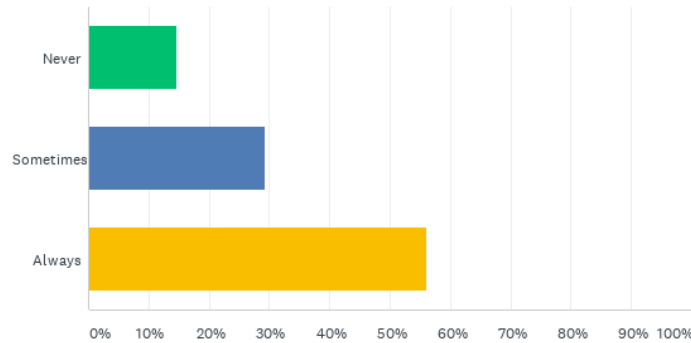
In a nutshell, the 20 percent lack of awareness is an indictment on the level of sensitization or training among both appraisers and appraisees contrary to the key tenet of performance management administration requiring that all public employees understand the process well enough to be able to appreciate their performance expectations which collectively translate into organizational performance. In fact, Gakure, R. W., Muriu, S. S. M., & Orwa, G. (2013)-while citing GOK (2005)-blame lack of 100 percent knowledge of the performance appraisal process on inadequate number of trainings for government officials (both appraisers and appraisees) which, they add, should be at least five (5) per year. They further argue that lack of full understanding of the process impedes realization of its full benefits to public service performance.

4.3.1 Performance Target Setting

With regard to setting performance targets in the department at the beginning of each year, a significant number of respondents expressed dissatisfaction yet this is a core ingredient of an effective performance management system, since the rating of an individual employee's performance can only be done in reference to the set performance goals or targets. The dissatisfaction was occasioned by lack of participation of the appraisees in target setting as is the case in best practice. Although 56% of respondents confirmed that they always participate in target setting, a considerable portion of 44% of respondents indicated that they do not always participate in setting performance targets. Out of the 44%, 29% indicated that they participate sometimes

while 15% said that they have never participated in setting performance targets (please study the chart below).

Figure 4: Respondents' views on level of participation of appraisees in performance target setting

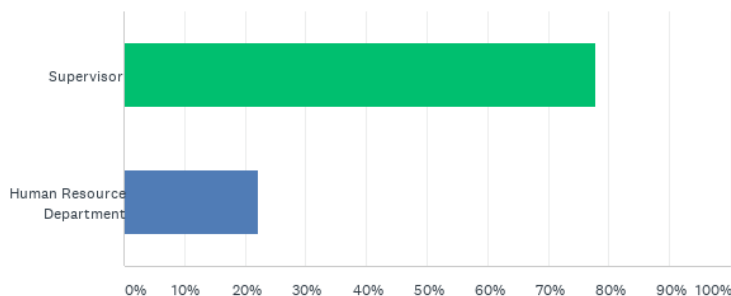


Source: Author (2020)

This finding is in tandem with what Omboi, B. M., & Kariuki, F. K. (2011), found out in their study of factors influencing the PM Practice at the Defunct Municipal Council of Maua in Kenya; that only 41% per cent of officials were involved in target setting leaving out a bigger percentage of 59.

On the same grain, the study of the State Department of Immigration and Citizen Services found out that in instances where respondents did not participate in setting targets, the targets were either set by their supervisors (88%) or Human Resource Department (22%) as per the chart below.

Figure 5: Respondents' views on who sets targets in circumstances where appraisees are not involved



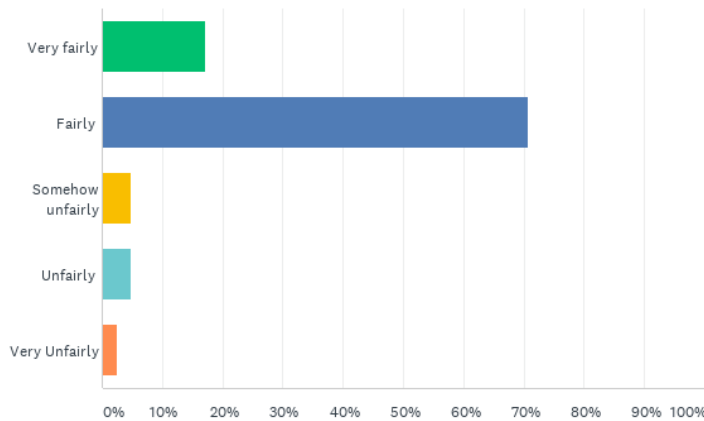
Source: Author (2020)

The implication of this partial adherence, as illustrated by the respondents in the two figures above, is that failure by appraisees to set their performance targets in consultation with the appraisers-as required in an ideal performance management practice-gives leeway for imposition of performance goals that may be unrealistic or unachievable. This could result into demotivation of officers. Kemunto (2013) agrees that lack of full involvement of appraisees in setting performance goals has a negative effect on effectiveness of the performance management process though she believes that this happens only to a “moderate extent” compared to other factors like employee attitude towards the tool, acceptance of (or resistance to) the tool by public service officials and level of knowledge about (or skills for) the process.

4.3.2 Fairness of Performance Appraisal

With regard to fairness which is one of the key tenets of performance management, the process was deemed fair by a majority of respondents at 88% with only a paltry 12% reporting unfairness (please see Figure 6 below).

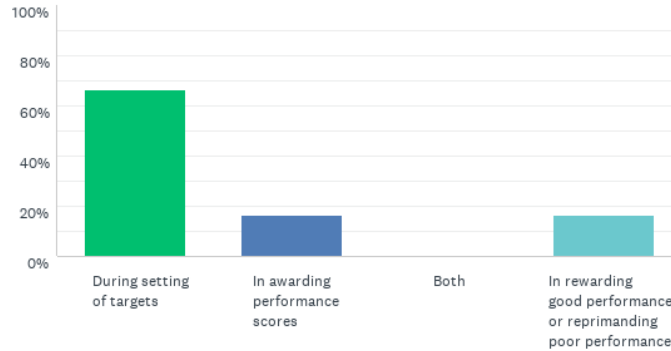
Figure 6: Responses on level of fairness of performance management process



Source: Author (2020)

According to the respondents, the element of unfairness features more prominently during the setting of targets (66.67%). It also occurs during the awarding of performance scores (16.67%) as well as in rewarding good performance or sanctioning poor performance (16.67%) at the tail end of the performance appraisal process (please refer to Figure 7 below).

