CHANGE MANAGEMENT PRACTICES AND PERFORMANCE OF SELECTED LOCAL GOVERNMENTS IN EASTERN UGANDA

By

Wilfred Kokas Aupal

Registration Number: 2014/PhD(MGT)/040/PS

Supervisors

Dr. Willy Ngaka

Makerere University, College of Education and External Studies/Uganda Technology and Management University (UTAMU)

Rev. Fr. Dr. Epiphany Picho Odubuker

Muni University/Uganda Technology and Management University (UTAMU)

A PhD Proposal submitted in fulfillment of the requirements for the award of Doctor of Philosophy in Management of Mbarara University of Science and Technology (MUST)

August, 2016

TABLE OF CONTENTS

Contents   **Page**

CHAPTER THREE

METHODOLOGY………………………………………………………   44

List of Figures:

List of Tables:

Appendixes

LIST OF ACRONYMS AND ABBREVIATIONS

CAC	Cronbach Alpha Coefficient
CAO	Chief Administrative Officer
CDC	Centers for Disease Control
CDO	Community Development Officer
CIPD	Chartered Institute of Personnel and Development
CSR	Civil Service Reform
DISO	District Intelligence Security Officer
GoU	Government of Uganda
HQs	Headquarters
HURIPEC	Human Rights and Peace Center
ISS	Institute of International Studies
KII	Key Informant Interview
LC	Local Council
LGCs	Government Linked Companies
LGFC	Local Government Finance Commission
LGs	Local Governments
MUST	Mbarara University of Science and Technology
NPM	New Public Management
NWSC	National Water and Sewerage Corporation
OECD	Organization for Economic Cooperation and Development
OPD	Out Patients Department
PHC	Primary Health Care

PhD	Doctor of Philosophy
PS	Permanent Secretary
RDC	Resident District Commissioner
SPSS	Statistical Package for the Social Sciences
UK	United Kingdom
ULGA	Uganda Local Government Association
UTAMU	Uganda Technology and Management University
US	United States

CHAPTER ONE

INTRODUCTION

1.1   Introduction

Some Local Governments in Uganda have continued to perform below the expectations of decentralization which is evidenced by poor quality services and inadequate service delivery to the citizens. Similarly, the world is now a global village which calls for a change of ways and practices in which local governments operate so as to improve performance. Change is constant and necessary and while change management practices and objectives may differ from organization to another, all face the same imperative (Insights, 2010). Change Management is not just an accessory activity to the project or a phase within the project, but rather an activity which starts with the project and lives on after the project with effective transitional support (Waters, 2003). Change management is driving an increasing need for organizations to adapt quickly and adeptly to dynamic market conditions and for this to take place appropriate change management practices need to be put in place. Changes which happen in Local Governments in Uganda are driven by legislative actions which rarely happen (Murthy & Shubha, 2010). This study will establish the impact of change management practices on performance of selected Local Governments in Uganda.

This chapter presents the background to the study which is divided into historical, theoretical, conceptual and contextual. This is followed by the statement of the problem, purpose, objectives, research questions and hypotheses of the study. The chapter also addresses the issues of justification, significance and definition of major terms used in the study variables.

1.2 Background to the Study

1.2.1 Historical Background

Management is an old phenomenon which dates back to the early Greek philosophers like Socrates 399 BC, whose thoughts were documented by Plato and Aristotle. Much as formal management ideas started coming up in about 1700s, people have been managing work for hundreds of years. Management theories emerged in the 20th century and by 1909, Frederick Winslow Taylor published "The Principles of Scientific Management", with his proposal that, by optimizing and simplifying jobs, productivity would increase (Ramírez & Nembhard, 2004).

Given the global village and market in which the society lives today, this old management thinking seems to be achieving minimal results especially in the public sector and hence a new method of management so as to achieve desired performance in terms of service delivery and quality services (Goodman & Dingli, 2013). During the 1980s, countries in Asia, Africa and Latin America, as well as the former Socialist countries of East-Central Europe and Eurasia, decentralized governments, moving more decision-making to the local level, Meurs and Kochut (2013). In former socialist economies, where governance had been extremely centralized, decentralization had particular resonance as a method of quickly improving public sector performance. A growing body of empirical work now suggests, however, that decentralization may not provide a simple means of improving service delivery and quality services. Both governments in the developed countries and Sub-Saharan African have been undertaking structural reforms since the late 1980s, tackling both the political and socio-economic sectors. Uganda has not been an exception of these management reforms (Saito, 2000). It is important to note that over the last few decades the public sector in African countries has undergone reforms including decentralisation in an attempt to align it to global

standards, it is a donor driven agenda in an attempt to correct the outdated policies left behind by the colonialists and this is implemented the dispensation called New Public Management (NPM) in most developing countries (Karyeija, 2012).

Before decentralisation in Uganda which enshrined in the 1995 constitution of the Republic of Uganda, there were only 36 districts, which went up to 112, more 12 are currently proposed and being debated by parliament which will take the number to 124 districts. When decentralisation was implemented in Uganda, now the local governments have powers to make and implement their own development plans; to make, approve and execute their own budgets; to raise and use resources according to their own priorities; to appoint statutory committees, Boards and Commissions; to make ordinances and bye-laws that are consistent with the constitution and other existing laws; to hire, manage and fire personnel; to manage their own payroll; and to implement a broad range of decentralized services previously handled by the center (Bitarabeho, 2008). There has been some changes relating to the management of resources in the Local Government following the Public Finance Management Act, 2015, where all budget approvals are the responsibility of Parliament of Uganda (GoU, 2015). One of the objectives of decentralization was to shift responsibility for policy implementation to the local beneficiaries themselves and as a result, service delivery would be improved (GoU, 2013). This could also promote good governance by placing emphasis on transparency and accountability in public sector management; broaden and deepen political and administrative competence in the management of public affairs (Bitarabeho, 2008). Since the adoption of the Decentralization policy in Uganda in early 1990s, attempts to improve the functioning and performance of Local

Governments through systematic monitoring have not yet yielded results (Tumushabe, Mushemeza, Tamale, Lukwago & Ssemakula, 2010).

The creation of Local Governments (LGs) was hoped to ensure effective governance and ensure increased and quality service delivery, however, service delivery standards in some Local Governments are increasingly declining especially in the sectors of education, health and works (Muyomba-Tamale, Ssemakula, Luba, Ssempala & Jones, 2009). Local Government system was initiated as a means, through which service delivery would be improved, little is seen as an improvement in terms of service delivery to the communities that are served by the Local Governments (Manyak & Katono, 2010). The rationale of decentralization cuts across all scholars as also put forward by Okidi and Guloba (2006), who agree that the focus of Local Government grants in a decentralized system was aimed at promoting service delivery, which they agree as having improved especially with respect to access to primary education, health care, and water and sanitation. On the other part, they add that, although access to services has improved significantly in rural areas, improvements in the quality of service have lagged behind in qualitative indicators such as primary school dropout rates are still very high, infant and mortality rates have not fallen and public facilities are predominantly utilized by the poor as the better off people opt for superior privately provided services. Ojambo (2012) agrees with this observation where he criticized the decentralization efforts in Uganda as initial promised have not been met.

Performance (service delivery and quality services) is driving an increasing need for organizations. Change is constant and necessary and while change strategies and objectives may

differ from organization to another, all face the same imperative. The study by Waters (2003), emphasizes that Change Management is not just an accessory activity to the project or a phase within the project, but rather an activity which starts with the project and lives on after the project with effective transitional support. In the face of inexorable pressures and internal inertia, the strategies of change managements in Local Government Organizations have to be changed in order to have an impact in the clientele it serves. According to Mpanga (2009), he observed that; it takes long to achieve fundamental reform of any public sector and those involved in Public Sector Reforms need to adopt long-term perspective based on fundamental change demands, sustained effort.

Performance in Uganda Local Governments in terms of service delivery, quality of services provided to the community wanting. Additionally, a few Local Governments have excellent results of performance while the majority of LGs have a long way to go so as to improve their performance (GoU, 2013). The sectors highly affected include health, education and works. The districts absorption rates of the funds sent from Central Government for Primary Health Care is less than 50%. There is increased shoddy work and some houses constructed collapsing within six months after construction.

1.2.2 Theoretical Background

Understanding and using appropriate theories for impact studies can help managers or other change agents to increase the likelihood of success (Mitchell, 2013). This section highlights some of the theories used in change management and this include; Lewin's three-step theory, Lippitt's Phases of Change Theory and Diffusion of Innovations

theory/Rogers' theory. These three theories tackle the human behavior which needs to be taken into account during the change management process. The weakness which Lewin's three-step theory had by not considering the personal aspects of the employees was strengthened by Lippitt's Phases of Change Theory when he provided seven steps which can be followed by the change agents which managing change. Additionally, Diffusion of Innovation Theory also known as Rogers' Theory has been used in this study because it tries to explain how change takes place through innovation of the idea, communicating it in a timely manner to an individual or a social system. Diffusion of Innovations theory is centered on five phases namely; awareness, interest, evaluation, trial and adoption (Mitchell, 2013).

1.2.3   Conceptual Background

This section defines key study variables of change management practices as independent variable and performance of Local Governments as dependent variable. In this study, change management practices is defined as the best norms or ways through which change can be managed in the place of work and these include active executive support, effective communication and employee involvement. Individuals get impacted by organisational reforms as they do tasks differently compared to the past and this needs to be managed so that the overall performance of the entity is not negatively affected. Change management enables individuals to cope up with the way things are done in the future state. According to Metre (2009), the change management practices available among others include; active executive support, effective communication, training, resistance management and employee involvement.

Executive Support, Drucker (1966) attributes the survival of organizations to active and effective executives who should set an example in daily work. Developing countries must take measures

to improve people management in the day-to-day running of public organizations by using effective managers to support the organization development and improve performance (Therkildsen & Tidemand, 2007)

During change, effective communication is recognized in organization as it builds cohesive and effective teams (Fatman, 2014), communication is also necessary at individual level (Durnmore, 2014). Fatma (2014), argues that organizational performance can be improved if communication is integrated in its change management practices.

Mugisha and Berg (2008), explained employee involvement and performance of Local Governments in Uganda in their study, "State-Owned Enterprises: NWSC's Turnaround in Uganda". The findings revealed that for any improvements in service quality and network expansion to happen, there is need to match performance improvements initiatives with organisation's team development. Sofijanova and Zabijakin-Chatleska (2013), defined employee motivation as a process of participation and empowerment of employees in order to use their input towards achieving higher individual and organization performance. Employee involvement increases effort which subsequently increases efficiency and productivity Doucouliagos (1995). As employees work in teams, employee involvement enhances teamwork effectiveness Judeh (2011). Similarly, the importance of employee involvement and underpinned it to organization performance when they said that, "the effective use of employee involvement is positively related to perceived organisation performance" (Sofijanova & Zabijakin-Chatleska, 2013),

Performance was defined by Erving (1959), to mean all the activity of a given participant on a given occasion which serves to influence in any way any of the other participants. The term "performance" has become extremely popular in recent years in a wide range of activities in the arts, in literature, and in the social sciences, its popularity and usage has grown, so has a complex body of writing about performance by attempting to analyze and understand just what sort of human activity it is (Carlson, 1996). In order to measure performance, this study will adopt; service delivery, financial and sustainability (Queensland Government, 2013). Performance of Local Government will be measured by service delivery, quality of services delivered to the people and the efficiency in service delivery

.

1.2.4 Contextual Background

At the Global level, before the advent of the British rule in India, there was no advanced tradition of local self-government in the modern sense. However, a rudimentary local government system did exist in the rural areas. The British later introduced Local Governments. The outbreak of World War I and agitations by nationalist parties, demanding greater representation in provincial and central governments, shifted focus away from local governments and prompted the British government to make political concessions and provincial levels were granted autonomy. In 1979 -1985, through the Promulgation of Local government ordinances (LGOs), decentralization was achieved. (Cheema, Khwaja and Qudir, 2003)

In the case of Uganda, decentralisation has been experienced both as a system and process of devolution of power from the centre to the Local Authorities. According to Okidi and Goloba (2006 pp 3), decentralisation in Uganda has been in three phases, where the first phase was from

1955 to 1964, where a strong administration system was created in the context of the weaker center. The second face was from 1964 to 1985, which involved the centralization of power and severe weakening of Local Administration. The third phase from 1987 to date is characterized by full devolution of power from the center to strengthen Local Authorities through government programs. Ndegwa and Levy (2003) agrees that, decentralisation transition in Uganda to have involved three steps. The first step; political decentralisation under the 1995 constitution where the district was taken as a local government unit, secondly fiscal decentralization and assignment of responsibilities which was done using the Uganda's 1993 Local Governments Statute and thirdly administrative decentralization which included staffing and realigning the roles of the line ministries and leave the local governments to carry out direct service delivery. In summary, decentralisation or transition process in Uganda involved statutory, regulatory and policy reforms.

