

**COMMUNICATION ON IMPLEMENTATION OF PERFORMANCE  
CONTRACTING IN THE TEACHING PROFESSION: A STUDY OF  
UASIN GISHU COUNTY, KENYA.**

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## DECLARATION

**Declaration by the student:**

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## DEDICATION

This work is dedicated to my father, Eliud Sikolia, for showing me the light of education.

## **ACKNOWLEDGEMENTS**

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## **ABSTRACT**

The aim of this study was to interrogate communication on implementation of performance contracting in the teaching profession, particularly among public secondary

school teachers in Uasin Gishu County in Kenya. The study was prompted by an apparent stalemate existing between two sets of communicants, the Teachers’ Service Commission (TSC) on one hand, and teachers on the other, on the issue of Performance Contracts (PCs). This study addressed the following research questions: what messages have been communicated to teachers on the implementation of PCs in the teaching profession? How has communication about the implementation of PCs in the teaching profession been managed? Lastly, what are the perceptions of key stakeholders in the MoEST on communication about performance contracting in the teaching profession? The study was justified by the lack of research-based information on the use of communication strategies in the implementation of PCs in Kenya. The study used the qualitative case study design and purposive sampling to identify 28 participants from the three sub counties that constitute Uasin Gishu County from whom data was generated using interviews. The data obtained was then analyzed thematically and presented according to the research questions. The findings show that there is a communication stalemate between the TSC (government) and teachers on the implementation of PCs precipitated by a lack of appropriate communication strategy. Further, the findings indicate that teachers and other stakeholders perceive improved communication strategies as the solution to the stalemate on implementation of PCs in the teaching profession. The implication of this study for the TSC is that there is need to dialogue and educate teachers on the importance of PCs as an effective management tool in the country. The main contribution of this study is that it demonstrates the importance of communication as a strategy for policy implementation in the institutional management chain.

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## **LIST OF ABBREVIATIONS**

ERS	Economic Recovery Strategy
FPE	Free and Compulsory Primary Education
FSE	Free Day Secondary Education
GoK	Government of Kenya
KNEC	Kenya National Examinations Council
KNUT	Kenya National Union of Teachers
KUPPET	Kenya Union of Post-Primary Education Teachers
MDGs	Millennium Development Goals
MoEST	Ministry of Education, Science and Technology
NARC	National Rainbow Coalition
NPM	New Public Management
NPMF	National Performance Management Framework
PCs	Performance Contracts
PE	Public Enterprise
PETS	Public Expenditure Tracking System
PR	Public Relations
QASO	Quality Assurance and Standards Officer
RBM	Result Based Management
TSC	Teachers' Service Commission

## **CHAPTER ONE**

### **1.0 INTRODUCTION TO THE STUDY**

#### **1.1 Introduction**

In this Chapter, I provide the background to the study, the problem under investigation and research questions. I then provide the scope, limitations and significance of the study.

#### **1.2 Background of the Study**

This study investigated organizational communication in the Ministry of Education Science and Technology (MoEST) in Kenya, specifically the process of communication in the implementation of performance contracting in the teaching profession.

The study looked into an attempt by the Kenya government, through the agency of the Teachers Service Commission (TSC) to implement Performance Contracts (PCs) among teachers from a communication perspective, taking Uasin Gishu County as a point of reference. The primary aim was to establish what information teachers had on the concept of performance contracting in Kenya. Secondly, the study aimed at establishing the general perception of the teachers towards the concept and find out why they have shown resistance towards the implementation while their counterparts in the civil service had already signed PCs.

The question is, do Kenyan teachers fully understand what performance contracting is all about? At this point, it becomes necessary to look at some background information on performance contracting, including definition, origin, the need for PCs in Kenya and concern with the education sector.

### **1.2.1 Definition and Origin of Performance Contracts**

To situate this study within the relevant sociopolitical context, it would be necessary to define what performance contracting entails and explain the origins of performance contracts (PCs) globally, and in Kenya briefly. A PC is a tool of management which is used to define responsibilities and expectations between parties to achieve mutually desirable and agreed on targets (GoK 2007). In strategic management, PCs were initially set to address inefficiencies, especially within public enterprises. For this reason, PCs were adopted by many states across the world as an efficient management tool.

PCs have their origin in the 1960's in France as a mere idea that was later considered necessary and was first implemented in the early 1970's in French public corporations. In France, performance contracting was first introduced in the Directorate General for Taxes to ensure consistency in the decentralized government and to put pressure on the entire service network to improve performance. This notion of performance contracting was not readily accepted by most managers because they believed it was of no value to their organizations. However, in the early 1980's, thirteen additional contracts were signed between vital ministries and state industrial enterprises in France, giving momentum to adoption of PCs as an efficiency management and monitoring tool.

In the late 1980's, this influence quickly moved to French-speaking countries in Africa, including Benin, Cameroon, Congo, Gabon, Gambia, Ghana, Mali, Niger, Morocco and Senegal. In Gambia for example, PCs were introduced in 1987 for enterprises in which the government was either a shareholder.

In the same decade, some Latin American (Guatemala and El Salvador) and some Asian countries (India and Bangladesh) adopted the tool. In Guatemala and El Salvador, education reforms formed part of the peace enforcement with the aim of improving school completion rates and enhancing the quality of learning among disadvantaged

groups. The education sector in these two countries thus enforced performance contracting. Belgium, due to its decentralized government structures, also introduced this tool in the 1980's. Here, PCs were aimed at controlling the use of available resources and holding public workers accountable for the results in their various organizations. In Canada, PCs were adopted in the 1990's to help in cutting costs during budgeting.

In the U.S.A, the government was overwhelmed by the assumption that the private sector was doing better than the public sector in service delivery in the health and education sectors. Thus, the government decided to get into performance contracting in the 1990's with the view of equalizing the situation.