Figure 7: Responses on the stages of the performance management cycle where unfairness is experienced



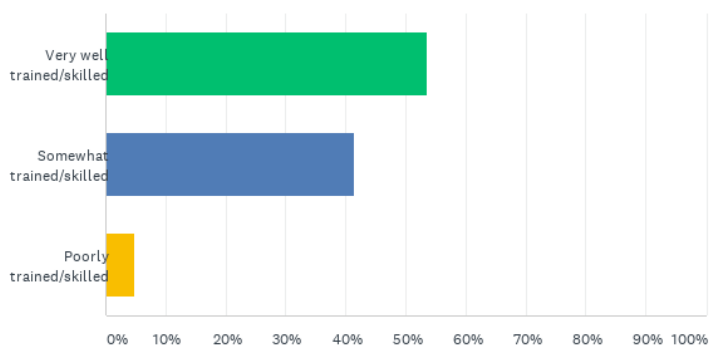
Source: Author (2020)

The disclosed level of unfairness, though perceptible to be negligible, ought not be downplayed because any amount of unfairness has the potential of getting compounded thereby hindering the effectiveness of the tool as well as overall performance of the public sector.

4.3.3 Level of Skill/Training on Performance Management

On the parameter of the skill/training level of appraisers who administer performance appraisal, 54% of respondents registered their belief that the appraisers are well trained to administer performance appraisal while a significant number of respondents (46%) did not approve of the skill level of the appraisers. Of the 46%, 41% indicated that the appraisers are somewhat skilled or trained while the remaining portion of 5% pointed out that there is poor training amongst the appraisers (please see Figure 8 below).

Figure 8: Views of both supervisors and supervisees on level of skills/training of appraisers



Source: Author (2020)

The above findings on level of performance management training among public employees mirror those of Gakure., Muriu and & Orwa (2013) who investigated the role played by performance management in enhancing performance of Kenya’s Public Service. They found out that a significant number of respondents in the study (33%) had not received any training on performance management even though 39% were in agreement that they had received some training. Those who had received some training either chose “strongly agree” or “agree” when the question was posed to them while those who had contrary experience chose either “disagree” or “strongly disagree”. The rest (28%) chose the neutral position (please refer to Table 3 below).

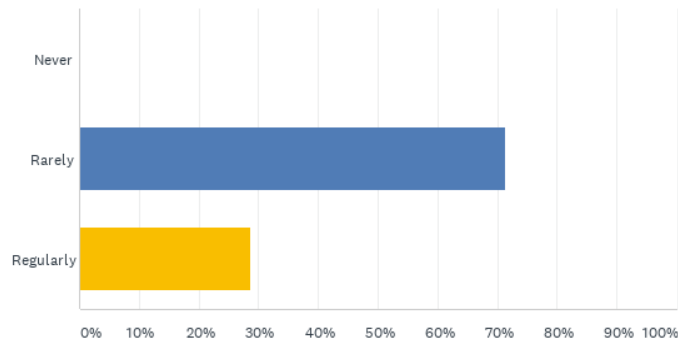
Table 3: Level of public employee training on performance management

| Answer Options | Percentage |
|-------------------|------------|
| Strongly agree | 15 |
| Agree | 24 |
| Neutral | 28 |
| Disagree | 22 |
| Strongly disagree | 11 |

Source: Gakure, R. W., Muriu, S. S. M., & Orwa, G. (2013)

Similarly, majority of the respondents (71%) who administer PM by virtue of being supervisors indicated that they rarely attend any trainings on administration of performance management while the remaining 29% indicated that they are regularly trained (please study Figure 9 below).

Figure 9: Views of supervisors on their level of skills/training to administer performance appraisal



Source: Author (2020)

On the same grain, secondary data presented by Kemunto (2013) on appraiser skill level or training of appraisers support the argument that the higher the level of skill or training of appraisers, the more effective the performance management exercise and vice versa. Specifically, Kemunto (2013) identifies incompetence on the part of the appraiser and poor appraisal skills as some of the factors that undermine effectiveness of performance management (Please see Table 4 below).

Table 4: Effect of rater accuracy/skill level/level of training on effectiveness of Performance Management

| | N | Minimum | Maximum | Mean | Standard Deviation |
|--|----|---------|---------|------|--------------------|
| Biased ratings by appraiser | 50 | 1 | 5 | 2.92 | 1.275 |
| Lack of competence in conducting appraisal | 50 | 1 | 5 | 2.86 | 1.069 |
| Lack of objectivity in appraisal | 50 | 1 | 5 | 2.88 | 1.154 |
| Poor appraisal skills | | 1 | 5 | 2.74 | 1.454 |
| Lack of knowledge of the appraisee | 49 | 1 | 5 | 2.67 | 1.231 |

Source: Kemunto (2013)

Kemunto (2013) summarises her data in the table above, as follows:

“...all the five factors were found to affect the performance appraisal to a large extent. However, if rated in order of strength using the one with the lowest mean as the factor with the highest rating, [poor appraisal skills] was found to have [the second highest influence] on [effectiveness of] performance appraisal with a

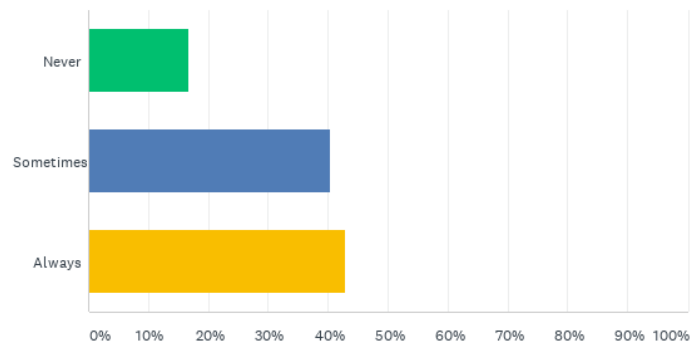
mean of [2.74]...lack of competence in conducting the performance appraisal at [2.86] [was] also found to affect the process [at number three]...” (Kemunto, 2013, p.31).