Change is inevitable and some people fear it because of the unknown events and if not well managed can throw the employees into chaos and creates reduction in performance (Epperson, 1998). According to Vasdev and Vashima (2010), who observed that changes which happen in Local Governments in Uganda are driven by legislative actions which rarely happen. They further urged that, because in Local Governments where careers are deemed to be safe and longevity in the system gives seniority, these factors mold an employee who feels very much protected from external pressure and obviously not recognizing any need for organizational change. In the face of inexorable pressures and internal inertia, the strategies of change managements in Local Government Organizations have to be changed in order to have an impact in the clientele it serves. According to Lubwama (2009), he observed that; it takes long to

achieve fundamental reform of any public sector and those involved in Public Sector Reforms need to adopt long-term perspective based on fundamental change demands, sustained effort and leadership over many generations.

There is a mix and or conflict on how the Local Governments are currently managed where Resident District Commissioners (RDCs) and Local Councilor's Vs (LC Vs) all have a feeling that they are the bosses in the district and their word is final regarding plans and activities of the district. These disagreements in the district have always reduced service delivery and performance of Local Governments. Oloka-Onyango (2007), pointed out that the role of RDCs and District Security Information Officers (DISOs) and other Central government functionaries should be reconsidered so that they do not prevent effective operation of Local Governments. "There is nothing more difficult to carry out, more doubtful of success, nor more dangerous to handle, than to initiate a new order of things. For those who would initiate change have enemies in all those who profit from the older order and they have only lukewarm defenders by those who profit by the new order" (Raftery, 2009).

Performance of Local Governments in this study will be measured using service delivery and the quality of services in Health, Education and construction sectors. Performance of Local Governments in Uganda as a result of decentralization can be analysed in selected areas of health, education and construction. In the health sector, quality of services have been compromised because there is no unified mechanism of getting qualified staff to deliver quality services as there is no mobility of professionals especially in the rural districts (Bossert & Beauvais, 2002). Additional, the decentralized hiring and firing decisions which are vested to the

district service commission are likely prone to tribalism which contributes to low staff quality and eventually reduced quality service (Hutchinson, 1998). This poor quality service delivery has gone to the greater extent of doctors leaving mothers to die while giving birth (Mulinda, 2012). The newly constructed Out Patients Department (OPD) ward in Kinoni in Masaka district, developed cracks in less than six months, some contractors are not following drawings from the District Engineer as in Rwenyerere Primary School class room block in Kanungu district (GoU, 2009). The equitable distribution of service delivery has always remained an issue in Uganda, this could be a result of lack of data to effectively plan for each region while grants are distributed to the districts this leads to some communities not receiving services as required.

Education sector is not spared as most local governments are engulfed in shoddy works. Katakwi districts engaged a contracture to construct classroom blocks with the design of lasting for 25 years. Interestingly, in less than two years, the walls had cracked; the shutters could close explaining poor quality of the services received by the community (Aremu, 2002). The same shoddy works is experienced in the road sector in most of the districts.

1.3 Statement of the problem

The creation of Local Governments in Uganda was envisaged to ensure increased service delivery and provision of quality services to the communities, however, service delivery standards in some Local Governments are increasingly declining especially in the sectors of education, health and works (Muyomba-Tamale, Ssemakula, Luba, Ssempala & Jones, 2011). In Soroti district alone, for the financial year 2008/09 and 2009/10, Uganda Shillings 1.694Bn and 1.7Bn was returned to the treasury because the district did not use it making communities not to

receive the services they desperately need (Lambright, 2011). Similarly, due to lack of adequate supervision by executives, utilization of Primary Health Care (PHC) grants for the financial year 2008/09 was at an average of less than 50% in all districts in Uganda implying that citizens did not receive the desired services. The quality of service delivery is worrying for example, the newly constructed Out Patients Department (OPD) ward in Kinoni in Masaka district, developed cracks in less than six months, some contractors are not following drawings from the District Engineer as in Rwenyerere Primary School class room block in Kanungu district (GoU, 2009).

In spite of increased funding to local governments, education, health and construction services have continued to deteriorate both in service delivery and quality services (Tumushabe, et al., 2010). Service delivery and quality of services may continue to decline in Local Governments if this problem is not investigated and solved. There is therefore a need to investigate the relationship of change management practices (executive support, effective communication and employee involvement) on performance of selected Local Governments in Eastern Uganda.

1.4 Purpose of the Study

The purpose of this study is to investigate the relationship between change management practices and the performance of selected Local Governments in Eastern Uganda.

1.5 Objectives of the Study

1. To establish the relationship between active executive support and performance of selected Local Governments in Eastern Uganda.

2. To assess the relationship between effective communication and performance of selected Local Governments in Eastern Uganda.

3. To investigate the relationship between employee involvement and performance of selected Local Governments in Eastern Uganda

1.6 Research Questions

1. What is the relationship between active executive support and performance of selected Local Governments in Eastern Uganda

2. What is the relationship between effective communication and performance of selected Local Governments in Eastern Uganda

3. What is the relationship between employee involvement and performance of selected Local Governments in Eastern Uganda

1.7 Hypotheses of the Study

H_1:   There is a strong positive relationship between change management practices and performance of   selected Local Governments in Eastern Uganda.

H_{1a}:   There is a positive relationship between active executive support and performance of selected   Local Governments in Eastern Uganda.

H_{1b}:   There is a positive relationship between effective communication and performance of   selected Local Governments in Eastern Uganda.

H_{1c}:   There is a strong positive relationship between employee involvement and performance of   selected Local Governments in Eastern Uganda.

1.8 Significance of the Study

This study is very important to the academicians, policy makers, implementers of government programs and other stakeholders in the following ways;

1. The findings of the study will help stakeholders and policy makers draw a road map on how resources can well be managed at the Local Government level and be able to make appropriate policies.

2. The study will provide home made recommendations to assist local governments in managing available resources

3. The study will add existing knowledge of literature about change management practices and especially in relation to the performance of Local Governments in developing countries and this will be useful for future researchers and students

4. The study will enable the researcher to gain deeper understanding of the content and context change management practices and performance of local governments in Uganda.

1.9 Justification of the Study

With increasingly changing environment, organisations both private and public can no longer survive with old management styles and existing resources, there is need to get alternatives and deal with such change (Phonkaew, 2001). This study will therefore provide management alternatives which local governments can employ to deal with the changing environment and be able to serve stakeholders and improve performance. Organizations can no longer survive with existing resources and therefore need to find alternatives to deal with such change (Boeker, 1991).

In many developing countries that are pursued decentralization reforms, it is hard to characterize local governments as entities that are efficient and responsive to the needs of their constituents. The ruling paradigm in the global development community suggests that weak public sector performance in many developing countries is caused by lack of capacity and inadequacy of resources (Kimble, Boex & Kapitanova 2012). Alfes, Truss, Soane , Rees and Gatenby (2010), disagrees with this by pointing out that, improving service delivery and general performance of public sector requires managers and employees to implement change management practices. Perhaps the overlooked area in Public Sector and in particular Local Governments is change management practices. This study will therefore provide a home grown model which will help public sector in Uganda by developing approaches of improving performance of Local Governments.

.

1.10   Scope of the Study

Geographical scope:

The study will be conducted in the three districts in the Eastern region which include Jinja, Tororo and Soroti, covering urban, peri-urban and rural respectively. Jinja and Tororo were among the first thirteen districts to be decentralized in 1993 (Government of Uganda, 2001). Additionally, the researcher is conversant with the Eastern part of Uganda.

Content Scope:

The study will focus on the impact of change management practices and the performance of selected Local Governments in Uganda. Change management practices will be measured using active executive support, effective communication and employee involvement, while

performance in a broader context can be measured by service delivery, and quality of services (Victoria Government, 2013).

Time scope:

The study will focus from the year 2000 to 2015. This period will enable the researcher to draw up facts during the time decentralisation was started in Uganda and compare with the current situation. It is also within this period were Government monitoring reports indicate that Local Governments are performing less than expected (GoU, 2009)

1.11 Operational Definitions

Change: Change is a force that presses an individual, a community or an organisation to do things differently as opposed to the normal way it has been done. It is the transition from how things are done currently to how things will be done in the future.

Change management: Change management in this study is defined as the support given to individuals who have been impacted by organisational reforms as they do tasks differently compared to the past and it includes the constructs of active executive support, effective communication and employee involvement.

Change management practices: In this study, change management practices is defined as the best norms or ways through which change can be managed in the place of work and these include active executive support, effective communication and employee involvement

Active executive support: This is the ability and willingness of top management to enable the organisation to achieve its desired goals. It can be achieved through the skills that top managers have in strategic planning, coaching and involving the staff and taking responsibility of all the outcomes or results of the organisation.

Effective Communication: Is a systematic way of using appropriate media to build relationships, listening, contextualizing and exercising humility. It is ensuring that the right message from the sender reaches the intended receiver and the sender gets a right feedback.

Employee involvement: Employee involvement refers to the opportunities for employees to take part in decisions that affect their work. It is concerned with the capacity of employees to influence decisions as individuals rather than through representatives (Eurofound, 2013)

Performance: Performance for this study is defined is a measure to ascertain as to whether the Local Governments deliver the required series to the communities and whether the delivered services are of accepted quality.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter will review literature that is relevant and related to the topic of my study. It will be divided into four sub sections which include; theoretical review, conceptual review/conceptual framework, related literature and synthesis of literature review. The theoretical review will have the international, regional and national experiences before zeroing down to the selected Local Governments and this will be a review of mainly secondary data. The conceptual framework will be established for study and the conceptual review will largely entail the constructs in the conceptual framework. These constructs include active executive support, effective communication, employee involvement and planning and analysis, these form part of independent variable. While effective management is an intervening variable and improved performance is the independent variable. Actual and synthesis literature review will look what other scholars and researchers have done in the research area and identify the gaps in the literature.

2.2 Theoretical Review:

Theoretical review in research is important as it demonstrates familiarity with present intellectual currents and concerns and to justify the need for an interest in the proposed research (Institute of International Studies (IIS), 2001) Sunday (n.d) adds that, theory in research frames what the researcher is studying by providing basic concepts and direction to important questions and suggests ways for the researcher to make sense and broader significance of research data. This

study will be guided by Lewin's Three-step theory, Lippitt's Phases of change theory and Diffusion of Innovation theory/Rogers' theory. The justification for the use of these theories is grounded on the fact that they bring the steps necessary for change to occur in the organisation explain as well as the human aspect since change normally has effect on the employees who tend to experience a difficulty in doing tasks differently compared to the previous sate before change. These three change management theories if well implemented in the organisation can not only make the employees productive, but will lead to increased performance of the organisation (Mitchell, 2013). These theories are further explained, analysed, criticized and compared as below.

Lewin's three-step theory:

Lewin's theory illustrates the effects of forces that either promote or inhibit change (Robins, 2003). The theory underpins the fact that driving practices facilitate change because they push the employees to the right direction while restraining forces hinder change because they push the employees to the opposite direction (Lewin, 1951). The three steps include unfreezing, movement and refreezing. The first step necessitates changing the behavior by unfreezing the existing situation which is considered as the equilibrium state; this enables the formation of groups and removes individual resistance. It also involves the reduction of the restraining forces that are capable of curtailing movement from the existing equilibrium. To make this first step successful, a combination of unfreezing and decrease of restraining forces must be achieved. The second step in the movement of the target system to a new level of equilibrium which can be helped by persuading employees to agree that the status quo is not beneficial to them (Kritsonis, 2005) and encouraging them to view the problem from a fresh perspective, work together, and connect to powerful leaders that also support the change (Robins, 2003). The third step is

refreezing which is usually done after change has taken place so as to sustain it over time. Kurt Lewin three-step change model/theory is relevant to this study due to the following; Lewin views behavior as a dynamic balance of forces working in opposing directions. Driving forces facilitate change because they push employees in the desired direction (Gioia & Chittipeddi, 1991). Kritsonis (2005) argues that, restraining forces hinder change because they push employees in the opposite direction. Therefore, these forces must be analyzed and Lewins three-step model can help shift the balance in the direction of the planned change

However, the critics of Lewin's theory have it that it is very rational, goal and plan oriented without taking into account personal factors that affect change (Kritsonis, 2004). Additionally, it is being based on small scale samples, and more importantly the fact that it is based on the assumptions that can be taken into organisations act under constant conditions and that organisations operate without any political interference and organisation powers (Barnard & Stoll, 2010 and Burnes, 2004)

Lippitt's Phases of Change Theory

Due to the fact that Lewin's Three-Step Change Theory did not take into account personal factors that affect change, Lippitt's Phases of Change Theory was developed to bridge this gap. Lippitt, Watson, and Westley (1958) extended Lewin's Three-Step Change Theory by creating seven-step theory that focuses more on the role of the change agents than the evolution of change itself. When change becomes part of the organization, the change agent gradually withdraws his/her role. Lippitt, Watson and Westley (1958), further point that f or changes to be some how stable, management needs to ensure that such change is equally distributed to the neighboring systems or to subparts of the system which will experience the effect.