Some developing countries did not adopt PCs, but instead used alternative management tools aimed at improving performance in institutional management. Uganda, for example, settled for the Public Expenditure Tracking System (PETS) as a tool for monitoring public expenditure. In Tanzania, the Ministry of Education resorted to active participation of the community in school management by creating village committees and parents-teachers associations to ensure ownership and prudent management of resources. In all these attempts, it is clear that governments are seeking a management tool that will guarantee efficiency and optimal productivity. Thus with the foregoing understanding of what PCs are and what they aim at achieving, I present the argument for the need of PCs in Kenya.

### **1.2.2 Need for Performance Contracting in Kenya**

In Kenya, the need for PCs gained momentum after the year 2000. In 2003, after the National Rainbow Coalition (NARC) (a coalition of parties that formed the opposition) assumed governance with Emilio Mwai Kibaki as president, the government came up with the clarion call "Kenya is a working nation". The essence of this call was to turn around productivity in the public service, which according to the new government, had

deteriorated beyond imagination. To achieve this objective, it was necessary for the government to come up with an appropriate management tool. Thus the National Performance Management Framework (NPMF) was adopted to institutionalize Result Based Management (RBM). The objective of the adoption of RBM was to improve performance in the public service and achieve targets such as the Economic Recovery Strategy (ERS) for wealth and employment creation. This was expected to run from 2003 to 2007. Later on, another target for the achievement of development, dubbed Vision 2030, was set. These objectives were anchored in the Millennium Development Goals (MDGs). The adoption of RBM brought about a paradigm shift from a Process Based (PB) public service to a Result Based (RB) service, to deliver services to the citizens in an efficient, effective and ethical manner (GoK 2007). After witnessing positive economic growth from negative one (- 1) in 2002 to five (+5) in 2007 (GoK 2007), the government decided to adopt RBM, Strategic Management and PCs in the delivery and management of public service, so that civil servants would be appraised on this basis.

The main objective of PCs, therefore, was to ensure that individual employees take control of and are accountable for the performance of their roles. This move was necessary especially after the Kenyan government acknowledged that over the years there had been poor performance in the public sector. This was especially in the management of public resources, which was believed to be wasteful and hindering the realization of sustainable economic growth (GoK, 2005).

Performance contracting in Kenya, therefore, has its origin in the assumption that delivery of public service was falling below the expectations of the citizens resulting in a loss of confidence in government supported programmes. This drop in performance led to wastage of available resources. For these reasons, the government was faced with the challenge of improving service delivery, raising performance levels and restoring the

public's confidence in the public sector by ensuring customer satisfaction and results-oriented service delivery (Obongó, 2009). The need to redress the gap between performance and customer satisfaction in the public sector led the government into opting for the implementation of PCs in the civil service and state-owned corporations.

Akaranga (2008) observes that during the initial stage in Kenya, PCs were introduced on a pilot scale between the years 2004 and 2005. The evaluation that followed this piloting revealed an increase in pre-tax profits in government institutions that adopted PCs, and this justified the extension of the management tool to other public sectors.

By 2008, it was expected that all government ministries and state corporations would have formally implemented PCs. However, this objective was not entirely realized. Teachers employed by the TSC are still largely resistant to PCs (Godia 2012). In fact, teachers have not been officially committed to sign PCs. Through their unions (the Kenya National Union of Teachers and the Kenya Union of Post Primary Education Teachers), teachers resisted signing PCs. They argued that they have already signed permanent contracts with the TSC to provide teaching services to the Kenyan public. They further argued that due to the ever-increasing teaching workload as school enrolment expands without commensurate recruitment of more teachers, they are stretched beyond the limits. For this reason, teachers contended that they do not need to be committed to performance output measurement. Teachers also rejected the tool saying that signing PCs is not practical for them, given the difference in working environments that they are exposed to (*The Standard Newspaper*, May 15<sup>th</sup>, 2012:p1; *The Daily Nation*, February 3<sup>rd</sup> 2012:p1).

This resistance comes amid complaints from the public concerning the continued dismal performance in national examinations and falling standards in the basic education sector. This scenario obtains whereas the education sector remains key to the government's realization of national goals and aspirations as articulated in the Constitution of Kenya

2010 and Vision 2030 document. Thus, keen interest should be focused on ensuring education standards are maintained. Education is one sector whose performance cannot be ignored. A look at this all important sector, therefore, is inevitable in the efficiency building matrix. So next, we focus on why the concern with the education sector.

### **1.2.3 Concern with the Education Sector**

Performance contracting has been a matter of concern in the education sector in Kenya as well. Education in Kenya is expanding rapidly considering the growth in enrolment in public primary and secondary schools. In 1963 enrolment in primary schools stood at 891,533 pupils. In 2004, it stood at 7.2 million – with 3.5 million girls and 3.7 million boys enrolled – (Sessional Paper One of 2005). This figure increased to 9.4 million in 2012. At the secondary level, enrolment grew from 30,000 pupils in 1963 to 862,908 pupils in 2003 (415,246 girls and 447,662 boys). There was an increase from 1.1 million in 2008 to 1.85million in 2012. This increase in enrollment can be attributed to government interventions including Free and Compulsory Primary Education (FPE) and Free Day Secondary Education in (FSE) programme in 2002 and 2008 respectively.

This increase, however, has come with challenges. For example, the teacher-pupil ratio has expanded exponentially (MoEST 2012). This has resulted in reduced teacher-pupil contact thereby compromising quality. In this regard, to ensure that good quality of education is achieved, the Ministry of Education, Science and Technology (MoEST), through the TSC, adopted result-oriented measures through use of educational management tools. The emphasis on the use of tools such as the curriculum, schemes of work, lesson plans, lesson notes and examination performance of the pupils was aimed at achieving and sustaining high education standards. In fact, the MoEST has in the recent past come up with the concept of value addition (though not fully implemented) to measure the deviation index in examination performance.

The Basic Education Bill, 2012, has been assented into law. The Act gives teachers no other option but to sign PCs. The then Permanent Secretary (PS) for Education, George Godia insisted that teachers must comply with the new management tool or else suffer exclusion from annual salary increments. The teachers through their unions, on the other hand, have not received this statement kindly and have openly vowed to resist signing PCs.