In view of the foregoing findings, it becomes obvious that the level of skill/training amongst public employees on this important tool is not satisfactory, and in fact, is detrimental to the efficacy of the tool in enhancing public service performance.

4.4 Performance Management Feedback Process/Review

With regard to whether feedback to appraisees or review of performance at the end of appraisal cycle was being conducted at the state department under inquiry, it was found out that this key tenet of performance management was being adhered to only partially as disclosed by 43% of respondents who said that the tenet was being observed regularly; while 40% said it is done only “sometimes.” The remaining respondents (17%) said that the expected periodic review never occurs (please refer to Figure 10 below).

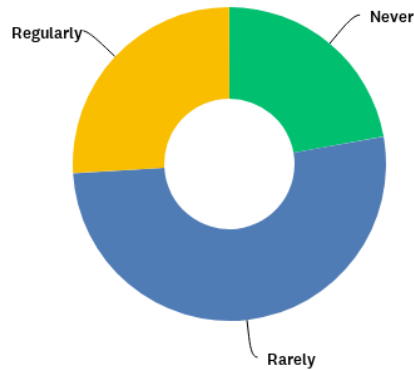
Figure 10: Respondents’ views on performance management feedback process/review



Source: Author (2020)

Moreover, the study established that over 74% of supervisors rarely hold peer meetings with fellow supervisors to review their performance ratings of appraisees with only 26% of appraisers engaging in this key tenet of a sound performance management system (please see Figure 11 below).

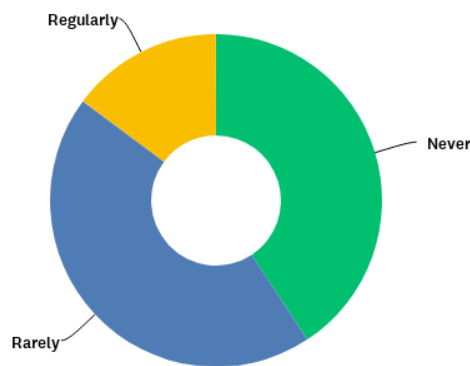
Figure 11: Pie chart showing supervisors' views on whether or not they engage in peer review of their appraisee ratings



Source: Author (2020)

The Human Resource Department was also found to be lax in reviewing and or challenging unusual patterns in awarding scores to appraisees especially in circumstances where supervisors award too high or too low marks. 41% of supervisors who participated in the study indicated that this never happens while 44 percent said it happens occasionally. The remaining 15%, however, noted that such reviews occur regularly (please consider Figure 12 below).

Figure 12: Pie chart showing HR Department's efficacy in reviewing employee performance appraisal data



Source: Author (2020)

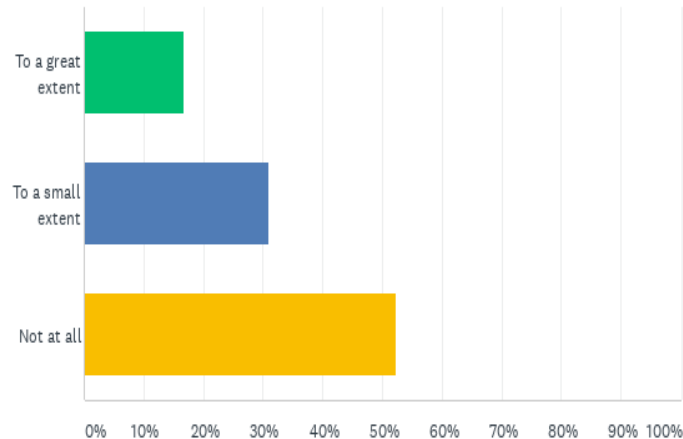
The above findings denote a paltry 15% conformity with this key element of performance review or feedback, meaning that irregularities in the conduct of the PM Process are likely to go

undetected and unrectified by the custodian of the PM process, the Human Resource Department. Thus, the defects inherent in the tool mostly get replicated year-in-year-out thereby compromising the integrity of the process and bringing to doubt its effectiveness.

4.5 Reward for Performance

On the question of how the parameter of reward for performance is handled at the state department under inquiry, respondents disclosed that good performance seldom counts in promotions or any other benefits and neither does poor performance guarantee that the offending public official would be sanctioned as expected under an effectively functioning performance management system. 52% of respondents said that outcome of performance appraisal does not have a great bearing on who gets promoted or sanctioned while 31% said it counts to a small extent while only 17% affirmed that indeed performance ratings have a bearing on which employee is promoted, sanctioned or developed (for instance by further job training) to perform better (please see Figure 13 below).