Lippitt's theory is relevant to this study because it focuses more on the role and responsibility of the change agent who are the Local Government employees than on the evolution of the change itself. Similarly, since the local Governments operate as systems and subparts, Lippitt's theory points out that change are more likely to be stable if they spread to neighboring systems or to subparts of the system immediately affected. There are many change theories and some of the most widely recognized have been summarised in this theoretical background. The theories serve as a testimony to the fact that Change is a real phenomenon (Kritsonis, 2005). Change management takes place from diagnosis the problem until the change agent withdraws the helping relationship (Kritsonis, 2005).

Diffusion of Innovation theory/Rogers' theory

Diffusion is the process by which an innovation (an idea perceived as new by the individual) is communicated through certain channels over a period of time among the members of a social system (Rogers, 1997 and Attewell, 1992). In the change process, there is always uncertainty which ends up hindering the adoption of new ideas, and for this uncertainty to be reduced; individuals should be informed about its advantages and disadvantages to make them aware of all its consequences (Sahin, 2006), and this awareness stage can enable problems to be identified and appropriated solutions selected Tomey (2009). Mitchell (2013) adds that, the Diffusion of Innovation theory is handy in change management because it makes the individuals or society to be aware of the change; as well as interest, evaluation, trial and adoption. It is there important to mention that if the change management practices are to yield in results in Local Governments, there must be awareness creation which is referred by Lewins as unfreezing and this will eventually lead to adoption or refreezing.

Diffusion of Innovation theory/Rogers theory did not survive attack from some scholars notably Attewell (1992) who pointed out that, the theory tended to focus on adoption decisions by an individual, and upon a relatively rationalistic adoption decision. He adds that, for advanced production technologies, decisions are often many (and reversed), and technologies are often too big and complex to be grasped by a single person's cognitive power. Nelson and Winter (1997) agree that, innovation be treated as inherently stochastic, and that the formulation be capable of encompassing considerable institutional complexity and variety.

It is interesting to note that these three theories are interlinked and share change management phases Rousel, Swansburg & Swansburg (2006) in that, unfreezing occurs disequilibrium is introduced into the system hence creating a need for change and this directly corresponds to phase 1 of awareness in Rogers' theory which also translates to the first three phases of Lippit's theory. It can be concluded that Rogers' theory and Lippit's theory expanded the phases of change management to five and six respectively, which are strongly linked to Lewin's theory. The tabulation to compare of these theories is indicated as follows:

Lewin's Theory	Rogers' Theory	Lippit's Theory
Unfreezing	Awareness	Phase 1. Diagnose the problem
		Phase 2. Assess motivation and capacity of change
		Phase 3. Asses change agent's motivation and resources
Moving	Interest Evaluation Trial	Phase 4. Select progressive change objective
		Phase 5. Choose appropriate role of the change agent
		Phase 6. Maintain change
Refreezing	Adoption	Phase 7. Terminate the helping relationship

Source: Rousel, Swansburg, & Swansburg, *2006*

Table 1. Comparison of Lewin, Rogers' and Lippit theories

2.3 Conceptual and Theoretical Framework

This section gives a diagrammatic representation of the independent variable (change management practices). The constructs of independent variable include; active executive support, effective communication and employee involvement which leads to the performance Local Governments (the dependent variable), which dependent variable is measured by service delivery and quality services. It is conceptualized and premised that if managers and employees adopt and practice active executive support, effective communication and employee involvement performance of selected Local Governments will be achieved.

Independent Variable ⟶ **Dependent Variable**
(Change Management Practices) **(Performance of Selected LGs)**

Active executive support
- Strategic planning
- Leadership
- Coaching

Performance of Governments

Effective Communication
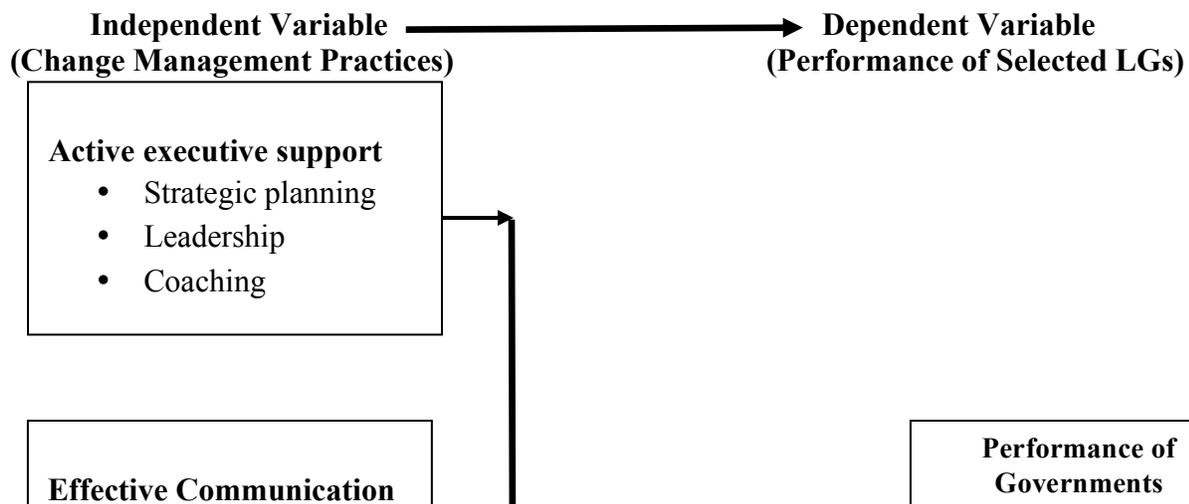
Fig 2.1: Conceptual frame work

2.4 Actual Literature Review

This section involves reviewed the literature following constructs in the conceptual framework, which include the independent variable (active executive support, effective communication and employee involvement), in relation to the dependent variable (performance). The literature on the moderating variable (effective management) is discussed before discussing the dependent variable (performance)

2.4.1 Active executive support and Performance

Drucker (1966), attributes the survival of organizations to active and effective executives who must first manage themselves effectively before making effective decisions. He further advises that if executives should set a good example by making themselves effective while carrying out their duties in the organization. Active and effective executive focuses on the organizational

future and performance. According to Scott Baret, etal (2013), in their paper: developing an effective operational, A guide for financial services, boards and management tools, they argued that within the corporate governance structure, boards and management need to establish a mechanism in which operational policies and procedures are implemented. They further state that executives need to provide adequate information to the board as this will ensure effective running of the enterprise. This thinking is in line with that of Drucker (2004), when he argued that for executives to be effective, they need to take responsibility for what they decide and communicate. Executives in the organization have three major roles of supporting employees as they carry out their duties, problem solving and strategic thinking (Christine Williams, etal 2011)

In the webinar which was delivered by (Prosci, 2011), titled, "effective positioning change management", the difference between change and change management was emphasized. It emerged that executives have a role in change management as this directly affects the people who carry duties differently from the previous roles. Among the Executive's role is also to articulate principles and formulate policies. Scott Baret, etal (2013), further emphasizes that if the employees are not motivated by the executive, these principles and polices will not be implemented effectively. Much as Drucker (1966) believes in employee motivation, he quickly dislikes non-performing staff and requests executive to prune them off from the organization if results are to be achieved.

According to Watson (2012), in the paper, "The truth about change: What it takes to get it right", where it was pointed out that if successful change is to happen, there is need to encourage effective leadership. The organizational leadership should be in position to get activities right,

measure these activities and develop programs that are sustainable and beneficial to the change that was desired for the organization. Furthermore, team leader who could be executives should guide team members to direct their efforts and focus their commitment towards the goals of the team. Team members should be committed to the specified goal of their team and should participate in its development Simon (as cited in Mahfuz Jedeh, 2011). According to Ridwan and Marti (2012), who pointed out that one of the roles of the executive officers in the organisation is strategic planning in order to present the big future of the future direction of the company in front of the staff including the strategic planning team who later translates this guidance to their strategic planning design.

2.4.2 Effective communication and Performance

Effective communication occurs when the message as intended by the sender is understood by the receiver of the message. As organisations grow, the only aspect which remains permanent is change. Oakland and Aldridge (1995) clearly states that the strategy, changes and culture that are established within an institution, should be effectively communicated clearly and directly from top management to all employees and customers so that they can adjust in accordance to organizational change. Attainment of organizational goals and objectives can be easily be achieved with effective communication. No organizational can be in existence without communication, Chand (2011). This is further strengthened by Fatma (2014), who pointed out that managers need to look at communication as a continuous process for success to be achieved in the organization and it must be exercised within and outside the work place. He further argued that, in modern management and corporate businesses, communication skills are more vital than technical skills as achievement of tasks is based on team work than individual basis.

Irrespective of organization's size and nature, if performance is to be realized, effective communication needs to be introduced on the onset. Ford and Ford (as cited in Kelly M. Gordon (2006), claim that change does not occur except in that it is mediated by communication; in other words, communication is the context within which change occurs

Executives who have effectively practiced effective communication have realized high productivity, organization team spirit, and a means of motivating staff. In organizations where managing is by memo (Baret etal, 2013), performance is compromised with failure to achieve organizational objectives. It is the responsibility of management to inform the board of the changes in the market or industry so that the policies can be changed to match the changing environment, middle supervisors need to let the supervisees of the new tasks and roles, all these and many more can be achieved with effective communication as it is the transfer of information between people.

The importance of effective communication is further recognized in organization as its builds cohesive and effective teams, it minimizes industrial problems and maintains relationships with stake holders (Fatman, 2014). On his part, Watson (2012), believes that other than on the overall organization level perspective, at individual level those employees who communicate effectively outperform their colleagues in the organization or same industry. Durnmore (2014), agrees with Fatma (2014), but he goes beyond individual performance when he argued that organizational performance can be improved if communication is integrated in its change management practices. He goes ahead to state that employee effective communication is a foundation in raising employee engagement which in turn raises organizational performance. Watson (2012),

joins these debate by appreciating the importance of effective communication in organisations by adding that alignment of organisations from top to bottom and motivation of staff is a benefit of effective communication. Human relation approach was used by Caberera et al. (2001) to underpin the importance of effective communication between employees and their superiors.

There are no permanent employees in the organisation and people leave the organisation under any circumstances, they need to be replace or succeeded. Succession should not be planned in secrete it is important for organisation and individuals to know that the leadership team is taking the succession planning and much as the individual employee cannot not be told exactly what management intends, there should be adequate communication in building the employees skills in preparation for the challenging roles ahead (Olumuyiwa et al, 2012). Effective communication is important for the development of an organization. It is something which helps the managers to perform the basic functions of management- Planning, Organizing, Motivating and Controlling. Communication skills whether written or oral form the basis of any business activity (Edukart, 2013)

2.4.3 Employee Involvement and Performance

Employee involvement is defined as having the dual aim of engaging 'the support, understanding and contribution of all employees in an organisation' and 'seeking to ensure their commitment and cooperation in the achievement of its objectives' (CIPD, 2009h). The definition of employee involvement was further broadened by Sofijanova and Zabijakin-Chatleska (2013), as a process of participation and empowerment of employees in order to use their input towards achieving

higher individual and organisation performance. Apostolou (2000) put his voice by defining employee involvement as, "regarding employee as a unique human being, not just a cog in a machine, and each employee is involved in helping the organisation meet its goals and each employee's input is solicited and valued by his/her management and both employees and management recognize that each is involved in running the business".

The concept of employee involvement as business strategy is not new and it dates as far back as 1920s and early 30s (Caberera et al., 2001). Several organisations have always taken for granted that for performance to be improved there is need to invest in new technology, buy new machines and import high quality materials. The processes for production of services or goods and man/employees are not considered as part and parcel for performance improvement. Employees need to be involved in ensuring that performance is improved, as new machines are brought into the organisation, employees should be given new skills through training, motivated so that they think towards improved performance. Involvement of employees should not be in performing tasks alone but needs to go as far as setting objectives and decision making in the organisation. Since being in an executive position is no implication that you know it all, the employees' knowledge, skills and new ideas can be harvested only when they are fully involved in decision making process. When employees have set their own objectives, chances are very high that they work tirelessly to ensure that the objectives they set themselves are achieved and this improves organizational performance. The Hawthorne studies gave rise to an increasing interest in human determinants of productivity (Caberera et al., 2002; Mayo, 1933 and Roethlisberger & Dickson, 1939). This discussion was joined by Doucouliagos (19950, who

observed that, employee involvement increases effort which subsequently increases service delivery, it reduces costs of monitoring employees and leads to increased commitment.