In the year 2008, Karega Mutahi, then Permanent Secretary (PS) in charge of education observed that teachers are already under performance contracts. To him, PCs were in the form of schemes of work and lesson plans, and the ministry was only expanding its net to ensure a holistic approach to realising satisfactory results. This difference in opinion even among top managers in the Ministry further aggravates the situation. Given this scenario, teachers remain skeptical of PCs so long as the government does not clarify for them what extra value the implementation will add to their productivity.

The Parents' Associations, one of the biggest critics of the teachers' stand, has dismissed the teachers' vow and accused them and their unions of lacking insight into how low the standard of education in the country has dropped. The Parents' Association has tried to verbally coerce teachers into accepting PCs by use of threats and re-affirmation techniques to no success. (*The Star Newspaper*, 21 February 2012 and *the Daily Nation*, 26 June 2008).

This lack of consensus among Ministry officials' and threats from both the officials and parents only help to ferment the teachers' defiance. In any case, teachers answer directly to the TSC and not parents associations.

Teachers in Kenya are hired by the TSC, which was established by an Act of Parliament, (CAP 212 of the Laws of Kenya), in 1967. Today, its functions are clearly enshrined in the Kenyan Constitution 2010. Apart from its mandate to remunerate, deploy and



discipline teachers, the commission is authorized to ensure high teaching standards in public schools and tertiary institutions of learning. Owing to its control of a large teaching fraternity, the commission plays a crucial role in the implementation of education policies and pushing forward the national development agenda. There is, therefore, great need for efficiency in the execution of the TSC’s mandate.

To get to this significant workforce that the TSC superintends over, there is a stipulated chain of communication. Communication originates from the principal secretary to respective county directors of education to sub-county education officers who in turn pass the information to heads of schools and colleges all over the country. These institution heads in turn pass the communication to teachers, tutors, and lecturers. In this regard, pertaining to signing of PCs by teachers, the question is, could it be that the nitty-gritty of PCs has not trickled down to teachers due to a lapse in communication? Could this also be attributed to the teachers’ unions’ lack of commitment to change or sheer suspicion that the government is up to no good for the teachers? To answer these questions and understand the Uasin Gishu case, which is our sample study, it is prudent to give some background information on the education status of county.

#### **1.2.4 Education in Uasin Gishu County**

Since the introduction of Subsidized Secondary Education (SSE) in 2008, Uasin Gishu County has recorded a significant increase in enrollment since 2007. Table 1 shows the enrollment of students in secondary schools in Uasin Gishu County between 2007 and 2012.

**Table 1: Secondary school Enrolment (Uasin Gishu ), 2007-2012**

Year	Number of students
2007	23,444
2008	26,535

2009	29,251
2010	32,841
2011	34,810
2012	38,181
2013	41,071
2014	45,280
2015	50,964

**Source: Statistical Abstract,GoK (2013)**

The statistics reveal a growing demand for secondary education in the county. Secondly, it is quite evident that there is positive response to the SSE programme in the County. It is also noteworthy to state that Uasin Gishu is doing well in the Kenya Certificate of Secondary Education as compared to the other counties. For instance, the County took position four nationally in the 2013 Kenya Certificate of Secondary Examination (Education Magazine, March 2014).

Against this background, it is evident that the stakes in the education sector are high and the problem between teachers and the government cannot be down played. There is need to investigate the genesis of the standoff with a view to finding an amicable solution to save the crucial education. One of the perspectives this problem can be looked at and proposals for a solution suggested is communication. I, therefore, state the way in which this problem can be looked at from a communication perspective.

### **1.3 Statement of the Problem**

From the background information above, it is clear that the stalemate between the government and teachers on PCs is partly a communication issue. It is probable that the communication strategies adopted in the implementation of PCs have problems at one or

more levels, implying a communication breakdown between two communicants (teachers and the government). In this study, I break the problem down into three levels of perception: social, contextual, and academic.

**Social Problem:**

Criticism over the dropping standards of education has been a primary concern in the media, among politicians, the Ministry, and other stakeholders. Consequently, the Cabinet Secretary in charge of education appointed a task force on reforms to look into the state of affairs in the education sector and come up with recommendations for improving the otherwise dwindling standards. The Ministry has linked the dropping standards to the teachers' refusal to sign PCs and the frequent strikes that interfere with learning in public schools (*Daily Nation, 26<sup>th</sup> June, 2008*). More than nine million children are reported to miss classes, sometimes for as long as three weeks, while their teachers take to the streets to air their grievances. On the other hand, teachers feel they are not entirely to blame for diminishing standards, and the attempt to implement PCs is an attempt to shift blame. The blame-game standoff between the teachers and the Ministry is of a social nature that raises two questions:

- i) Has the MoEST or the TSC explained to the teachers, who are in this case the executors of performance contracting, what performance contracting is all about?
- ii) If yes, how was the communication done, through which channel, chain or strategy?

It is obvious that the MoEST is determined to maximize efficiency in the teaching profession. However, teachers do not seem to be enthusiastic to comply with the government's approach towards the realization of this goal. Yet, it is obvious that even the teachers themselves would delight in optimal performance manifesting in good grades for pupils in their examinations. It is this apparent paradox of expectation and the reality

that pertains among the workforce that is tasked with service delivery that is of interest to this study.

**Contextual Problem:**

Uasin Gishu is a unique county in the sense that it is semi-urban and fairly cosmopolitan, with Eldoret town as its headquarters. Though the Kalenjin community forms the majority of the population, there are other ethnicities including the Agikuyu, Abagusii, Abaluhya, Maasai, Luo, Indians, and some Europeans. It, therefore, represents the face of Kenya fairly well (Kenya National Bureau of Statistics, GoK 2009). Thus the manifestation of problems in the education sector in this county would mirror a near accurate national picture. It is prudent to note that as the government and teachers' unions argue, the standards of education in the country continue to take a nosedive. This problem, the government argues, can only be managed by ensuring that teachers sign PCs. However, the teachers feel insecure about performance contracting, hence their resistance towards its implementation. This feeling of mistrust in the teachers again raises two questions:

- i) Is there something the government is not doing right that is precipitating the teachers' resistance to signing PCs?
- ii) Are the teachers merely being stubborn or is there something that they are genuinely wary of in the government's policy that warrants a kind of negotiated compromise?