Figure 13: Chart showing supervisors' views on extent to which performance rating determines employee reward/sanction



Source: Author (2020)

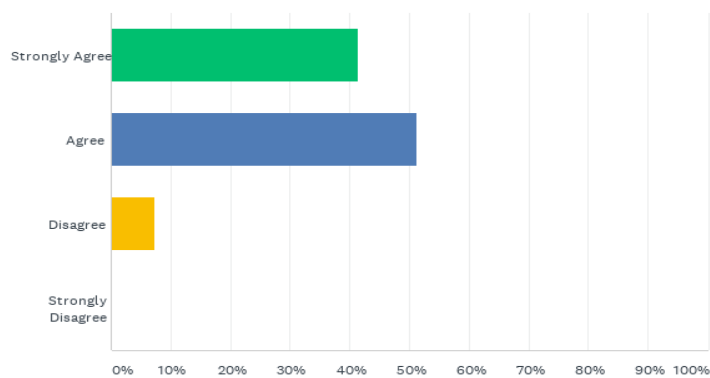
The above finding on reward for performance is reinforced by Obong'o S.O. (2009) who holds that the good performers (whom he calls "winners") expect to be rewarded in the prescribed form or else they will lose interest in the process thereby jeopardizing the justification for its application. This implies that though there is no doubt that the ultimate aim of performance management as a New Public Management (NPM) Strategy is to enhance performance of public service

organizations and the officials serving therein, it would be antithetical to measure performance yet fail to utilize the outcome of performance appraisal information for enhancement of various organizational objectives such as human resource development; where it would be expected that good performers are rewarded while under-performers are either reprimanded or put under programmes aimed at improving their individual performances. Binnendijk, A. (2000) reinforces this notion by pointing out that the essence of gathering performance information is to use it for organizational decision making with regard to “strategic planning, policy formulation, program or project management, financial and budget management and human resource management.” It should be noted, however, that the use of performance data in human resource management can only be fruitful if rewards are availed to public employees as prescribed in the organization’s PM Guidelines and that there is no favouritism, real or perceived.

4.6 Attitude/Satisfactoriness with PM Process

Before indulging in the question of satisfactoriness with the conduct of performance management, majority of the respondents stated unequivocally that they view the performance management system as an invaluable tool in nurturing performance/productivity in any public service entity (including the State Department of Immigration and Citizen Services). This was shown by an overwhelming 93% of respondents who vouched for the value of the tool in circumstances where it is, presumably, administered effectively while 7% indicated a contrary opinion (please view Figure 14 below).

Figure 14: Chart showing respondents views on whether or not they hold PM Practice as an important management tool



Source: Author (2020)

An analysis of secondary data from a study on “Perceived factors affecting performance appraisal at the Teachers Service Commission” by Kemunto (2013) reinforces the view that performance management is a very important tool in effective public administration. Out of 50 respondents whose views were sought on the question of value of PM in public service delivery, 76% of respondents billed the tool as either “important” or “very important” (please refer to Table 5 below).

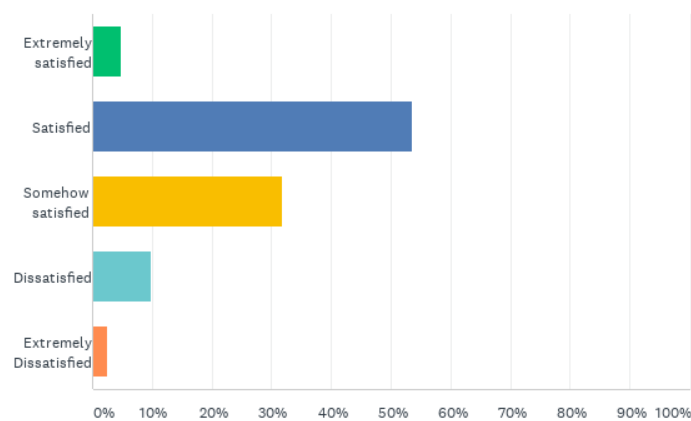
Table 5: Perception of level of importance of PM Practice as a public administration tool

| | Frequency | Percentage | Cumulative percentage |
|----------------|------------------|-------------------|------------------------------|
| Not important | 6 | 12 | 12 |
| Less important | 6 | 12 | 24 |
| Important | 19 | 38 | 62 |
| Very Important | 19 | 38 | 100 |
| Total | 50 | 100 | |

Source: Kemunto (2013)

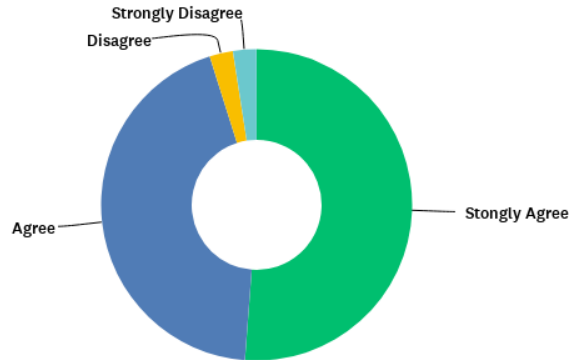
However, the question of satisfaction with the current conduct of the PM process paints a contrary picture of divided opinion among public employees. 58% of respondents disclosed that they were either extremely satisfied (5%) or satisfied (53%) with the handling of the process while the remaining 42% (which is a significantly high number) were either somehow dissatisfied (31%), dissatisfied (9%) or extremely dissatisfied at 2% (please see Figure 15 below).

Figure 15: Bar graph showing level of satisfaction with the conduct of performance management process



In line with the significantly high number of respondents dissatisfied with the current conduct of PM in the state department under inquiry, respondents were further asked to suggest a remedial action owing to the highlighted dissatisfaction. There was a very high feeling among them (95%) that the tool needs to be improved/enhanced so that its full potential in enhancing public service delivery can be realized. Notably, out of the 95%, 51% strongly agreed to the need to improve current PM practice to enhance effectiveness while 44% chose the option, “agree” (please see Figure 16 below).

Figure 16: Chart showing respondents views on whether the current PM Practice needs improvement



Conclusions

Administration of Performance Management

As affirmed by 80% of respondents, performance appraisal is carried out regularly in the State Department of Immigration and Citizen Services as prescribed in the entire Kenyan Public Service since the year 2003. This is explained by the fact that this requirement became entrenched in the entire Kenyan Public Service in 2003 as a policy requirement in line with the new wave of public sector reforms geared by an increased demand for better public sector performance (GoK as cited by Obong'o S.O, 2009). However, the regularity of performance appraisal conduct did not necessarily translate to effectiveness; confirming indications by reviewed literature that there is routinization of the process to merely conform to government directives (Zvavahera, P., 2015).