Aerospace Industries Association, Electronic Industries Association, Labor Policy Association, National Association of Manufacturers and Organization Resources Counselors (1994), identifies four major strategies of employee involvement which include: information sharing, collaboration, decision making and idea solicitation. Their findings further reveal employee involvement reduces as programs become complex and larger organisations involve employees through formal information sharing while decision-making as a way of employee involvement is common with smaller organisations. This philosophy was shared by Caberera et al. (2001) in their paper, 'employee participation in Europe", where they said that, there is significant relationship between organizational size and employee involvement whether collaborative or delegative.

As employees work in teams, employee involvement enhances teamwork effectiveness Judeh (2011). In their paper titled "Employee Involvement: A literature Review" (Metha & Mether, 2013), observed that motivated and engaged employees tend to contribute more in terms of organizational productivity and support in maintaining the higher commitment level leading to the higher customer satisfaction. In identifying the most significant results or improvements companies perceived from the use of employee involvement programs, respondents most frequently listed "improved productivity," "improved quality," "reduced costs/expenses" and "improved employee morale and motivation" (Aerospace Industries Association, et al., 19994). Gallie et al. (2013), correctly put it that, given the importance of a highly skilled workforce for organizational performance and economic growth, there need to develop systems for work

organisation to foster employee motivation and well-being, it is organizations with high levels of employee involvement which will succeed in this respect. Sofijanova and Zabijakin-Chatleska (2013), crowned the discussion regarding the importance of employee involvement and underpinned it to organization performance when they said that, "the effective use of employee involvement is positively related to perceived organisation performance". They further explained that, to be precise, employee participation and empowerment programs and the use of self-managing teams have a direct and statistically significant correlation to the managerial perception of organizational performance. The high level of engagement with stake holders, the management, the Board and employee participation in the strategic planning process which leads to improvement of strategic planning effectiveness, ownership of strategies, accountability and implementation of ultimate organisation performance (Ongonge, 2013)

When change managements practices; executive support, employee involvement and effective communication are exercised it boosts controlling, coordinating and planning which is key in achieving performance of local governments. Planning enhances performance and in the long run has the impact on its survival and the strategic planning is intensified by managerial, environmental and organizational factors (Akinyele & Idunnu, 2010). They strengthens their arguments by adding that, in business planning focuses on specific direction to specific units such as financial focus and required human resources management and at the end, planning improves productivity. According to Olumuyiwa & Oluwatosin (2012), who studied about organisations in Nigeria, they confirm that planning is critical for organizational performance and further emphasised that if organisations are to perform well, resources need to be well utilized and customers must receive quality service. The purpose of data analysis is to convert

raw data into performance information and knowledge so that organisations can make informed decisions about what happened and why it might vary from the expected and also arrive at the corrective action (Artley, Ellison, & Kennedy, 2001). He further stressed that, "information is random and miscellaneous, but knowledge is orderly and cumulative". Before information can be useful it must be analyzed, interpreted, and assimilated

In his journal paper titled, "Procurement planning and accountability of local Government procurements systems in developing countries: Evidence from Uganda", Basheka (2008), stated that, the contribution of planning in facilitating efficient and effective performance of public sector and private organisations cannot be disputed in both developed and developing countries and its contribution can be both at central and local government levels of public sector management. In establishing the relationship between work planning and performance of local governments in Uganda Tumushabe, Mushemeza, Tamale, Lukwago, and Ssemakula (2010) and SSekate (2011), both agreed that there is a direct positive relationship between work planning and performance of local governments. These findings are in agreement with the early study by (Simith & Goldon 1989), where they discovered in their literature review that the classic studies on planning against performance established a positive relationship between the extent of planning and Organisational performance. Their findings revealed that there was a very strong positive relationship between planning and a team's performance which can easily be translated to organisational performance. The local governments in Uganda need to have a long term strategic plan of about five to ten years to enable councils to set long-term development targets and oeriodic performance benchmarks on the basis of which it can evaluate its performance and progress, (Tumushabe et al., 2010).

The study conducted by Ongonge (2013), had empirical findings that strategic palnning directly contributes to organisational performance. This is line with Pirtea, Nicolescu and Botoc (2009), who explained the need for planning as setting and achieving goals at the employee level and identifying and fixing barriers related to achieving these goals. They further stated that there is a very strong relationship between planning and performance management. They however caution that that skepticism about planning and achievement of the organisational goals is currently on the rise because of the uncertainty regarding political and technological change.

2.4.4 Performance of Selected Local Governments

According to Padovani, Yetano and Orelli (2009), performance measurement is an important element of local government modernization. This to them involved identification of best practices and encourage local authorities to improve their own performance levels while emphasizing on service delivery and quality of the services. In Uganda, there is wide literature regarding the performance of Local Government with variation of views as to whether decentralisation has been of help or otherwise. Tumushabe, etal, (2010), who critically emphasized that since the adoption of decentralisation policy in Uganda at the beginning of 1990s, attempts to improve the functioning of Local Governments through systematic monitoring have not yielded the required results because the mechanisms which have been adopted focus the fiscal and technical aspects of decentralisation. They further point out one challenge lack of properly highlighted role of local Government Councils which is a major source of balance of power between Central Government and the citizens. Tumushabe, etal, (2010), agreed on level the reduced level of performance when they stated that although decentralisation has been

pursued over the last two decades, there is a wide spread consensus that that the performance of Local Governments is less than desirable. They cite the element of the revenue base to have diminished substantially rendering them to depend heavily on Central Government for funding in terms of conditional grants. This observation was confirmed by Balunywa et al, (2014), where in their study they had one of the findings that the revenue generations in local governments had considerably declined and also recommended that local government should continue to seek funding from central government. Quality of service provision is less than desirable, as well, with the key services such as health, education water, sanitation and access to agricultural services remain dismal, with no evidence of the citizens who are the beneficiaries of decentralisation systems demanding for accountability and better performance (Tumusshabe, et al, 2010)

Lambright (2011), notes that despite the prevalence of complaints about local government corruption, Uganda and residents in other African countries appear to be generally trusting and satisfied with the performance of local governments and the results from some Sub-Saharan countries are similar as they are satisfied with the performance of their local governments. He further adds that, the performance of local governments in Africa has grown increasingly more important in the recent years as decentralization has recently risen to the top of many governments' agendas thought Africa.

2.5 Empirical Studies.

This section of the study indentifies studies related to change management practices and performance of Local Governments. Very little research studies specifically related to change

management practices and performance of Local Governments has been conducted at global regional and Ugandan level.

2.5.1 Related studies - Global Perspective:

At global level, some studies have been conducted not specifically to change management practices and performance of Local Governments, but their findings provide a guide to this study. Some of these studies include; managing successful organizational change in public sector (Melchor, 2008; Fernandez and Rainey, 2006), human resource management in the public sector (Boyne, Jenkins & Poole, 1999; Basamh, Huq & Dahlan, 2013; Ridder, Bruns & Spier, 2005 and Kim, 2004), all these studies have yielded mixed results.

Fernandez and Rainey (2006) undertook a study in managing successful change in public organizations. In their study, they summarised theories which provided insights of organizational change, causes of change and the role of managers in the change process. The major concern they pointed out is that Governments in United States (US) and overseas have gone through reform initiatives several times; it has remained a big question as to whether really Government agencies can change. The underlining concern of their study was an assessment on the participation of managers in providing executive support in the change process. Factors considered to be undertaken by managers in change management include; provide need for change, provision of a plan, building internal support, Ensuring top management commitment and support, build external support, institutional change and provide adequate resources. The findings point out that the US Postal service failed to implement the participative culture due to lack on the side of top management in modifying organizational subsystems.

Melchor (2008), undertook a study Managing Change in OECD Governments. This study draws on the notion of receptivity to explain the practice of managing change in six Organizations for Economic Cooperation and Development (OECD) countries: Finland, France, Italy, Portugal, Spain, and Switzerland. He admits that reforming the public sector is a complex matter. OECD member and non-member countries are facing increasing challenges to make change happen so that service delivery and performance in public sector can be improved. This study concludes that although the notion of receptivity provides an approach to analyse and explain change in government, it lacks explanatory power to determine whether change has actually happened. Furthermore, it states that OECD countries are underestimating the importance of managing change while designing and implementing policy reforms

Looking at the human resources in public sector, Boyne, Jenkins and Poole (1999), studying the human resource management in the conservative governments in the United Kingdom (UK), did not spare to mention the poor management practices in the public sector as compared to the way the mangers in the private sector conducted business. They pointed out a need of commercializing public sector through performance measurement and consumer choice. The evidence of their findings suggests that organizational policies and practices in the public are highly bureaucratic and hinder change to take place as compared to the entrepreneurial managers in the private organizations.

Basamh, Huq and Dahlan (2013), undertook a study in empirical research on project implementation success and change management practices in Malaysian government-linked

companies (GLCs), with the purpose of addressing the practices of project change management in the context of GLCs in Malaysia, focusing on project managers (PMs), project team members (PTMs), change managers (CMs) and any other top managers involved in a project. The Malaysian government considers the GLCs role by understanding critical success factors. The findings of this study indicate that top management support require more concentration in order to be more compliant to the best practices, and resolve certain project team expectations.

Ridder, Bruns and Spier (2005), undertook a study to analyze public management change Processes: the case of local Government accounting reforms in Germany. This was as a result of financial pressure and lack of efficiency in the local governments of German municipalities. Based on six case studies, empirical findings indicate that the idiosyncratic adaptation of new standards in municipalities leads to a diversity of outcomes in the implementation process.

 In the study which, Kim (2004) undertook, on Individual-Level Factors and Organizational Performance in Government Organizations in the public sector of Korea. The study focused on the relationship between Individual-level factors such effective commitment and employee involvement and effective Government organizations basing on 1,739 public employees in Government agencies. The findings indicate that, Individual-level factors are important determinants of organizational performance in both United States and Korea. It is recommended that, managers need to treat public employees with respect and with fair and equitable manners and that, they need to use their employees' knowledge and skills in looking for ways to become more efficient

2.5.2 Related studies – African/Regional Perspective:

Similar with global level, regional level provides very little research studies dealing with change management practices and performance of Local Governments. In the related studies (Wescott, 1996; Esu & Inyang, 2009), provide mixed findings.

Wescott (1996), undertook a study on Guiding Principles on Civil Service Reform (CSR) in Africa: An Empirical Review. It is pointed out that because of the range of administrative problems, and the economic and political urgency of solving them; African governments need a strategic framework for civil service reform. This should be based on a vision of the role of the state, and take into account leadership, commitment, governance, economic reforms, sequencing, ministerial restructuring, decentralisation, downsizing, pay and incentives, capacity building, service delivery, aid mechanisms, and change management processes. The study concludes that for these reforms to take place in Africa; there must be commitment by the managers and all the teams and plays who are involved in the change management process.

Esu and Inyang (2009), in their study titled: A case for performance Management in the Public Sector in Nigeria. This study reveals how the public sector in Nigeria has faced challenges and setbacks are believed to have occurred a result of ineffective and inefficient management. The Nigerian government adopted to use the performance management tool with the main focus of managing the individual and work environment in such a manner that an individual/team can achieve set organizational goals and this eventually leads to the achievement of the overall organization. The emphasis here is to make individuals feel to be part of the bigger team and make them involved in decision making of the sectors in which they belong. This study

concludes that performance management system as one such tool that can enhance the performance of the public executing agencies.

2.5.3 Related studies - Ugandan perspective

Related Studies on executive support and performance of Local Governments. There are limited studies which are directly involved with the relationship of executive support and performance of Local Governments in Uganda other than that conduct by Therkildsen and Tidemand, (2007)

Therkildsen and Tidemand (2007) undertook a study on, "staff management and organizational performance in Tanzania and Uganda: public servant perspectives" One of the major question in the study was, how can a government in a poor country with a limited budget increase the performance of its public sector organizations. Among the conclusions derived was that, developing countries must take measures to improve people management in the day-to-day running of public organizations (improved capacity for improved communication between staff and management; employee involvement in decision making and promotion of team work, etc). This focus is probably as important for organizational performance improvement as the current emphasis on change management in the public sector reforms.

Related studies on effective communication and performance of Local Governments. Some studies carried out (Muesenze, Munene & Ntayi, 2013; Mugisha & Berg, 2008; and Andrews & Batageka, 2013), showed findings related to the objectives of this study.