Thus, this study sought to find out what and how communication influenced the perception towards PCs, since as already stated elsewhere in this study, other ministries have managed to implement the efficiency monitoring tool.

**Academic problem:**

Although studies have been carried out on PCs, there seems to be no study from a communication perspective on performance contracting in Kenya. More importantly, little or no attention has been given to the message and its centrality in perception creation. It is my assumption that proper perception is needed for successful implementation of PCs. This study explores the importance of appropriate communication in organizational change management. Apart from the utterances captured by the media from politicians and top government education managers, there is lack of research-based information on why the teachers are against PCs. Such information would form the basis for discussion in trying to help the teachers understand what PCs entail and the Ministry to implement performance contracting. To be able to achieve the above aims, several research questions were raised as stated in our next section.

**1.4 Research Questions**

This study sought to answer the following questions:

1.4.1 What messages have been communicated to teachers on the implementation of PCs in the teaching profession?

1.4.2 How has the communication about the implementation of PCs in the teaching profession been managed?

1.4.3 What are the perceptions of key stakeholders in the MoEST on communication about performance contracting in the teaching profession?

## **1.5 Scope of the Study**

The scope of the study is explained in three parts: content scope, geographical scope and methodological scope, as follows:

### **Content Scope:**

In this study, I was primarily concerned with what messages have been communicated to the teachers on the implementation of the PCs in the teaching profession and the perceptions elicited by the messages. Basing on the first research question, I investigated what teachers understood a PC to be, what they were told it entails, the reasons given for introduction of PCs in the teaching profession and how its implementation would be monitored. I was also able to get the respondents' views on who exactly should sign PCs, when they should be signed and the consequences of not meeting set targets.

In relation to my second research question, I explored how the messages about the implementation of PCs were communicated to the teachers. I was basically investigating the media, channels, documents and strategies that were used in communicating information on the implementation of PCs.

In question three, I set to find out the perceptions held by the key stakeholders on the implementation of PCs. These were mainly principals and quality assurance officers. I was particularly interested in finding out how far their views were consistent with the government on one hand and teachers on the other. I was also interested in finding out their view on what mediation role they could play in the implementation of PCs.

### **Geographical scope:**

I have explained this in more detail in the methodology section (See Chapter Three). However, to shed a little light, I carried out the study in Uasin Gishu County. The issue under investigation is an emotive one and would not be deeply explored in an environment where the researcher is a stranger. Thus, being a teacher in Uasin Gishu, I was able to access the teachers with more ease and generated data with fair depth. In addition, Uasin Gishu County is typical of many counties that have been at the forefront of resisting PCs in teaching profession. Therefore, it is fairly representative of stakeholders' feelings across the country.

#### **Methodological scope:**

This was mainly a qualitative study (See Chapter Three) based on analysis of data gathered through interview. Apart from, this library research was carried out to put into perspective the concept of performance contracting both globally and in Kenya, before investigating the Uasin Gishu case. Chapter Three offers more detail on the methodology of the study.

#### **1.6 Limitations of the study**

Referring to the scope above, it is necessary to note that the study was limited to message, communication strategies and perceptions of both the teaching force and the stakeholders. While the administrative aspects of the PCs could have been useful in the content, they were not covered in this study because it would have made the scope rather too wide. This would have interfered with the effective coverage of the topic under investigation within the time and resources for a masters degree.

In terms of geographical extent, the main limitation is that the study only covered Uasin Gishu County and even here only six schools participated yet this is an issue touching on teachers across the country. However, bearing in mind the cosmopolitan and rural-urban nature of the county, it fairly represents the circumstance of the problem of study.

Lastly, the qualitative approach limits the study in terms of breadth as the main aim was to explore the perceptions held about PCs arising from messages received by teachers and other stakeholders from policy makers. However, this was compensated by the in-depth nature of the qualitative approach which made it possible to get more detailed data from the participants in their natural settings.

The limitations notwithstanding, I assure my readers that the rigour put into the execution of the selected scope was thorough and thus the findings are still trustworthy. I explain the justification to my study next.

### **1.7 Justification of the study**

There has been substantial research and writing on PCs in Kenya. For instance, Lings (2004) points out that in the implementation of PCs, many employers tend to ignore employees. Yet, employees are very critical in the production and service provision chains, especially those who interact directly with customers. Employees' attitudes and behavior directly influence the feeling and behavior of their clients. Beer (1980), Brockner et al. (1994), Lind and Tyler (1988) as cited in Sharma and Sahoo (2014) reveal that in the twenty-first century, organizations change processes have been conceptualized in a variety of ways, but the manner in which management treats and involves employees during change has received the greatest amount of attention.

So far, the way employees are treated has been shown to be a powerful determinant of individuals' reaction to significant organizational changes. Presumably reflecting the importance of people during change, recent reviews show that quality of communication (Miller and Monge, 1985; Robertson et al., 1993; Wanberg and Banas, 2000), participation, involvement and empowerment of employees (Abrahamson, 2000; Bordia et al., 2004) and training (Kotter and Schlesinger, 2008; Ledez, 2008) are important



antecedents of change management. This point is elaborated more in Chapter Two under review of literature.

From this review, very little has been said on the teaching profession. For example, Musya (2014) and Nyamu (2007) discuss performance contracting but they do not focus on the issue of communication in terms of what messages have been sent out to those signing (in this case teachers) the PCs and the perceptions elicited by the messages. There is need for transparency and clarity of communication so that none of the parties involved in the process of performance contracting feels short-changed. There is justification, therefore, for this study because communication and understanding of terms of engagement is vital for efficiency in organizational management. More on the need for this study is explained in Chapter Two.

### **1.8 Significance of the Study**

This study is timely to the Kenyan government, specifically to the TSC, considering that education is one of the fundamental pillars to the realization of development set targets enshrined in the vision 2030 and millennium development goals. For the achievement of these milestones, the Basic Education Act 2013 requires that all government-employed teachers sign performance contracts with a view of improving service delivery in the education sector. This is especially after many critics of the teachers' refusal to sign PCs have tended to draw a relationship between the failures experienced in the implementation of the 8-4-4 system of education and the refusal by teachers to sign PCs.