Knowledge/Awareness about Performance Management

As per the study's findings, a majority of employees (80%) in the state department under inquiry are aware of what PM in their organization entails and the rationale on which it is premised. However, the high level of awareness about PM did not necessarily translate to effectiveness. Moreover, the remaining 20% who do not understand the process present a hinderance to effectiveness of the process since in an effectively working PM System, there is 100% understanding of the role of each public employee (Mondy, R. W., & Martocchio, J. J., 2016).

Target Setting

The study found out that there was partial participation in target setting by employees (at 56%) leaving out a significant number of employees (44%) who do not always participate in setting performance targets and that in such circumstances, targets are imposed on them by either their supervisors (appraisers) at 88% or the HR Department at 12%. While partially confirming the hypothesis that low adherence to key tenets of PM undermines its effectiveness, this outcome is in line with the proposition of Victor Vroom's Expectancy Theory that supervisors (appraisers) fully involve supervisees (appraisees) in setting realistic and reasonably challenging targets since a high appraisee participation inspires a positive attitude towards (and acceptance of) PM.

Fairness of Performance Management Practice

In line with the study findings, the conduct of PM in the department is deemed largely fair at 88% with majority of the identified cases of unfairness (66%) occurring at the target setting stage. This denotes a high adherence to the key tenet of fairness which is an indication of a high effectiveness of PM conduct at the department with regard to fairness. This fully confirms the hypothesis that a low adherence to key tenets of PM (fairness in this case) undermines effectiveness of PM and vice versa. This also echoes the assumptions of expectancy theory that employees will expect fairness at all stages of the PM process and that any deviation from their expectations will not only undermine their performance but also the effectiveness of the tool, and vice versa.

Level of Training/Skill

The outcomes of the study reveal an average level of training of appraisers in the department, as 54% of respondents against 46% indicated that there was adequate training among appraisers to equip them with the requisite skills to effectively administer performance appraisal on their supervisees. However, this contradicted the position of the appraisers themselves 71% of whom indicated that they are inadequately trained to administer performance appraisal on their supervisees. Low levels of training or skill of employees (especially appraisers) on conduct of PM undermines effectiveness of the tool since it leads to lack of a proper grasp of the process hence inaccurate application of the tool. This finding attests to the relevance of the expectancy theory that deems a PM process wrought with inaccurate measurement due to poor skill level of appraisers, as an ineffective process.

Performance Feedback/Review

According to the study findings, 57% of respondents disclosed lack of feedback to employees on their performance as well as lack of review of performance data to bring out inconsistencies, errors or biases. Moreover, 74% of appraisers indicated that they never carry out peer review to identify rating inconsistencies across units or sections and that the HR Department is usually lax to do so. Only 15% reported that there was regular periodic review to ascertain efficacy of the process. The spirit of feedback in the PM process is captured in the argument by the expectancy theory that an ideal PM process ought to be one in which there is clarity of feedback as the means of communicating outcome of performance appraisal process.

Reward for Performance

According to the study findings, 52% respondents revealed that outcome of performance appraisal does not have a great bearing on who gets promoted (or rewarded in any other prescribed form) for good performance or reprimanded for under-performance. This aspect of PM is key to effectiveness of the process since it forms the core of motivation for employees to either perform their tasks well or not. According to the expectancy theory whose assumptions guided this study, the major reason why employees perform is to get rewards that they consider attractive and worthy of the work efforts they make. Failure to deliver the rewards as promised, thus, demotivates workers resulting into poor performance.

Attitude/satisfactoriness with PM Process

As shown by the findings of the study, employees were divided with regard to how satisfactory or not the process is-as currently conducted-in the department. 52% of respondents registered satisfaction with the tool as currently implemented while a significant portion (42%) expressed dissatisfaction.

Further Conclusions

In a nutshell, much as the study findings on effectiveness of performance management conform to reviewed literature in past studies in countries such as Australia, India, Zimbabwe and Ghana, most reviewed literature of past studies in Kenya gave little prominence to the effectiveness aspect of PM, hence the above findings of this study are instrumental in bridging this knowledge gap in Kenya. This study also serves to affirm a growing concern globally that partially effective deployment of the PM tool is undermining its efficacy in enhancing public service delivery hence the need to re-orienting it to its initially envisaged role of enhancing public sector performance as an integral part of New Public Management.

Moreover, the findings relate to the hypotheses of the study in the following ways. Firstly, the study findings fully confirm the hypothesis that low adherence to the key tenets of performance management undermines effectiveness of performance management and vice-versa. As highlighted above, the study found out that though there was partial conformity with key tenets of an effective PM such as process fairness (at 88%), appraisee participation in target setting (at 56%) and level of training of both appraisers and appraisees (at 54%); the significant fraction indicating

non-adherence (at 12%, 44% and 46% respectively) still served to undermine overall satisfaction with (and attitude towards) the PM process, hence its effectiveness.

Secondly, the study findings fully confirm the hypothesis that the extent to which employee reward system gives prominence to outcome of employee performance appraisal affects effectiveness of the process by either motivating employees to perform better or demotivating them. In the case of this study, performance outcome was found to be playing a minor role in promotion and other rewards (as affirmed by 52% of respondents), thereby undermining effectiveness of PM practice.

Lastly, the study findings fully uphold the hypothesis that constant performance feedback (review) enhances effectiveness of performance management and vice versa. In the case of the department under inquiry, there was low adherence to the expected standard of constant review/periodic feedback (at 43%); a situation that undermined effectiveness of the tool.

In view of the expectancy theory, the above findings aptly bring out the relevance of the theory to this study by affirming-as propagated by the theory-that workers (in this case public service employees) perform their tasks in expectation of certain rewards, such as promotion, monetary compensation etc., upon achieving set targets. They also expect the rewards to be delivered in the promised form and manner. Moreover, the workers must hold the rewards as worthy of their efforts otherwise they will be demotivated to perform. These arguments of the theory imply that every PM process has to strictly adhere to its key tenets as highlighted or else it will lose favour amongst public employees making it a mere procedure with little or no value in its expected role of enhancing public sector performance/service delivery.