Muesenze, Munene and Ntayi (2013), carried out research on, Communication Practices and Quality Service Delivery Tradition: Uganda's Local Government Perspective. Taking a sample of 212 Local Governments in Uganda, the study examined the relationship between communication practices (formal and informal) and quality service delivery in Uganda's local Governments. The findings revealed that both formal and informal communication practices positively and significantly predicted quality service delivery in Uganda's Local Governments. The significant role of both formal and informal communication practices on quality service delivery in the Uganda's Local Governments was evident.

Mugisha and Berg (2008), undertook a study of State-Owned Enterprises. NWSC's Turnaround in Uganda. This study underpins the importance of effective communication in improving organizational performance. In order to improve its organizational performance, National Water and sewerage Corporation (NWSC), established effective lines of communication. It was realized that, the formal communication complements informal meetings and other information exchanges, enabling utility managers to access a menu of performance improvement strategies. It also enables Managers from Headquarters to share ideas with branch managers which lead to improved performance. In the same way, complaints can also be captured through telephone communication between the customer/public and the utility staff.

Andrews and Batageka (2013), undertook a study on, "Overcoming the limits of intuitional reform in Uganda". Effective communication was regarded as one of the limiting factors to Uganda's intuitional reforms. The reform will be successful if if the problem is effectively communicated. It is out of effective communication that the stakeholders can be analyzed and

the reformers clarify whose support they actively need and whose potential resistance they need to manage

Related Studies on employee involvement and performance of Local Governments. Studies conducted by (Nalule, 2011; Mugisha & Berg, 2008), showed interesting results.

Nalule (2011), undertook a study for her PhD thesis tilted, "the relationship between performance management practices and employee performance in public organizations in Uganda". One of the specific objectives in this study is to establish the relationship between decision rights and employee performance in public organizations in Uganda. The findings indicated that Managers need to ensure that decisions are decentralized to allow full employee participation in the decision making processes. Additionally, public sector managers must see to it that organization resources acquisition and development are available and accessed by all their employees

In the case of employee involvement and performance of Local Governments in Uganda, Mugisha and Berg (2008), undertook a study of State-Owned Enterprises: NWSC's Turnaround in Uganda. The purpose of this study was to outline corrective actions undertaken by the National Water and Sewerage Corporation (NWSC) Management and Staff to turn around performance. The findings revealed that for any improvements in service quality and network expansion to happen, there is need to match performance improvements initiatives with organisation's team development and financial performance.

2.6 Synthesis of the literature review

Literature review in this study has provided an in-depth understanding on the independent and independent variables. In order to gather information from some scholars and to understand what they have established, literature has been reviewed on change management practice and performance of Local Government. In particular, knowledge has been gathered to understand the relationship between active executive support and performance of selected Local Governments in Eastern Uganda, the relationship between effective communication and performance of selected Local Governments in Eastern Uganda and lastly the relationship between employee involvement and performance of selected Local Governments in Eastern Uganda.

Theories used to study change management practices include Lewin's Three-step theory and Lippitt's Phases of Change theory and. These theories serve as a testimony to the fact that change is a real phenomenon (Kritsonis, 2005). Theories reviewed to understand performance include Agency theory and Stakeholder theory. The stakeholder theory application in the public sector literature seems to be in accordance with the wave of New Public Management (Gomes, 2006; Osborne & Gaebler, 1993). The New Public Management (NPM) is the new dispensation currently encouraged by public sector to as to improve on performance (Karyeija, 2012). The theories have been conceptualized to answer the question, "how are the change management practices related to performance of Selected Local Governments in Uganda?"

Sizeable body of empirical studies have been conducted in relation to the performance in public sector (Therkildsen & Tidemand, 2007; Muesenze, Munene & Ntayi, 2013; Mugisha & Berg, 2008; Andrews & Batageka, 2013; Nalule, 2011 and Mugisha & Berg, 2008). All these studies

have been instrumental in providing knowledge in the way public sector operates by studying communication and its relationship with the public sector performance, studying human resource management and how it affects performance of public sector. Decentralization may not provide a simple means of improving service delivery and quality of services. Research points to problems initial design of decentralisation where emphasis was based on fiscal decentralisation (Tumushabe, et al, 2010), and this has led to the performance of local governments fall below desired levels. This therefore creates a gap in knowledge on how best public sector and especially the Local Governments in Uganda can be well managed so as to improve performance. It is therefore imperative that this research looks other factors especially establishing the influence of change management practices and and performance in local governments.

CHAPTER THREE

METHODOLOGY

3.1   Introduction

This methodology chapter will provide the research design, study population, determination of sample size, sampling techniques and procedure, data collection methods. The chapter also will point out data collection instruments, data collection procedure, data quality control, data analysis and lastly ethical considerations.

3.2 Research Design

This study will use a cross-sectional research design and will involve the use of both quantitative and qualitative data. American Dietetic Association (2011) defines cross-sectional research design as study where exposures and outcomes are observed or measured simultaneously in a population. In this design, a researcher examines the association between the exposure and the outcome, but cannot infer cause and effect. Cross-sectional research design is one of the most common and well-known study designs, and this type of research study, either the entire population or a subset thereof is selected, and from these individuals. The study will collect both quantitative and qualitative data to help answer research questions of interest (Olsen, & St George, 2004). Graber (2004) adds that Cross-sectional design is appropriate for the collecting data from a sample of respondents at one point in time, and it allows the collection of both quantitative and qualitative data as open-ended questions can be included in the research tools.

 Balunywa et al (2013) in their study, an analysis of fiscal decentralization as a strategy for improving revenue performance in Ugandan Local governments, both quantitative and qualitative data was collected using cross-section research design.

This study will select representative sample elements of a cross section of the population and use it to collect data over a short period of time. In Cross-Section design, a sample is a representative of the entire population and can be used to establish the prevalence of a phenomenon across the whole population (Tuckman, 1994).

3.3 Study Population

Sekaran and Bougie (2010) explained the population the entire group of people, things or events that the researcher wishes to investigate and make inferences. The purpose of this study is to

investigate the relationship between change management practices and the performance of selected Local Governments in Eastern Uganda. The targeted study population in this study is the sub county and district administrative units drawn from the eastern districts of Jinja, Tororo and Soroti. The three districts were purposively selected because they were among the first districts to be to be decentralized (GoU, 1997) and can provide a better understanding regarding better understanding regarding change management practices on performance of local governments. Additionally Jinja, Tororo and Soroti districts were selected to represent urban, peri-urban and rural districts respectively, it will be interesting to know during data analysis whether any characteristics can be identified given their location.

The sub county as the lower local government administrative unit and the district will be included in this study population because resources in the Uganda local government are distributed managed at these levels to provide services to the communities. It is also important to note that both the technical and the political arm of the local governments are responsible for the management of resources and provision of services to the communities. The respondents for this study will therefore include both the technical and political people at sub county and district level that is LC III and LC V respectively.

At the sub county level, the districts of Jinja, Tororo and Soroti have a total of 38 sub counties with a total of 185 Parishes. Each parish is represented by two councilors at LC III council. In every sub county, there are 6 technical personnel, while the number of LC III councilors varies depending on the number of the Parishes in the sub county. For convenience purposes, the 5

members of every LC III executive council will be selected as respondents. This implies that at the sub county level both the technical and the political will a total of 418 respondents

At the district level, the population of the political arm will be all the members of LC V council and in the three districts, there are a total of 79 members in LC V council. There is a difficulty in obtaining the technical personnel to be included in the study since these three districts have a staffing gap of slightly more than 30%. The districts are structures to have eleven (11) departments; the researcher will purposively target a population of 6 people from every department with the departmental head inclusive, and randomly select three members in each department. This will result to 33 respondents in every district giving a total of 99 technical respondents for three districts. The political and technical respondents will total to 178. The targeted population from all the district and sub county level will be 669.

The researcher will also purposively select institutions which work closely with local governments to include in the population and these institutions will include Mininistry of Local Government, Uganda Local Government Finance Commission and Uganda Local Government Association. Four (4) respondents will be purposively selected from these institutions as key informants; this gives a total of 12 key informant respondents.

3.4 Determination of Sample size

Barlett, Kotrlik, and Higgins (2001) observed that a sample size represents a number of observations in a sample and the selection of the sample size is critical in research as it determines the validity and reliability of the data and the entire research findings. Heckathorn

(1997) adds that the selection of the sample size needs to be consistent to avoid bias; however the sample size of at least 10% of the target population is adequate. The three districts of Jinja, Tororo and Soroti are selected for this study among the districts in Eastern Uganda. The district of Jinja (urban Local Government) has 11 Sub counties and 59 Parishes. The district of Tororo (peri urban Local Government) has 17 Sub counties and 76 Parishes. The district of Soroti (rural Local Government) has 10 Sub counties and 50 Parishes. There will be four respondents from the Ministry of local government four respondents from LGFC and four from ULGA. The sample size of 546 respondents in Table 1, has been determined following the guidelines of sample size determination provided in Krejcie and Morgan (1970) table

Table 1: Study sample size

Local Government/Institution	Target Population of Technical respondents	Sample size	Sampling Technique	Target Population of Political respondents	Sample size	Sampling Technique
Jinja District	120	92	Random Sampling	68	59	Random Sampling
Tororo District	156	113	Random Sampling	105	86	Random Sampling
Soroti District	144	108	Random Sampling	61	56	Random Sampling
Mo LG HQs	2	2	Purposive Sampling	2	2	Purposive Sampling
ULGA	4	4	Purposive			

			Sampling			
LG Finance Commission	7	4	Random Sampling			
TOTAL	**433**	**323**		**236**	**203**	

3.5 Sampling techniques and procedure

The study will use proportion, purposive and random sampling techniques. The three districts of Jinja, Tororo and Soroti will be purposively selected among the list of the districts in Eastern Uganda Uganda. The first factor considered in selecting these districts include, their location, that is; the urban, peri-urban and rural (Jinja = urban, Tororo = peri urban and Soroti = rural). The second factor is that these three districts were among the first to be decentralized (Government of Uganda, 1995, Government of Uganda 1997). These three districts have a total of 38 sub counties which will be reduced to 32 by the use of Yamane 1973 sampling technique and randondom sampling will be used to select the study sub counties. The technical and political respondents at the sub county will be purposively sampled. Similarly, the LC V members will be purposive sampled and random sampling will be used to select the respondents at the Uganda Local Government Finance Commission.

3.6 Data Collection Methods

The study will involve four data collection methods which include; questionnaire, interview guide, review of documents and observation.

Questionnaire: According to Colton and Covert (2007), who observed that questionnaires can be used to obtain factual information and to assess attitudes and beliefs across a variety of topics and groups. This obserservation was also previously emphasized by Radhakrishna, Francisco and Baggett (2003), when they stated that questionnaires are the most frequently used data collection

method in evaluation studies. A 5 point Linkert scale, self-administered, close-ended questionnaire will be designed to collect data from the respondents since it is adoptable (SPSS Inc., 2004). The questionnaires will be reviewed by the experts to so to enhance quality and utilization of data (Esposito, 2002). Close-ended questions in general yield higher percentages than open-ended question for answers that are identical in both question forms (Urša, Katja, Valentina & Vasja, 2003). They further add that, the major limiting factor of the questionnaire is the absence of the interviewer to intervene in the case of any misunderstanding in the communication exchange between the researcher and the respondent as this can lead to massive errors or total abandoning of the questionnaire by the respondent..

Interviews: Key Informat Interview (KII) will be employed on high ranking people/respondents who do not have time to fill in the self-administered questionnaire will be interviewed so as gather data/information from them. Interviews are discussions, usually one-on-one between an interviewer and an individual, meant to gather information on a specific set of topics (Harrell & Bradley, 2009). Interviews enable clarification of questions and collection of qualitative data. However, its major critic is the biasness associated with it as respondents are unwilling to reveal personal (Key, 1997).

Documents Review: Center for Disease Control and Prevention (2009), defines document review as a way of collecting data by reviewing existing documents. These documents will help in obtaining background information and understanding the operation procedures of the selected Local Governments. The documents to be reviewed in the three Local Governments will be hard or soft copies and may include: performance reports, annual budgets, audit reports, training reports, funding proposals, meeting minutes. If not handled with care, document review can lead to collection of outdated and biased data.

Observation: Observation is way of gathering data by watching behavior, events, or noting physical characteristics in their natural setting (CDC, 2008). Some of the services provided by the Local Governments to the population include the construction of classrooms, grading of roads and provision of health facilities, observation technique will help to assess the quality of these services

3.7 Data collection instruments

Based on the three data collection methods which include; questionnaire, interviews and review of documents, the data collection instruments will be a self-administered questionnaire, interview guide and documentary review guide.