The study is relevant to the TSC and other education managers in the Ministry of Education, Science and Technology in analyzing thorny issues related to the cracks in the communication process in the implementation of PCs in the teaching profession. From the findings, it is clear that proper communication strategies, participation and inclusivity are necessary in unlocking the stalemate on and implementation of PCs.

## **1.9 Conclusion**

This Chapter has underscored the problems of the PC against a background of diminishing education standards. It has identified communication as the focus of this study. Hence, in the next chapter I review literature on performance contracting in relation to communication.

## CHAPTER TWO

### 2.0 LITERATURE REVIEW

#### 2.1. Introduction

In this chapter, I situate the issue of communication about PCs in organizational communication in the field of communication studies. The literature review carried out explores communication channels, specifically analyzing any links between the communication process used by the MoEST and the perceptions held by teachers and other stakeholders towards PCs. Ultimately, this review indicates an existing gap in knowledge on strategic communication, which I conclude is essential in instituting organizational change.

#### 2.2. Situating Performance Contracting within Communication Studies

As I stated in the previous chapter, this study is about communication on PCs within the teaching profession, especially in terms of messages, strategies, and perceptions. It is important to situate the study within the relevant field of Communication Studies because as I observed in Chapter One, the impasse seems to arise out of a communication breakdown or lack of it. To begin with, I define communication, describe organizational communication as a process, and illuminate its importance, networks, and channels.

##### 2.2.1 Definition of communication

Communication is variously defined but for purposes of this study, I refer to the definition by Pearson and Nelson (2008), which is widely used in the world. Pearson and Nelson define communication as a process of using messages to generate meaning.

Many managers spend much time gathering information that could be useful to their organizations and pass the same information to their fellow workers; with the aim of

bettering the organization. How they pass on this information to their staff is vital as it is bound to elicit certain reaction. Communication is a crucial tool in the implementation of any organizational policy since it aims at sharing information on decisions taken within the organization, which decisions may affect staff directly or indirectly. In this regard, communication about change within the organization should be handled carefully since it can excite anxiety and stress among staff. It is, therefore, important to provide valuable information that can help reduce stress and anxiety stemming from employee uncertainty about what precise changes will occur and how the changes will affect their jobs and how they should respond to the changes (Miller and Monge, 1985; Wanberg and Banas, 2000).

In Kenya, teachers' unions rejected implementation of PCs among their members, and threatened to call their members to strike in case implementation of the tool was insisted upon. Nyamu (2007) points out that the teachers' unions got it all wrong on PCs. This observation raises the question, what is this that the unions got wrong? Could it be that appropriate communication was not ensured in the attempt to implement performance contracting among teachers? As already mentioned, communication is core to organizational change and decision making. I assume organizations to be structured entities that have channels of reaching out to various cadres of employees in their different hierarchical capacities. If the government or TSC does not pay attention to the centrality of communication in instituting change then there is bound to be a problem. I assume that the MoEST and TSC have defined communication channels and structures of reaching the teaching force. To establish whether or not the government got its act wrong or right, it is important to understand the concept of organizational communication. Next we define organizational communication.

### **2.2.2 Organizational Communication**

Organizational communication is concerned with the communications and interactions among employees or members of a given organization (Cutlip et al. 2006). Deetz (2001) defines organizational communication as a way to describe and explain organizations. In this definition, communication is seen to be a central process through which employees and employers share information, create relationships, make meanings and establish their organizational culture and values to achieve organizational goals. It is a fact that communication is a core ingredient to the success of organizational change. Organizational change involves generating ideas, sharing new ideas within and without the organization and selecting the appropriate idea for incorporation into an organization's work chain. This process is a combination of people, messages, meanings, practices and purpose, and it is the foundation of modern organizations (D'Aprix, 1996). Communication indeed plays a significant role in all basic functions of an organization including informative, instructive, persuasive and integrative functions. Berger (2008) observes that this perspective of organizational communication is gaining wider acceptance as more organizations recognize the role of communication in dealing with complex issues and rapid changes.

In this study, the MoEST as an organization is working towards implementation of a policy in the teaching profession. However, this process has been met by resistance. The big question, therefore, is what could be the possible reason for this resistance? The government of Kenya since 2008 has threatened through the media to sack teachers, but the teachers to this date have not signed PCs. Could it be that the teachers know it is not proper for the government to communicate to them through the public media without engaging them directly via established official channels of communication or through their unions? If this is the case then there is need to think about and come up with better

interactive feedback and decision-making processes that can avert the current resistance. In the next section I put in perspective the need for organizational communication.

### ***2.2.2.1 Why Organizational Communication***

Harris and Nelson (2008) observe that communication is one of the most dominant and important activities in any given organization. This is because relationships grow out of communication, and the functioning and survival of organizations is based on effective relationships among individuals and groups.