CHAPTER FIVE: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This chapter gives a summary the entire study, presents conclusions based on the findings, advances policy recommendations arising from the conclusions and offers suggestions for further research.

5.2 Summary of the Study

Chapter One of the study begins with a background which places the construct of performance management (an effective one in this regard) within the context of public service delivery, almost 40 decades after the wave of public sector reforms swept across the globe; bringing a new focus on efficient and effective public service, characterized by new public administration concepts like New Public Management (NPM) and Results Based Management (RBM). The chapter proceeded to hypothesize about a problematic conduct of performance management within Kenyan Public Service where gaps were presumed between the stipulated ideals of an effective performance management system and the actual practice. Moreover, the study found justification in gaps left by past studies in a bid to inspire policy shifts towards making the practice of PM more efficient in measuring public sector performance to ensure effective performance of public service organisations. The fundamental questions that informed the objectives of the study were: firstly, the question as to whether performance appraisal at the State Department of Immigration and Citizen Services (site of the study)-and by extension the entire Kenya's Public Service-is administered in strict adherence to its key tenets such as fairness, full appraisee participation in target setting and skilled appraisers. The second question focused on whether or not reward system in the department under inquiry is based on outcome of performance management. Lastly, the study revolved around the question of the extent to which performance management practice at the department is subjected to periodic review for efficacy.

In Chapter Two, literature of past studies on the general subject area of public service performance was reviewed from a broad global front, down to the African experience before narrowing down to the Kenyan situation. Gaps in literature emerged, especially in Kenya, with regard to past studies having given the aspect of effectiveness a wide berth. These gaps justified the need for the study which would go a long way in informing review of policy guidelines in Kenya to make the tool

more effective. The chapter also highlighted the suitability of Victor Vroom's Expectancy Theory in giving the study a theoretical foundation. The theory resonated well with the study because it, among others, envisaged accurate measurement of performance, delivery of performance rewards as promised and clear feedback on performance; propositions that mirror the objectives and hypotheses of the study.

Methodologically, Chapter Three detailed how the study utilized a sample size of 42 at the State Department of Immigration and Citizen Services Officers to cross-sectionally obtain primary data which was backed up by secondary data from literature emanating from subject-related books, publications, journals, periodicals and government reports. The sample was obtained by way of a workable blend of convenience, stratified and snowball sampling methods. The data was then analysed majorly by qualitative means.

Chapter Four presented and analysed resultant data to present one major finding: that the current conduct of performance management at the department is partially effective as it is being done in partial conformity with key tenets of an effective performance management such as process fairness, participatory target setting, high skill level of appraisers among others.

Chapter Five then made conclusions based on the findings and advanced policy recommendations while making suggestions for further research. More importantly, the study recommended need to improve the tool by reviewing its current policy guidelines to achieve effectiveness which is denoted by high conformity to key tenets. Notably, majority of respondents opposed any possible plans by the government to introduce contractual public service employment based on performance for fear that a partially ineffective PM process (such as the current one) will be prone to abuse.

5.3 Conclusion

In consideration of the study findings, its objectives and research questions, a number of conclusions can be made in line with its hypotheses and the guiding theoretical framework. Firstly, the study presupposed that effectiveness of performance management practice in the State Department of Immigration and Citizen Services is undermined by low adherence to its key tenets such as fairness, appraisee participation in target setting and appraiser skill level.

In view of the foregoing, the study revealed that there is partial conformity with key tenets of a sound PM process. In a more particular sense, the study established that there is a high awareness among public employees about the exercise (at 80%), the process is carried out regularly as dictated by best practice and that the process is largely fair (88%). However, there were some weaknesses in the conduct of the process especially with regard to appraisee participation in setting of performance targets (at 56% adherence) and unsatisfactory skill/training level of appraisers (at 52% conformity). These weaknesses undermine the effectiveness of performance management in enhancing public service performance/delivery. Moreover, this partial conformity points to incomplete adherence to the ideals of effective administration of PM in the department hence partial effectiveness. Thus, it fully confirms the hypothesis that a high adherence to key tenets of performance management increases effectiveness of the process while a low adherence undermines it. As pre-supposed by Victor Vroom's Expectancy Theory, a PM process can only be considered effective if it ensures complete adherence to key tenets such as fairness, high skill level among appraisers and full appraisee participation in target setting.

The second hypothesis was that the extent to which current employee reward system in the State Department of Immigration and Citizen Services gives prominence to outcome of employee performance appraisal affects effectiveness of the performance management process. The study established that good performance scores seldom count (as disclosed by 52% of respondents) in determining who gets promotion or any other employee rewards/compensation. Such disregard for outcome of performance appraisal scores, not only demotivates the public officers from good performance but also makes them develop a negative attitude towards (or dissatisfaction with) the performance management tool. This implies that a significant number of officers are not likely to be keen on the exercise because it does not guarantee rewards (like promotion) for good performance. Thus, it can be concluded as hypothesized that less regard for performance outcome in rewarding employees negatively affects effectiveness of PM and vice versa. These findings fully conform to the ideals of expectancy theory which holds that rewards for good performance (such as promotion) ought to be delivered to the employees as promised otherwise they will be demotivated, view the tool as worthless and render it ineffective.

The final presumption of the investigation was that constant periodic review of performance management in the State Department of Immigration and Citizen Services for process efficacy

enhances effectiveness of the process. The study found out that there was low adherence (at 43%) to the tenet requiring that performance data be reviewed at the end of each cycle and feedback given to appraisees. This affects efficacy of performance appraisal because both appraisers and appraisees never get to know where they need to improve. Moreover, stakeholders never get to know the defects inherent in the process so that improvements are made to make it more effective. This finding fully confirms the hypothesis that lack of constant review of performance management process itself, for efficacy, undermines effectiveness of the process in achieving its main objective of enhancing public sector performance. These findings fully agree with the key assumptions of expectancy theory that a sound PM system ought to be based on a clear feedback system for ease of participation of stakeholders in pointing out weaknesses or inconsistencies; which is important for constant improvement of the tool.