A <u>self-administered questionnaire</u> will be used to collect quantitative data; the Research Assistants will distribute the questionnaires to the respondents and collect them after they have filled. A key informant <u>interview guide</u> will be used to collect qualitative data, where there will be face to face interaction and conversation with the respondents. Due to difficulty in writing all what the respondents have to say, permission will be thought from them to accept recording of the discussion. <u>Documentary review</u> guide will be used to collect data related to the study from the records in the three Local Governments and the Ministry of Local Government MoLG). The documentary review guide is useful in collecting both quantitative and qualitative data. <u>Field notes</u> will be used to collect data using observation technique. It will involve assessing the quality of work done by Local Governments such construction of classrooms, grading of roads.

3.8 Data Quality Control (Validity and reliability)

Roberts and Tryaner (2006, p.366) defines reliability and validity as technical terms used by researchers to refer to objectivity and credibility of research. According to Miles & Huberman (1994, 294 -295), quality of the research, data ownership and use of the results should be put into consideration during a research. While Silverman (2005, 237), argues that for the results of the research to be valid and reliable, there must be trustworthiness in the research. He also adds that it is not only by following prescribed formulas that determines the validity of a research but the quality of the language used to demonstrate the picture of the world in which we discover something about ourselves and our common humanity.

Validity

As explained by Drost (2011), validity is concerned with the meaningfulness of research components and it is the basis of testing whether the researchers are measuring what they intended to measure. Mugenda and Mugenda (2003) add that, when data collection instruments are able to collect data as per the objectives and measure what they intended to measure so as to arrive at meaningful conclusions, then they are regarded as valid. Since validity relies on the adequacy and representativeness of the items in an instrument measure the attributes of the study (Neuman, 2006), Content validity will be tested to make sure that the concepts of executive support, employee involvement, effective communication and performance are included in the measurements. After designing the questionnaires and interview guides, they will be given to experts in the area of change management and Local Government so that validity of the questionnaires will be tested using Content Validity Index (CVI).

Reliability

Joppe (2000, p.1) defines reliability as the extent to which results are consistent over time and an accurate representation of the total population under study is referred to as reliability and if the results of a study can be reproduced under a similar methodology, then the research instrument is considered to be reliable. Field pretesting will be done in one Sub County of the selected districts but not among the sampled ones by administering at least 20 questionnaires to determine content, reliability and completeness of the questions. The interview guides will be pre-tested on three experts. Saunders, Lewis & Thornhill (2007 agrees that, pilot testing of the instruments helps to detect problems and suggest possible solutions. Cronbach Alpha Coefficient (CAC) will be used to determine the reliability (Wynd, Schmidt and Schaefer, 2003; Balunywa, Nangoli, Mugerwa, Teko and Mayoka, 2013). If resources allow, actual field pretesting will be done in one sub county of the selected districts by administering at least 20 questionnaires to determine content, reliability and completeness of the questions.

3.9 Data Collection Procedure

After proposal defense, taking care of comments from the proposal defense panel and submission of the proposal, the researcher will ensure that the research instruments have been validated. Three research assistants will be recruited on short term basis; one each for the three Local Governments/districts. The research assistants will be trained to understand the purpose of the study, the data collection tools and research ethics. The researcher will then obtain introductory letter from Mbarara University of Science and Technology (MUST)/Uganda Technology and Management University (UTAMU) to the districts seeking permission to conduct the study and start data collection. In order to obtain buy-in, the researcher will also get the authority letter from the Ministry of Local Government to the CAOs of the study districts seeking for permission

to visit the district administrative units to collect data. This is the time the Research Assistants will also be introduced to the district authorities and the personnel who could be in possession of documentary information for data collection exercise to commence. The key informant interviews at the Ministry of Local Government will be conducted by the researcher.

3.10 Data Analysis

The data collected for this study will be both quantitative and qualitative which will be cleaned and coded and entered into appropriate data capturing computer package (SPSS). The analysis will involve using descriptive statistics to extract factors related to change management practices which influence performance of selected Local Governments in Uganda. The objectives of the study show relationships/correspondence between the variables, this will be analysed using correlations so as to determine the nature of relationships. Regression analysis will be used to determine the combined relationship between the independent variable and dependent variable. In order to analyze the differences among group means and their associated procedures, analysis of variance (ANOVA) test and T-test will be used. Qualitative data will be transcribed and analysed using content analysis.

3.11 Measurements of variables

The conceptual framework already discussed in the earlier sections of this study stipulates the study variables. The independent variable (change management practices), is measured by the constructs of active executive support, effective communication and employee involvement. The independent variable performance of selected Local Governments is measured using service delivery, and quality devices. This study largely involves quantitative data which is collected using questionnaires, and a five–point (1-5) Linkert type scale will be used to measure variables;

denoted by 1 = Strongly Disagree, 2 = Disagree, 3 = Neither Disagree nor Agree, 4 = Agree, 5 = Strongly Agree.

3.12 Ethical Considerations

Ethics can be defined as philosophy which investigates human moral behavior as well as to distinguish what is right or wrong (Mwangi & Osei 2013; Shamoo & Duningant, 2000). From the onset of proposal writing, the study will take into account such as privacy, confidentiality, anonymity and plagiarism among others. During the thesis process the references used will clearly mentioned, therefore, the researcher will respect the authors of references (Mwangi & Osei 2013) The following questions will be considered; In what ways will the study intrude, come closer to people than they want?, How will information be guarded? And How identifiable are the individuals and organizations studied?", it can also be easy for participants in the study to identify each other in a qualitative description, even if outsiders cannot (Miles & Huberman, 1994: pp 10, 12).

REFERENCES:

Aerospace Industries Association, Electronic Industries Association, & Labor Policy Association. (1994). The Nature and Extent of Employee Involvement in the American Workplace. *Federal Publications*, 441.

Cheema, A., Khwaja, A. I., & Khan, A. (2005). Decentralization in Pakistan: Context, content and causes.

Akinyele, S. T., & Fasogbon, O. I. (2010). Impact of strategic planning on organizational performance and survival. *Research Journal of Business Management*, *4*(1), 73-82.

Alfes, K., Truss, C., Soane, E., Rees, C., & Gatenby, M. (2010). Creating an engaged workforce: findings from the Kingston employee engagement consortium project.

Amaral, L. A. N., & Uzzi, B. (2007). Complex systems-a new paradigm for the integrative study of management, physical, and technological systems. *Management Science*, *53*(7), 1033-1035.

American Dietetic Association. (2011). *Cross-sectional Study Design*. ADA Research Toolkit ADA Research Committee

Anderson, P. (1999). Complexity Theory and Organization Science," Organization Science, 10 (May/June), 216—32.

Apostolou, A. (2000). Employee involvement. *Department of Production Engineering and Management*.

Aremu, J. (2002). Katakwi blows away sh1.3bn, *New Vision*. http://www.newvision.co.ug/new_vision/news/1076774/katakwi-blows-away-sh13bn#sthash.AinwgayL.dpuf

Artley, W., Ellison, D. J., & Kennedy, B. (2001). *The performance-based management handbook: A six-volume compilation of techniques and tools for implementing the government performance and results act of 1993*. Performance-Based Management Special Interest Group.

Ashmos, D. P., & Huber, G. P. (1987). The systems paradigm in organization theory: Correcting the record and suggesting the future. *Academy of Management Review*, *12*(4), 607-621.

Attewell, P. (1992). Technology diffusion and organizational learning: The case of business computing. *Organization Science*, *3*(1), 1-19.

Balunywa, W., Nangoli, S., Mugerwa, G. W., Teko, J., & Mayoka, K. G. (2014). An analysis of fiscal decentralization as a strategy for improving revenue performance in Ugandan Local governments. *Journal of Research in International Business and Management, 4*(2), 28-36. doi: http:/dx.doi.org/10.14303/jribm.2013.011

Barlett, J. E., Kotrlik, J. W., & Higgins, C. C. (2001). Organizational research: Determining appropriate sample size in survey research. *Information technology, learning, and performance journal*, *19*(1), 43.

Barnard, M., & Stoll, N. (2010). Organisational Change Management: A rapid literature review. *Centre for Understanding Behaviour Change, University of Bristol: Australia.*

Basheka, B. C. (2008). Procurement planning and accountability of local government procurement systems in developing countries: Evidence from Uganda. *Journal of Public Procurement*, *8*(3), 379-406.

Bitarabeho, J. (2008, September). The Experience of Uganda Local Government's Role as a Partner in the Decentralization Process to Strengthen Local Development. In *Conference on Access to Development Funding for Local Governments in Africa, Johannesburg*.

Boeker, W. (1989). Strategic change: The effects of founding and history. *Academy of Management journal*, *32*(3), 489-515.

Boyle, R., & O'Riordan, J. (2013). Capacity and competency requirements in local government. *Dublin: Institute of Public Administration*.

Bryson, J. M. (2011). *Strategic planning for public and nonprofit organizations: A guide to strengthening and sustaining organizational achievement* (Vol. 1). John Wiley & Sons.

Bryson, J. M. (1995). *Strategic for public and nonprofit organizations: guide to strengthening and sustaining organizational achievement* (No. E14 131).

Burnes, B. (2004). Kurt Lewin and the planned approach to change: a re-appraisal. *Journal of Management studies*, *41*(6), 977-1002.

Cabrera, E. F., Cabrera, Á., & Ortega, J. (2001). Employee participation in Europe.

Calabrò, A., Torchia, M., & Ranalli, F. (2013). Ownership and control in local public utilities: the Italian case. *Journal of Management & Governance*, *17*(4), 835-862.

Carlson, M. (2013). *Performance: A critical introduction*. Routledge.

Center for Disease Control and Prevention. (2009). *Data Collection Methods for Evaluation*. Document Review. Evaluation Briefs. No.18, January 2009. www.cdc.gov/healthevaluation/index.htm

Colton, D., & Covert, R. W. (2007). *Designing and constructing instruments for social research and evaluation*. John Wiley & Sons. Inc. USA

Doucouliagos, C. (1995). Worker participation and productivity in labor-managed and participatory capitalist firms: A meta-analysis. *Industrial & labor relations review*, *49*(1), 58-77.

Drost, E. A. (2011). Validity and reliability in social science research. *Education Research and Perspectives*, *38*(1), 105.

Dyke, C. (1994) "Book Reviews" in configurations, Volume 2, No. 3, 1994, pp. 576. 128.220.50.88/journals/configurations/v002/2.br_kauffman.html (20 August 1997

Erving, G. (1959). The presentation of self in everyday life. *Garden City, NY: Anchor*.

Esposito, J. L. (2004). Iterative, multiple-method questionnaire evaluation research: a case study. *Journal of Official Statistics*, *20*(2), 143.

Eurofound. (2013). Work organisation and employee involvement in Europe, Publications Office of the European Union, Luxembourg.

Fatma, T. (2014). Importance of communication in management. *Global Journal of Multidisciplinary Studies*, *3*(5).

Ghys, É. (2015). The Butterfly Effect. In *The Proceedings of the 12th International Congress on Mathematical Education* (pp. 19-39). Springer International Publishing.

Gioia, D. A., & Chittipeddi, K. (1991). Sensemaking and sensegiving in strategic change initiation. *Strategic management journal*, *12*(6), 433-448.

Gibbons, R. (1998). *Incentives in organizations* (No. w6695). National Bureau of Economic Research.

Goodman, M., & Dingli, S. M. (2013). *Creativity and strategic innovation management*. Routledge.

Gomes, R. C. (2004). Who are the relevant stakeholders to the local government context? Empirical evidences on environmental influences in the decision-making process of English Local Authorities. *BAR-Brazilian Administration Review*, *1*(1), 34-52.

Gomes, R. C. (2006). Stakeholder management in the local government decision-making area: evidences from a triangulation study with the English local government. *BAR-Brazilian Administration Review*, *3*(1), 46-63.

Golafshani, N. (2003). Understanding reliability and validity in qualitative research. *The qualitative report*, *8*(4), 597-606.

Gordon, K. (2006). The importance of communication in implementing organizational change: a review of the literature for information organizations. *San Jose State University, School of Library and Information Science, USA*.

Government of Uganda. (1995). The constitution of the Republic of Uganda 1995. Accessed on 7 th October 2004.

Government of Uganda. (1995). The Constitution of the Republic of Uganda

Government of Uganda. (1997). The Local Government Act. Chapter 243

Government of Uganda. (2015, March 6th). *Public Finance Management Act, 2015, Volume CVIII(Supplement No. 2)*. Kampala, Kampala, Uganda: UPPC, Entebbe.

Graber, D. A. (2004). Methodological developments in political communication research. *Handbook of political communication research*, 45-67

Hall, H. (1977). Organization Structure and Process, Prentice Hall. *Inc., Engle wood Cliffs, New Jersey*

Harrell, M. C., & Bradley, M. A. (2009). *Data collection methods. Semi-structured interviews and focus groups*. Rand National Defense Research Inst Santa Monica Ca. www.rand.org

Heckathorn, D. D. (1997). Respondent-driven sampling: a new approach to the study of hidden populations. *Social problems*, *44*(2), 174-199.