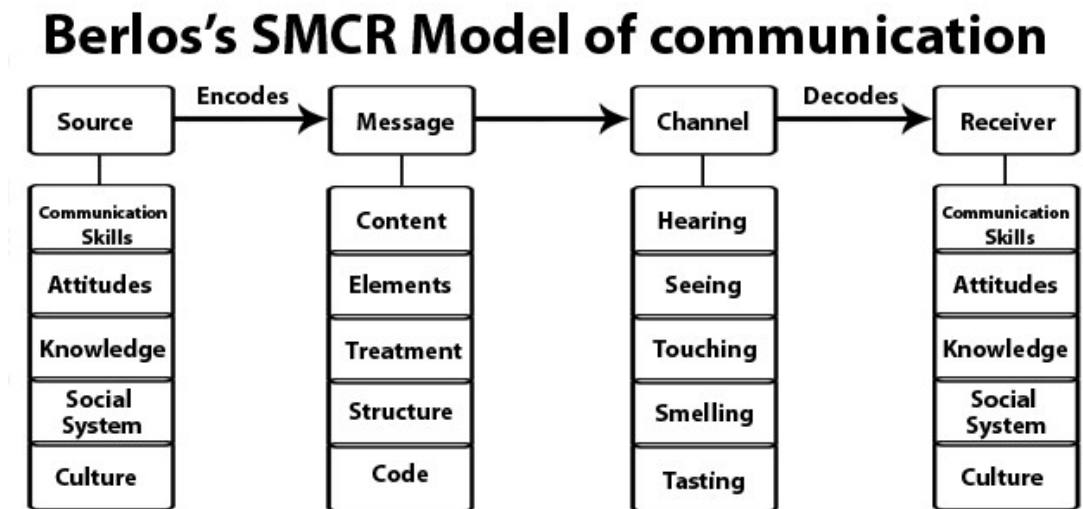
Communication helps individuals and groups coordinate activities to achieve goals. Thus organizational communication is vital in decision making, problem-solving and change management (Jones et.al 2004). However, it is imperative to understand that resistance accompanies change (Sharma and Sahoo 2014) and organizations have to find ways of navigating around resistance. Recardo (1991) as cited in Sharma and Sahoo (2014) identify tactics that can be used to reduce employee resistance to change including: identifying and delivering education (message), providing two-way communication, involving impacted groups, providing appropriate performance measures and rewards, avoiding sending mixed signals, modifying appropriate subsystems, supplying adequate resources, replacing key individuals who do not have the needed skills/attributes or who choose not to support the project. This array of measures aims at averting resistance and should be deployed prior to implementation.

In this study, the implementation of PCs is the change that the TSC wishes to institute; but the teachers have resisted this change. There is need to find out the genesis of the resistance and what role communication can play to avert the stalemate. Kotter and Schlesinger (2008) maintain that if resistance stems from employees' lack of information, then education can be used to communicate the reasons for the desired change. Agreeing with Kotter and Schlesinger (2008), therefore, I contend that information, referred to as

the message in this study, is very vital in successful organizational change. This study attempts to identify the message that the government sent out to teachers about PCs.

### 2.2.2.2 *The Communication Process*

In this study, I adopt Berlo's, S-M-C-R model. In the model, information originates from a source (S) as an encoded message (M) and it is delivered through a channel (C) to the intended receiver (R) who decodes the message. I found the model appropriate for this study because of its interactive perspective. Berlo recognizes that there is shared communication knowledge between the sender (source) of the information and the recipient (receiver) that leads to effective encoding and decoding of the message. This is what makes the communication process interactive. However, Berlo's communication model does not take cognizance of feedback of the receiver of the message. In my adoption of the model I look at the feedback from the receiver of the message as this confirms whether or not the process of communication is successful. In addition, this makes the communication participatory and completes the process. The model abbreviated SMCR is graphically presented as follows:



Berlos's model of communication takes into account the emotional aspect of the message. In the model, the source or originator of the message defines the information to be sent by thinking about the aim of the communication. This is done with the help of communication skills, attitude, knowledge, social systems and culture. The message entails putting the information to be sent in a form that is suitable for both the aim (intention) and receiver. In most cases it involves putting an idea into words. This process is also called as encoding. The process is fraught with problems. Whenever we try to communicate, often times something gets in the way, hence we may not be understood in the manner we intended. In addition, even when we are understood, we often fail to get people to think or act in the way we wished them to (Stanton 2009).

How an idea is communicated, therefore, is vital because it produces reaction in the receiver (the understanding and action resulting from this). The reaction is dependent on a variety of aspects that comprise a message. A message comprises the content, element, treatment, structure and code and it is transmitted through a channel. Channel refers to the medium the information flows through from the sender to the receiver. Finally, when the message reaches the receiver, he or she tries to interpret and understand what the sender actually wants to convey and then responds accordingly. This is also called as decoding.

For decoding to take place, the receiver should be on the same platform as the sender for smooth flow of information and correct understanding of the message. The receiver should possess good communication skills to understand what the sender is trying to convey. He or she should have the right attitude to understand the message in the right way and should possess knowledge at par with the sender about the subject. The receiver should also be from the same social and cultural background like the speaker. This shared knowledge and background between the sender and recipient of the message is the basis



of the process of encoding and decoding and where there is deficiency, then effective communication cannot take place.

However, whereas I espouse Berlo's model, it has several shortcomings. The main shortcoming of the model is the assumption that the sender and the recipient of the message operate on the same footing for effective communication to take place. Sometimes this might not be the case particularly due to the communicants' differences in communication competence. Secondly, the original model does not consider feedback and final reaction, yet in my view, these two are very important aspects of any communication process. It is from the feedback and the end reaction of the receiver that we are able to tell the success level of the communication process. In this study, feedback and reaction are incorporated as they form the basis of measuring the success of the communication process.

### ***2.2.2.3. Communication Network***

A network represents how communication flows in an organization (Berger, 2008). Networks can be formal or informal in nature. In a formal communication network, messages are sent through officially established, thus well-known pathways like circulars, newsletters, memos and policy statements. In an informal communication network, messages have no specific paths and do not follow any hierarchy. This can be casual talk about the boss, the organization, and even colleagues. Although most managers could ignore this network, employees believe they are more authentic than formal communication (Burton 2008).

Communication can also be said to be vertical or horizontal. Within the vertical network is the downward and upward flow of information. Downward flow of communication entails decisions made by top managers being cascaded down to the subordinates for

implementation whereas in an upward strategy, managers depend on the lower rank employees to supply them with information on the state of the organization. In a horizontal strategy, information flows from one department to another so that employees can catch up with what other departments are doing to reduce chances of role duplication. This study revealed that in the MoEST, the downward communication network is used. This network is mostly regarded as dictatorial because the employees have no platform to question or seek clarification on matters.

#### ***2.2.2.4. Communication Channels***

A communication channel refers to a physical transmission medium. This includes print media (memos, newsletters, reports, gazette notices, policy statements and annual reports), face-to-face channels (speeches, team meetings) and electronic channels (email, blogs, TV, instant messaging systems, telephone, fax). Communication channels are used by organisations according to their suitability. For instance, choice of a channel may be made depending on expediency or formality of communication. This study confirms communication strategies as important in any organization's management ostensibly because I look at any organization as a social interaction space.