5.4 Policy Recommendations

Based on the research findings and conclusions, the following policy recommendations with regard to management of public sector employees or public sector performance can be advanced. It should, however, be noted that these recommendations do not point to absence of relevant policy on conduct of performance management at the State Department of Immigration and Citizen Services and the Kenyan Public Service in general, but rather the gaps existing between policy provisions and implementation.

5.4.1 Reward for Performance

As per the findings, there seems to be laxity in implementing prescribed reward for good performance especially with regard to promotions. This is despite the existence of policy guidelines indicating that outcome of performance appraisal ought to be given prominence (in true sense of it) in rewards such as promotion. As such, there is need to introduce a new clause obligating decision makers in public service organisations to ensure consistency in rewarding good performers as is the case in best practice world over (Ministry of Devolution & Planning, 2015). In fact, good performance ought to be made the greatest determinant of public employees who get promoted; otherwise any perceived unfairness will continue to draw negative attitude towards the process, making it less acceptable hence ineffective.

5.4.2 Target Setting

Despite a policy provision in all Kenyan MDAs, clearly stipulating that performance target setting be as participatory as possible (Ministry of Devolution & Planning, 2015), there exists a gap in implementation hence the need to review the existing policy to make the conduct of this key tenet more open and participatory while also increasing provision for periodic review of targets that may prove unrealistic as the year progresses.

5.4.3 Feedback Mechanism

Whereas current policy guidelines at the study site and the entire Kenyan Public Service provide for clear communication or feedback about performance, there seems to be an implementation gap if the study findings are considered. Hence, there is need to strengthen the performance management feedback mechanism or communication between appraisees and appraisers to make the process more responsive to concerns of all stake holders. In fact, the process needs to be continuously audited as part of feedback mechanism aimed at ensuring effectiveness of the tool in enhancing public service performance/delivery. The performance contracting guidelines by Performance Management and Coordination Office for the 2017/2018 Financial Year, indicate a need to review performance management guidelines to “incorporate emerging issues and factor in lessons learnt with a view to improving the process in the subsequent period” (Performance Management and Coordination Office, 2017).

5.4.4 Process Simplification

There seems to be a feeling among employees in the department that the PM Process is cumbersome, long, and tedious; making public officials to have a negative attitude towards it. This points to a need to review performance management guidelines as stipulated by Performance Contracting Guidelines for the FY 2017/2018 (Performance Management and Coordination Office, 2017) to mandate simplification of the tool so that it is easier for both appraisers and appraisees to understand and for the appraisers to administer.

5.4.5 Training/Appraiser Skill Level

The findings of the study inform the conclusion that the existing policy guidelines on training-as stipulated by Performance Contracting Guidelines for the FY 2017/2018 (Performance Management and Coordination Office, 2017)-are not being fully adhered to. There should, thus, be policy amendments to ensure regular training, especially of appraisers so that they gain a better understanding of the management tool. This will enable it to be deployed effectively in public sector performance and service delivery.

5.4.6 Debate on Possible Introduction of Contractual Employment in Kenya

Additionally, the findings of the study have brought to the fore the ongoing debate on plans by the Government of Kenya to replace permanent employment with a contractual arrangement based on performance. Majority of respondents opposed such plans (81% against 19%); raising concerns that such a policy shift may flop under a partially ineffective performance management process especially if the process of renewing contracts is unfair and reproachable. Therefore, any new policy in that regard needs to have a clause that emphasizes an effective PM Process-in line with the findings of this study-to anchor it.

5.5 Suggestions for Further Research

The study found out that some units/sections of the Department of Immigration and Citizen Services have adopted an automated performance appraisal system. This is a relatively new concept in Kenyan Public Service hence the need for further research to explore its deployability in relevant Government Ministries, Department and Agencies (MDAs) while also evaluating its efficacy in MDAs where it has been deployed so far.

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APPENDIX I: QUESTIONNAIRE FOR RESPONDENTS

Questionnaire for a Sample Survey on:

DETERMINANTS OF EFFECTIVENESS OF PERFORMANCE MANAGEMENT IN KENYAN PUBLIC SERVICE; A STUDY OF STATE DEPARTMENT OF IMMIGRATION AND CITIZEN SERVICES

Section A

Part One: Declaration:

My name is Kennedy Ouma Ogindi, a Master of Public Administration Student at the University of Nairobi. I wish to affirm that your participation in this survey is voluntary. Any information you give will be held in strict confidentiality and used for research purposes **ONLY**. You also reserve the discretion to withdraw from the interview at any stage as you may deem necessary.

Part Two: General Information

1. Sex {*Tick Appropriately*}: Male () Female ()
2. Section/Sub-Section (e.g. Visa, Revenue, etc.)

3. Cadre {*Tick Appropriately*}: Senior Supervisor/Shift Supervisor() Supervisor () Other Staff

Part Three: Administration of Performance Appraisal/Management in Your Department

4. How well do you understand what performance appraisal or performance management entails? {*Tick Appropriately*}:
Extremely clearly () Very clearly () Somewhat clearly () Not at all clearly ()
5. Is performance appraisal usually carried out in your department or section?
{*Tick Appropriately*}: Yes (); No ()
6. If yes, at what time of the year is it carried out? {Choose Appropriately}
 - a) Beginning of the year only (Once)
 - b) Beginning and mid-year (Twice)
 - c) Beginning, mid-year and (End)
 - d) End year only (Once)
 - e) Quarterly (Four Times)

7. If your answer is no in No.5 above, what do you think is the reason?

8. Who conducts the performance appraisal or performance management process?

{Tick Appropriately}

Supervisor () Human Resource Department ()

9. Do you usually participate in setting performance targets? {Tick Appropriately}:

Never (); Sometimes (); Always ()

10. If your answer is never in No.9 above, who decides on performance targets?

{Tick Appropriately}:

Supervisor (); Human Resource Department Develops Targets ()

11. Would you say performance appraisal or performance management in your department is conducted fairly for all employees {Tick Appropriately}:

Very fairly (); Fairly (); Somehow fairly (); Unfairly (); Very Unfairly ()

12. If your answer is *somehow fairly/unfairly/very unfairly* in No.11 above, at what stage do you see unfairness?

{Choose Appropriately}:

a) During setting of targets

b) In awarding performance scores

c) Both

d) In rewarding good performance or sanctioning poor performance

13. Do you think that your supervisor has the requisite skills and training to administer performance appraisal? {Tick Appropriately}:

Very well trained/skilled (); Somewhat trained/skilled (); Poorly trained/skilled ()

14. Please briefly help me understand your answer in No.13 above

Part Four: Feedback Process/Periodic Review

15. Do you and your supervisor ever discuss performance after you have been awarded a performance score; for instance how he/she arrived at your performance score or how to improve your performance {Tick Appropriately}:

Never (); Sometimes (); Always ()

Part Five: Reward for Performance

16. Is promotion or any other reward/compensation in your department determined by an employee's performance appraisal score, so that best performers are either promoted or rewarded in some manner as opposed to under-performers? {Tick Appropriately}:
To a great extent () ; To a small extent () ; Not at all ()

Part Six: Attitude/Satisfactoriness

17. How do the following statements relate to your experience of performance appraisal in your department?
- a) Performance appraisal/management in my organization majorly focuses on judging the wrongs I have done and not improving my performance.
{Tick Appropriately}
[Strongly Agree] [Agree] [Disagree] [Strongly Disagree]
 - b) Performance appraisal/management is very important to me and my organization in developing my performance and enhancing achievement of my department's mission.
{Tick Appropriately}
[Strongly Agree] [Agree] [Disagree] [Strongly Disagree]
 - c) Performance appraisal/management is very important in managing performance but needs to be enhanced so that it is more effective.
{Tick Appropriately}
[Strongly Agree] [Agree] [Disagree] [Strongly Disagree]
 - d) Performance appraisal/management in my organization is just but an annual ritual we go through without any actual benefits to me and my organization.
{Tick Appropriately}
[Strongly Agree] [Agree] [Disagree] [Strongly Disagree]
 - e) Are you satisfied with the way performance appraisal/management is being conducted in your department?
{Tick Appropriately}
Extremely Satisfied () ; Satisfied () ; Somehow satisfied () ; Dissatisfied () ;
Extremely dissatisfied ()
 - f) What is your reason for your answer in e above?

g) What changes do you suggest so that you are more satisfied with the process? _____

h) Do you support ongoing plans by the government to abolish permanent and pensionable employment and introduce employment on contract subject to performance {Tick Appropriately}:

Yes () ; No ()

i) What is your reason?

j) If your answer in g) above is yes, do you think the performance management system as currently conducted in your department will make this change successful?

k) Please help me understand your reason

Section B

TO BE FILLED BY SUPERVISORS/MANAGERS ONLY

- 18. Have you ever administered performance appraisal on junior officers?
{Tick Appropriately}: Yes () ; No ()
- 19. Do supervisors/managers undergo any comprehensive training on how to manage performance of junior officers?
{Tick Appropriately}: Never () ; Rarely () ; Regularly ()
- 20. Do supervisors/managers ever hold meetings with fellow managers/supervisors to review how they have rated their juniors in performance appraisal?
{Tick Appropriately}: Never () ; Rarely () ; Regularly ()
- 21. Does the human resource department of your organization ever review and challenge unusual patterns of performance ratings by supervisors/appraisers especially in circumstances where a supervisor awards either too high or too low performance scores?
{Tick Appropriately}: Never () ; Rarely () ; Regularly ()
- 22. Do you think performance appraisal/management helps you in any way to lead your team well as a manager?
{Tick Appropriately}: To a great extent () ; To a small extent () ; Somehow () ; Not at all ()
- 23. If your answer in No.22 above is *to a small extent/somehow/not at all*, what remedial action (s) would you suggest?

Thank You for Participating

End

APPENDIX 2: DULY SIGNED TURNITIN ORIGINALITY REPORT

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DETERMINANTS OF EFFECTIVENESS OF PERFORMANCE ... By Kennedy Oginji

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APPENDIX 3: LETTER OF INTRODUCTION FROM THE UNIVERSITY



University of Nairobi
COLLEGE OF HUMANITIES AND SOCIAL SCIENCES
Department of Political Science & Public Administration

Telegram: "Varsity", Nairobi
Telephone: 318262 ext. 28171
Telex: 22095 Varsity
Email: dept-pspa@uoi.ac.ke

P.O. Box 30197
Nairobi, Kenya

6th May 2020

TO WHOM IT MAY CONCERN

AUTHORIZATION TO CONDUCT FIELD RESEARCH

This is to confirm that Ogindi Kennedy Ouma of Registration Number (C51/11409//2018) is a bonafide student in the Department of Political Science and Public Administration, University of Nairobi.

Mr. Ogindi is pursuing a Degree in Master of Public Administration. He is researching on, "Determinants of Effectiveness of Performance Management in Kenyan Public Service: A study of the Department of Immigration Services".

He has successfully completed the first part of his studies (Coursework) and is hereby authorized to proceed to the second part (Field Research). This shall enable the student to collect relevant data for his academic work.

It is against this background that the Department of Political Science and Public Administration, University of Nairobi requests you to assist the student in collecting relevant academic data. The information obtained shall only be used for academic purposes.

The student is expected to abide by your regulations and the ethics that this exercise demands. In case of any clarification, please feel free to contact the undersigned. Thanking you for support.

Yours Sincerely,

Professor Fred Jonyo,
Chairman,
Department of Political Science and Public Administration,
UNIVERSITY OF NAIROBI

APPENDIX 4: LETTER OF CONSENT FROM THE STATE DEPARTMENT OF IMMIGRATION AND CITIZEN SERVICES