Hutchinson, P. (1998). Decentralisation in Uganda's Health Sector. April 1998, draft. World Bank, Uganda.

Insights, L. (2010). Ready, get set… change. The impact of change on workforce productivity and engagement.

Institute of International Studies. (2001). *Online Dissertation Proposal Workshop*: http://globetrotter.berkeley.edu/DissPropWorkshop/. Regents of the University of California

Judeh, M. (2011). An examination of the effect of employee involvement on teamwork effectiveness: an empirical study. *International Journal of Business and Management*, *6*(9), 202.

Key, J. P. (1997). Research design in occupational education. *Questionnaire and Interview as Data-Gathering Tools*.

Kimble, D. (2012). Making Decentralization Work in Developing Countries: Transforming Local Government Entities into High Performing Organizations.

Kimble, D., Boex, J., & Kapitanova, G. (2012). IDG Policy Brief.

Kim, S. (2005). Individual-level factors and organizational performance in government organizations. *Journal of public administration research and theory*, *15*(2), 245-261.

Krejcie, R. V., & Morgan, D. W. (1970). Determining sample size for research activities. *Educ psychol meas*.

Kritsonis, A. (2005). Comparison of change theories. *International journal of scholarly academic intellectual diversity*, *8*(1), 1-7.

Lambright, G. M. S. (2011). Decentralization in Uganda: Explaining Successes and Failures in Local Governance.

Lippitt, R., Watson, J., &Westley, B.(1958) The dynamics of planned change. *A comparative study of principles and techniques*.

Lesikar, R., & Flatley, M. E. (2005). Basic Business Communication: Skills for Empowering the Internet Generation with Student CD and PowerWeb.

Levy, D. (1994). Chaos theory and strategy: Theory, application and managerial implications. *Strategic management journal*, *15*, 167-167.

Manyak, T. G., & Katono, I. W. (2010). Decentralization and conflict in Uganda: Governance adrift. *African Studies Quarterly*, *11*(4), 1.

Melkers, J., & Willoughby, K. (2005). Models of performance-measurement use in local governments: Understanding budgeting, communication, and lasting effects. *Public Administration Review*, *65*(2), 180-190.

Metre, C. (2009). *Deriving Value from Change Management* (Doctoral dissertation, University of Pennsylvania).

Meurs, M., & Kochut, R. (2013). Local government performance in rural Poland: The roles of local government characteristics and inherited conditions. *Available at SSRN 2286220*.

Michael L. Tushman (1990). *Technological Disconti-nuities and Dominant Designs: A Cyclical Model of Technological Change," Administrative Science Quarterly*, *35*, 604-33.

Miles, M. B., & Huberman, A. M. (1994). *Qualitative data analysis: An expanded sourcebook*. Sage.

Mitchell, G. (2013). Selecting the best theory to implement planned change: Improving the workplace requires staff to be involved and innovations to be maintained. Gary Mitchell discusses the theories that can help achieve this. *Nursing Management*, *20*(1), 32-37.

Mpanga, E. E. L. (2009). The implementation of the performance management programme in Uganda's public service with specific reference to the Ministry of Public Service.

Muyomba-Tamale, L. (2011). Local government councils' performance and the quality of service delivery in Uganda: Luwero District Council score-card, 2009/10.

Ndegwa, S. N., & Levy, B. (2003). *The politics of decentralization in Africa: A comparative analysis*. World bank.

Nelson, R. R., & Winter, S. G. (1977). In search of useful theory of innovation. *Research policy*, *6*(1), 36-76

Nouria, B. and Judith, G. (2007). *A Guide to Using Qualitative Research Methodology*. Medecins Sans Frontieres

Oakland, J. S., & Aldridge, A. J. (1995). Quality management in civil and structural engineering consulting. *International Journal of Quality & Reliability Management*, *12*(3), 32-48.

Okidi, J. A., & Guloba, M. (2006). Decentralization and Development: Emerging Issues from Uganda's experience. Occasional paper No. 31

Oliver, C. (1990). Determinants of interorganizational relationships: integration and future directions. *Academy of Management Review*, 15(2), 241-265.

Oliver, C. (1991). Strategic responses to institutional processes. *Academy of management review*, *16*(1), 145-179.

Oloka-Onyango, J. (2007). Decentralization without human rights?: local governance and access to justice in post-movement Uganda. HURIPEC Working Paper No. 12

Olsen, C., & St George, D. M. M. (2004). Cross-sectional study design and data analysis. *College Entrance Examination Board*.

Olumuyiwa, S. O. and Oluwatosin, O. A. (2012). Effective Planning and Organisational Productivity. (A Case Study of Sterling Bank Nigeria Plc). I*OSR Journal of Humanities and Social Science* (JHSS) ISSN: 2279-0837, ISBN: 2279-0845. 5(5) 31-39

Ongonge, J. (2013). *Relationship between strategic planning and organization's performance in Non Governmental Organizations (NGOs): a case of Actionaid, Kenya* (Doctoral dissertation, University of Nairobi).

Osei, A., & Mwangi, L. (2013). Promoting Aphasia Patients' Communication in Nursing Care. Laurea University of Applied Sciences

Padovani, E., Yetano, A., & Orelli, R. L. (2010). Municipal performance measurement and management in practice: which factors matter?. *Public Administration Quarterly*, 591-635.

Patton, W., & McMahon, M. (2006). The systems theory framework of career development and counseling: Connecting theory and practice. *International Journal for the Advancement of Counselling*, *28*(2), 153-166.

Perrow, C. (1972). *Complex organizations*. New York: Scott, Foresman.

Pfeffer, J., & Salancik, G. R. (2003). *The external control of organizations: A resource dependence perspective*. Stanford University Press.

Phonkaew, S. (2001). Propensity for innovation adoption: Integration of structural contingency and resource dependence perspectives. *ABAC Journal*, *21*(1).

Pirtea, M., Nicolescu, C., & Botoc, C. (2009). The role of strategic planning in modern organizations. *Annales Universitatis Apulensis: Series Oeconomica*, *11*(2), 953.

Queensland Government (2013). *Draft Local Government Performance Reporting Framework & Indicators Working Paper May 2013*. State Government Department of Planning and Community Development.

Radhakrishna, R. B., Francisco, C. L., & Baggett, C. D. (2003). An analysis of research designs used in agricultural and extension education. In *Proceedings of the 30ᵗʰ National Agricultural Education Research Conference, 528-541* (Vol. 541).

Rajasekar, S., Philominathan P. and Chinnathambi V. (2013). Research Methodology. Tamilnadu, *India Review*, 16(1), 145-179.

Richard, S. W. (1992). Organizations: Rational, natural, and open systems. *Aufl., Englewood Cliffs (NJ)*.

Ridwan, M. S., & Marti, J. (2012). The Study on Strategic Planning and Organizational Performance in the Regional Government Owned Banks in Indonesia. *Feedback*, *13*(23), 6.

Robbins, S. (2003). *Organizational Behavior*. 10th ed. Upper Saddle River, NJ: Prentice Hall,

Roberts, P., Priest, H., & Traynor, M. (2006). Reliability and validity in research. *Nursing standard*, *20*(44), 41-45.

Roussel, L. A., Swansburg, R. C., & Swansburg, R. J. (2006). *Management and leadership for nurse administrators*. Jones & Bartlett Learning.

Sahin, I. (2006). Detailed review of Rogers' diffusion of innovations theory and educational technology-related studies based on Rogers' theory. *TOJET: The Turkish Online Journal of Educational Technology*, *5*(2).

Saito, F. (2000, April). Decentralisation in Uganda: Challenges for the 21st century. In *document entregado al Centre for Basic Research Seminar Series, May* (Vol. 25, p. 2000).

Salem, H. (2003). Organizational performance management and measurement. *Innovation of Public Administration in the Euro-Mediterranean Region, Economic and Social Commission for Western Asia. E/ESCWA/SDPD/2003/WG*, *5*, 16.

Saunders, M., Lewis, P., & Thornhill, A. (2007). Formulating the research design. *Research methods for business students*, 130-161.

Sekaran, U. B., & Bougie, R. R. (2010). *Research Methods for Business: A Skill Building Approach 5th Edition. New Delhi: John Willey & Sons limited*.

Shamoo, A and Duningant, C. (2000). Ethics in research Introduction to applied thematic analysis. *Exp Biol Med September* 224(4) 205-210

Silverman, D. (2005). *Doing qualitative Research*. 2nd Edition. London. Cromwell press ltd.

Simon, H. A. (1996). *The Sciences of the Artificial*, 3rd ed. MIT Press, Cambridge, MA.

Smith, J. R., & Golden, P. A. (1989). Strategic planning and organizational performance in a business simulation: An empirical study. *Developments in Business Simulation and Experiential Learning*, *16*.

Smith, J. A. (Ed.). (2015). *Qualitative psychology: A practical guide to research methods*. Sage.

Sofijanova, E. and Zabijakin-Chatleska V. (2013), Employee involvement and organizational performance: Evidence from the manufacturing sector in the Republic of Macedonia. *Trakia Journal of Sciences*, 11(1)

SPSS Inc. (2004). *SPSS Survey Tips [online]*, SPSS Inc. Last accessed on 3/11/2008

Ssekate, J. (2011). *Effects of budgeting and work planning on performance of local governments*.

Thompson, J. D. (1967). *Organizations in action: Social science bases of administrative theory*. Transaction publishers.

Tuckman, B.W. (1994).Conducting educational research. (4th ed). Fort Worth: Harcourt Brace college publishers.

Tumushabe, G., Mushemeza, E., Tamale, L. M., Lukwago, D., & Ssemakula, E. (2010). Monitoring and Assessing the Performance of Local Government Councils in Uganda. *Background, Methodology and Score Card. ACODE Policy Research Series*, (31).

Tumushabe, G, Mushemeza, E. D, Tamale, L. M, Lukwago, D. and Ssemakula, E. (2010). *Local Government Councils Performance and the Quality of Service Delivery in Uganda*. ACDE Policy Research Paper Series No. 36, 2010

Tumushabe, G, Mushemeza, E. D, Tamale, L. M, Lukwago, D. and Ssemakula, E. (2010). *Local Government Councils Performance and the Quality of Service Delivery in Uganda:* Amuru District Council Score Card 2008/09. ACODE Policy Research Series, No. 37, 2010. Kampala

Tumushabe, G., Mushemeza, E. D., Tamale, L. M., Lukwago, D. and Ssemakula, E. (2010). *Local Government Councils Performance and the Quality of Service Delivery in Uganda*: Nebbi District Council Score Card 2008/09. ACODE Policy. Research Series, No. 36, 2010. Kampala.

Tumushabe, G., Mushemeza, E. D., Tamale, L. M., Lukwago, D. and Ssemakula, E. (2011). *Local Government Councils' Performance and Public Service Delivery in Uganda*: Mpigi

District Council Score-Card Report 2009/10. ACODE Policy Research Series, No. 48, 2011. Kampala.

Urša, R., Katja, L. M., Valentina, H., and Vasja, V. (2003). *Open-ended vs. Close-ended Questions in Web Questionnaires*. Developments in Applied Statistics. Metodološki zvezki, 19, Ljubljana: FDV, 2003

Vasdev, M. and Vshima, S. (2010). *Applying Change Management Practices in Government Organisations*: A view from the Field. Volume 20, No. 3, October 2010.

Waters, P. (2003). Change Management Standards. 801 Silver Lake Boulevard: Major Projects, Department of Technology & Information.

Wynd, C. A., Schmidt, B and Schaefer, M. A. (2003). Two Quantitative Approaches for Estimating Content Validity. *Western Journal of Nursing Research*, 2003, 25(5), 508-518. Sage Publications

Appendix 1: Questionnaire:

QUESTIONNAIRE

Section 1: Consent:

Dear Participant,

I am Wilfred Kokas Aupal a student of Mbarara University of Science and Technology in collaboration with Uganda Technology and Management University (MUST – UTAMU), undertaking a study leading to award of a PhD in Management. The title of my research is "change management practices and performance of selected local governments in Uganda". It is a requirement that for one to graduate you have to conduct research in the field of your study and write up a report/thesis. This questionnaire is therefore meant to help me gather data that will be analysed and help in the thesis write up. This research is purely for academic purposes, the

information you provide will be kept with privacy and high integrity following research ethics. Your name will not be published anywhere in the final write up. The discussions/questions will rotate on the change management practices which include active executive support, effective communication, employee involvement planning and analysis the effect these have on local government performance. I kindly request you to spare some time and fill the questions below. If you agree to participate in the study kindly sign below.

---   ------------------------------------   ---------------
          Names (optional)   Signature   Date

Thank you in advance for our valuable time.