#### ***2.2.2.5 Successful Communication***

It is important first to understand that communication is intentionally supposed to help people share thoughts and feelings in an organization or community. It is from this point that the diverse ranges of people become one and start looking at notions and decisions in an organization as one entity. In a corporate communication channel, for employees to achieve productivity and satisfaction, information must be passed on appropriately in order to create a seamless entity. This in turn guarantees the realization of set goals. For example, information about changes in employee benefits and management strategy should be communicated to all employees. This allows for consensus in the decision-

making process rather than relying on decrees from top management. The channels used in passing the communication should, however, not jeopardize the management's efforts in timely decision making for better interests of the whole organization.

Good communication in an organization heavily depends on good communication skills in the information chain. That is, the formal flow of information follows the official chain of command. Communication that originates from both within and without the organization must, therefore, be honest, open and clear because it allows employees to perceive the needs of the stakeholders. It is, therefore, worth noting that the communication climate will make an organization suffer when management distorts or ignores information from lower levels or when management limits the downward flow of information to employees. Many large organizations make it difficult for any one person or department to make decisions without consulting other departments in the organization (Stanton 2009). In the case of the standoff between the government and teachers, the question is, could this be because the teachers need to be accorded a chance to voice matters that they think concern them?

If this is the case, then it is important that the MoEST sets up a comprehensive and systematic framework for effective communication. For successful implementation of new policies, effective communication strategies must be developed in the Ministry. The communication strategies should have objectives that ensure accurate conveying of information to avoid rumours, misinterpretation and unfounded opposition to innovations that are intended to bring positive change in the organization. Good institutional communication should ensure involvement and support of employees (ADEA vol. 14). In this study, it is apparent that good institutional communication could be missing. Next, I look at what crisis in communication is and how it can be avoided.

### **2.2.2.6 Crisis Communication**

Organizational communication is made up of similarities in the content of its messages: the social motives, themes, and topics being expressed in the communication (Yates and Orlikowski, 1992). In issue management, communication refers to an organization's management of issues, its image and identity (Kuhn 1997). For this study, I adopt the term issues to be an aspect of the crisis. These issues, I believe, arise from the message(s) sent, hence are critical in shaping the campaign towards the implementation of PCs among teachers.

For purpose of this study, a crisis refers to a stalemate caused by indecision. Change is one of the causes of crises in organizations. This is often because of the failure of the intended group to identify with the change. This could be the case with the MoEST in the implementation of performance contracting. Change, however, small must not be ignored as it could create disturbances that could cripple the whole system. For this reason, in case of a crisis in an organization, it is expected that a quick, persuasive and relational decision is made and communicated to the relevant persons. However, this cannot be done if the organization has not acknowledged the presence of a problem. In this study, I pose the question; has the TSC admitted the possibility of a crisis?

It is noteworthy that the way an organization handles a crisis can have a profound impact on the organization's subsequent performance. In this study, the hard stance taken by both the teachers and the TSC have created a stalemate especially at a time when criticism of the education sector failing to meet the needs of a developing industrial economy is rife. Are the utterances from the then permanent secretaries (now principal secretaries) and politicians, for example, a sign that the teachers' managers have lost their decision making abilities and given way to coercive threats in order to contain

discontent? It is desirable that when handling this issue the government should be careful not to disenfranchise its employees as this is bound to be counter-productive.

According to Richard Branson (*The Daily Nation*, August 28, 2012:14), if you are leading a company or organization where there are unions, it is essential to set up excellent communications with union leaders, especially in tough times. This is because when the employees feel that their concerns are not being addressed, the workers turn to their unions for help. Teachers have the strongest unions in the country. These unions are meant to be go-betweens negotiating for the teachers with the government through TSC. However, when it comes to articulating the teachers' demands, these unions become impediments to consensus. For instance, the unions' demand for a 300% pay rise for the teachers in the recent past was termed unrealistic and untenable. The question is do these unions put into consideration the government's capability to meet their demands or do they just make demands to raffle the government? This tendency by the unions is what, perhaps, makes the government counter their hard push with a apparent arrogance and indifference (*The Daily Nation*, August 23, 2012:14). This, again, raises the issue of appropriate communication.

#### ***2.2.2.7 Commitment to Ethical Communication***

As mentioned earlier, teachers have been threatened with sacking if they do not sign PCs by the Ministry. What is interesting is the fact that it takes a long time to train teachers and for teachers to gain enough teaching experience to enable them to teach effectively. What one finds curious is the manner in which top officials have handled communication to teachers in a situation that requires official decorum and etiquette. One is bound to ask, is this kind of communication the cause of the teachers' adamant attitude? Again, one may ask is this style of communication ethical? Could the knowledge by the teachers of

their collective bargaining power through unionism be a contributing factor in their reaction to Ministry's kind of communication?

Ethics refers to principles of conduct that govern a person or group. Adherence to ethics is a crucial factor in effective communication. Ethical communication is considered trustworthy, fair, and impartial and respects the rights of the people involved and considers the impact it will have on the recipients. Unethical communication is regarded as selfish and unscrupulous. Human language itself is made up of words that carry values. Thus, expressing issues in a certain way influences how people perceive the message and shapes expectations and resultant reaction. The government bigwigs have been reported in the media threatening to sack teachers and paralyze the operations of the teachers' unions over their resistance to the signing of PCs. Could these utterances in a way have hurt the ego of teachers and, therefore, perceiving the move as coercive? Again, I raise the question, is it ethical for top public officials to communicate what is government policy through the media? What does it take to make one feel respected and persuaded in the communication chain? Considering the reaction that this channel of communication has elicited from the intended recipients of the message, it is imperative that an alternative way of communication be sought in order to avert the looming crisis in the teaching profession.

#### ***2.2.2.8. Dialogue***

Dialogue is an integral part of human communication. Dialogue is understood as a conversation or talk between two or more people. In this study, however, I adopt Jenlink and Banathy (2005) definition of dialogue as a collective communication. Dialogue, in their view, maybe generative in nature as well as strategic. It may be seen to be generative with regard to sharing of thought and knowledge of individuals to transform

existing beliefs as well as creating innovations. It is strategic in the sense that there could be a set agenda or subject that is discussed, debated, disputed or negotiated collectively.