Best regards

Aupal Kokas Wilfred
Student

Section 2: Bio data

A: Bio data

1. Gender (tick one box)   1.Male [   ]   2. Female [   ]

2. How old are you: ……………… (write your age in the space provided)

3. Highest level of Education (tick a box below your highest level of education)

Primary	O' Level	A' Level	Diploma	Degree	Masters	Post Gad. Diploma	PhD

Others (specify) …………………………………………..

4.   Current employment   1. Technical [   ]   2. Political [   ]

5.   Position Held ……………………………………………

6.   Number of years in this position ………………………..

B: Active Executive support

1. Please tick the appropriate box numbered from 1 to 5 that well illustrates the statement. Where: 1 = Strongly Disagree, 2 = Disagree, 3 = Neither Disagree nor Agree, 4 = Agree, 5 = Strongly Agree

Statement	1 Strongly Disagree	2 Disagree	3 Neither agree Nor Disagree	4 Agree	5 Strongly Agree
My top management always strives for clarity					
My top management have interest in developing employee capabilities					
Top management always remains open-minded and objective in their decision making process					
Top management always encourages employee participation in decision making					
Top management decisions are based on the district strategic plan					
My supervisors manage themselves effectively					
My supervisors carry their duties effectively					
My supervisors focus on organizational future and its performance					
My top managers guides the team to achieve their individual goals					
Our executive guides the team to achieve organizational goals					
My top managers takes responsibility of their actions					
Top management encourages team building					
My top managers takes responsibility of what they communicate					

C: Effective Communication

2. Please tick the appropriate box numbered from 1 to 5 that well illustrates the statement. Where: 1 = Strongly Disagree, 2 = Disagree, 3 = Neither Disagree nor Agree, 4 = Agree, 5 = Strongly Agree

Statement	1 Strongly Disagree	2 Disagree	3 Neither agree Nor Disagree	4 Agree	5 Strongly Agree
Most of the work related information that I receive on daily basis comes from my supervisor					
Most of the work related information that I receive on daily basis comes from my co-workers					
Most of the information I receive on daily basis					

comes from top management as directives				
In my work place, my ideas are directly passed on to top management				
I feel free and comfortable sharing my ideas with my supervisor at all times				
I feel free and comfortable sharing my ideas directly with top management				
In my work place, the lines of communication are open all the way to top management				
There are departmental meetings to share ideas				
It is difficult to get important information in my work place				
In most situations, I receive information that I need to effectively perform my job				
My co-workers and I readily share information that is critical to our success				
My department and the district have formal channels for information sharing				
My departments shares information freely through meetings and other communication channels				
Other departments give my department biased information with the intention of failing my department				
Most departmental meetings I tend help me to get information to excel in my daily work				
I rarely talk when my supervisor is in the meeting				
I cannot talk to top management if I have not got permission from my supervisor				
Information which comes to our department passes only through my supervisor				
The supervisor has a right to keep information to him/herself that he receives from other departments				
Top management shares information to lower level employees				
Information in my workplace is controlled by few people				
Rumor is mostly my source of information in my department				
The channels of communication in this organization are open				
There is commitment by district top management to share information among departments.				
Most of the information I receive on daily basis is				

detailed and accurate					
Most of the information I receive from my supervisor is detailed and accurate					
Most of the information I receive from my co-workers detailed and accurate					
Most of the information I receive from other departments is detailed and accurate					
Most of the information I receive from top management is detailed and accurate					
My co-workers often receive reliable information from our supervisor					
The directives which come from top-management are clear and consistent					
Some of my co-workers pass unreliable information					
It is acceptable if I passed information from my supervisor to my co-workers					
The information I receive from other departments is consistently reliable					
I freely share information with other stakeholders					
I receive information to do my work in time					
I always here the information about the department after the event has happened					
The delays in getting information that I need always affects my performance					

3. Circle all those which are applicable:
   The main ways of communication in our deparment include:
   1. Face to face interaction – informal discussions
   2. Telephone discussions
   3. Formal meetings
   4. Memos
   5. Emails
   6. Publications i.e weekly, monthly and yearly publications

D: Employee Involvement:

1. Please tick the appropriate box numbered from 1 to 5, that well illustrates the statement.
   Where: 1 = Strongly Disagree, 2 = Disagree, 3 = Neither Disagree nor Agree, 4 = Agree, 5 = Strongly Agree

Statement	1 Strongly Disagree	2 Disagree	3 Neither agree Nor	4 Agree	5 Strongly Agree

			Disagree		
In my work place, my ideas and opinions are appreciated					
There is trust for one another in my work place					
In my workplace, everyone's job provides him/her with growth and development					
In my workplace the tasks which you are assigned makes you to exploit your skills better					
My work group/team makes the use of its resources, time and budget					
There is always sufficient feedback on how well I am doing in my group					
In my workgroup individual members are held accountable for low performance					
I have clear understanding of my tasks in the job I am doing					
Any conflicts that arise in my work group are quickly resolved					
Any changes that happen in my work place are immediately communicated to me					
In my workplace different work groups support one another					
People in my workgroup respect those things which make each individual unique					
My workgroup conducts efficient and focused meetings					
There is high cooperation in my department/team on how job is done					
There is personal meaning and fulfillment in my work					
I can always make my personal decisions to management on how I want my job to be done					
I pick new skills and knowledge from my work group					
I am satisfied with my job					
I can recommend my friends and family members to work in my place of work					
I feel sense of loyalty to this district					

E: Planning and Analysis

1. Please tick the appropriate box numbered from 1 to 5 that well illustrate the statement. Where: 1 = Strongly Disagree, 2 = Disagree, 3 = Neither Disagree nor Agree, 4 = Agree, 5 = Strongly Agree

Statement	1 Strongly Disagree	2 Disagree	3 Neither agree Nor Disagree	4 Agree	5 Strongly Agree
Our district has a strategic plan					
All employees know organisation Vision					
All employees know organisation Mission					
All employees know district objectives					
In my work group I am involved in planning of what is to be done					
My workgroup has both short and long term plans					
Plans will only be changed with consensus at all levels					
There is a good planning unit in the organisation					
There is adequate planning of human resource to carry of the tasks					
There is adequate planning for the procurement of resources to enable me carry out my tasks					
My workgroup was trained on planning and analysis					
My workgroup achieved its goals through effective planning and analysis					
My supervisors are knowledgeable in planning and analysis					
My supervisors help a lot during the planning process					
Plans are always followed in performing the tasks and duties					
Planning programs are always relevant to my job					
My district carries evaluation on every activity as agreed in the plans					
During planning process, the stakeholders are consulted by the planning unit.					
I am always availed resources to accomplish all the planned activities					
Planning has helped my workgroup to improve on its performance					

D: Preformance

1. Please tick the appropriate box numbered from 1 to 5, that well illustrates the statement. Where: 1 = Strongly Disagree, 2 = Disagree, 3 = Neither Disagree nor Agree, 4 = Agree, 5 = Strongly Agree

Statement	1 Strongly Disagree	2 Disagree	3 Neither agree Nor Disagree	4 Agree	5 Strongly Agree
My work group emphasizes achievement of individual performance					
My workplace emphasizes achievement of group performance					
Service delivery is of high importance in my work place					
My district delivers quality services to the community					
Every individual has clear roles in my workplace					
District performance is monitored on agreed timelines					
Communities are satisfied with the quality of the district services					
Budgets are well developed in my work place					
Budgets are tracked in my workgroup					
The district activities are tracked against agreed targets					
My workgroup regularly presents activity reports to other groups/departments					
My work group has regular meetings to review performance against targets					
Individuals are held accountable for performance results in their groups and departments.					
In my workplace individuals are recognized for exemplary performance					
In my workplace, performance information is collected and analysed					
My workplace allows feedback from the public and involves the public in decision making					

Overall comment …………………………………… ………………… ………………… …
… …… ………… ……………………… …………………………… …………… …… …

END
Thank you very much for your participation

INTERVIEW GUIDE

This is a general interview guide for the key informants and those respondents who will not have time to fill the questionnaires and agree to be interviewed face to face. Research Assistant introduces himself and the purpose of the study and why it is important to collect the views of the respondent. If the respondent agrees to be interviewed, the Research assistance further seeks for permission for the discussion to be recorded and assure the respondent that the recording enables him to remember all what was discussed and it will not be used for any other purpose. Additional questions will be asked/probed based on the direction of the discussion but controlled within the study topic.

1. What is your position/title in this Local government

2. Could you give a brief background of this local government with respect to the practices which are in place regarding attaining improved performance

3. What are your main responsibilities

4. What main practices does this Local Government have regarding:

   a) Active Executive support

   b) Effective Communication

   c) Employee Involvement

   d) Planning and Analysis

   e) Improved Local Government Performance

5. Is there anything more you would like to tell me or any experience to share regarding what we have discussed.

If there is nothing more to discuss further the Research Assistant/Researcher thanks the respondent for the information provided and the time given to him. Avoid

Appendix 3: Study Plan

MUST – UTAMU PHD (CHANGE MANAGEMENT) STUDY PLAN

Aupal Kokas Wilfred - Reg. No. 2014/PhD/040

1. **Study period and actives**

The PhD study will run for a period of three years, starting August 2014 and end in March 2017. The study schedule is detailed below.

Time/Year	Study Activities
2014	• Develop a synopsis and submit to Synopsis to secure admission. • Develop a proposal in consultation with the allocated supervisor. • Make corrections to the proposal following recommendations of the supervisors.
2015	• Develop research tools in line with the final proposal • Select topics for journal articles publication

	• Submit the proposal to the administration to secure proposal defense allocation • Make corrections to the proposal following recommendations of the thesis committee and submit the corrected proposal. • Intensive literature review • Continue writing journal articles for publication and submit to the publishers • Continue with literature review
2016	• Plan for data collection • Consult with the leadership of the selected Local Governments so as to review the available literature, validation of research tools/instruments, and Pre-test the tools especially the questionnaires • Start data collection • Data processing • Data analysis • Development of the thesis report • Present draft findings • Make corrections with respect to the comments from the supervisors
2017	• Finalization of the thesis • Finalize with Publication of journal articles • Attending the viva-voce • Make final corrections to the thesis • Submit final thesis to MUST – UTAMU • Clearance with administration and wait for Graduation

Appendix 4: Tentative Study Budget

TENTATIVE STUDY BUDGET

S/No.	Item Description	Quantity/ Number	Price/ Cost (UGX)	Total Amount (UGX)
1	Tuition for six semesters at UGX 3,500,000 per semester	6	3,500,000	21,000,000
2	Functional fees at UGX 1,200,000	3	1,200,000	3,600,000
3	NICHE fees at UGX 20,000 per year	3	20,000	60,000
4	Laptop	1	3,025,000	3,025,000
5	Recorders	3	250,000	750,000
6	Printer	1	400,000	400,000
7	Validation of research tools – pretesting in three districts	3	1,000,000	3,000,000
8	Data collection payment of three	45 days	120,000	5,400,000

	research assistants for about 15 days at UGX 120,000 per day			
9	Field supervision 5 days per district	15	120,000	1,800,000
10	Hire of a vehicle for field supervision at UGX 250,000 per day	15	250,000	3,750,000
11	Data editing	1	500,000	500,000
12	SPSS software for data entry	1	1,000,000	1,000,000
13	Data entry – two data entrants each at UGX 70,000 for 5 days	10 days	70,000	700,000
14	Stationery	1	500,000	500,000
15	Photocopying	1	300,000	300,000
16	Binding of the books UGX 40,000 each	5	50,000	250,000
17	Other costs	1	3,000,000	3,000,000
	TOTAL			**49,035,000**

Appendix 5: Study Gantt Chart:

GANTT CHART - SHOWING THE STUDY SCHEDULE

Year of study (Quarters)/Activities to be carried out in each quarter.	2014	2015				2016				2017
	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
Reading widely on the topic and continue with literature review at all stages	▓	▓	▓	▓	▓	▓	▓	▓	▓	
Develop a proposal in consultation with the allocated supervisor	▓									
Make corrections to the proposal following recommendations of the supervisors.	▓	▓	▓	▓						
Develop research tools with the final proposal	▓	▓	▓	▓						
Proposal defense				▓						
Finalise the proposal by including comments and recommendations of the proposal defense panel				▓						
Selection of topics for two journal papers, writing and publishing			▓	▓		▓	▓	▓		
Visit to the selected LGs to introduce and orient the leadership about the study, Pretesting of research tools and including comments and recommendations					▓	▓				
Data Collection and Analysis					▓	▓	▓	▓		
Data presentation and writing of the thesis					▓	▓	▓	▓	▓	
Thesis defense and including comments and corrections per the thesis panel							▓	▓	▓	
Submit final thesis to MUST – UTAMU										▓
Clearance with administration										▓