In this study, the teachers and the government hold different positions and, therefore, beliefs concerning PCs. There is need for the two parties in the communication chain to dialogue, cede ground and come to a compromise of sorts.

Dialogue may also be seen as strategic or positional about implementing or introducing new thoughts into a cultural setting. This study posits that dialogue is a strategy that can be used in resolving the standoff between teachers and government because through it vital information on innovation and PCs can be passed down to the teachers and a point of consensus reached.

### **2.2.3 Policy Implementation**

Policy is defined as a course or principle of action adopted or proposed by an organization or individual. Policy in this study is primarily concerned with two issues; the problem and its solution. The realization of policy is always achieved through analysis of the problem in a deliberate way to understand and, therefore, prioritize the issues. This in the end helps in formation of a strategy for policy formulation and implementation (Adan and Pkalya 2006).

In this study, the PC is a public policy that the government has proposed to the teachers to address the issue of alleged falling standards of education in Kenya. The question that arises is, has due process been followed in implementing the PC as a new policy? For successful policy implementation, full participation of the implementers and the users is inevitable. In addition, both parties in policy implementation should be made aware of what the problem is and how the proposed solution tool will work to help alleviate the situation. Therefore, to be able to draw a connection between the government's policy

proposal and the anticipated gains, and how teachers should understand it, I look what a performance contract entails.

#### **2.2.4. Review of Literature on Performance Contracts**

From the two definitions given earlier in Chapter One, I note that a PC is a freely negotiated management tool between the policy maker (government) and the management (principals/teachers) of the institution adopting the tool. Therefore, the government's role is supervisory and not controlling in the process of contracting. For this reason, the government's primary responsibility in performance contracting is to set objectives, appoint managers, evaluate performance, approve investments and do sectorial planning and coordination in the organization. Because it is the appointing authority of managers, the government should, reward or penalize management respectively, if the set objectives are attained or not. However, the government (as the policy maker) is expected to stay out of the day-to-day operations of the institution.

Critics of performance contracting as a management tool have faulted the restricted freedom granted to implementers. Gianakis (2002) argues that the rules and regulations in most cases enshrined in PCs hinder decision making. Having had a chance to study a few PCs from other sectors, I would be reluctant to buy this argument because PCs clearly outline the obligations, responsibilities and the expected end results of each employee in the organization thus making decision making easier. The tool contains contractual clauses, which state both the financial and physical indicators of performance against which employees should be appraised. This in my opinion also promotes fairness during appraisal. However, the whole process could be very strenuous and stressful especially when it comes to the compiling of reports from all employees and at times when the government does not own its part of the bargain of providing enough resources to facilitate the implementation of policies and programmes (for instance, the perpetual



delays in disbursement of FSE and FPE funds to schools) yet the targets must be met. This challenge notwithstanding, I argue that PCs are a necessary tool because laissez-faire institutional management is a recipe for chaos, particularly with regard to use of resources.

#### ***2.2.4.1 Why PCs are significant***

This tool was set to ensure maximum growth, development and effectiveness in a competitive market, which public servants had fallen short of. In the education sector, criticism pointing to the failure of the sector to meet the needs of a developing industrial economy makes the tool (PC) critical to alleviating the problem. It is also important to note that development and education are inseparable. And the feeling that the teaching and learning process in many institutions either in the classroom or elsewhere has not produced desirable outcomes prompts the examination of what has gone wrong. The implication of this insistence on performance contracting is that if education efficiency and effectiveness are observed, then development is guaranteed.

Performance contracting was purposed to clarify objectives and reconcile priorities so that management is held accountable for outcomes. In performance contracting, agreed objectives are set and met within a stated period. In the education sector, the curriculum is taken as the blueprint for the functioning of the education system (Scheerens1997). It is, however, worth noting that teachers have been accorded the opportunity to exercise some autonomy in the implementation of the curriculum. That is, every teacher is provided with the curriculum as stipulated by the MoEST but how to go about its delivery purely depends on each teacher. Nevertheless, if clear targets are set in articulating the curriculum, then it could function as a coordination mechanism among teachers.

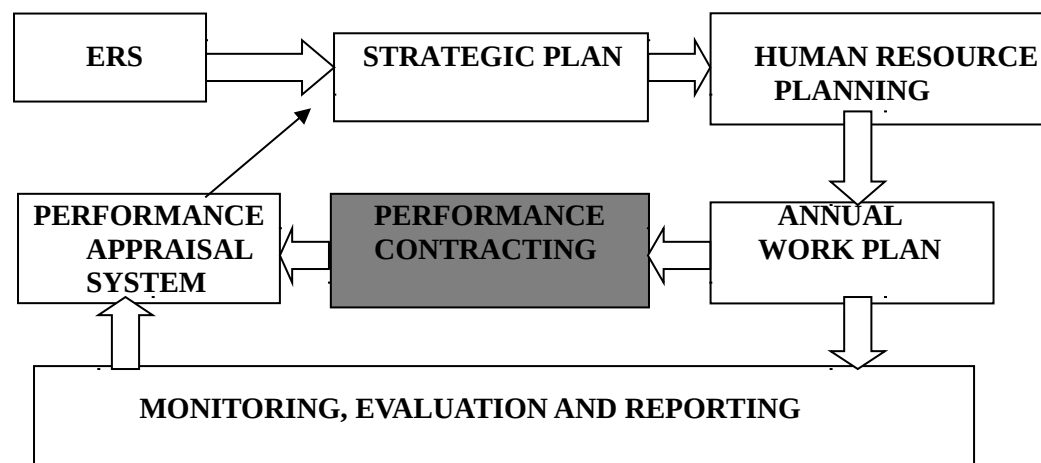
This autonomy may well be seen to be reflected in the results at the end of the four-year learning process, at secondary school level. One student, for example, may have performed very well in some subjects and poorly in others. This may be seen as a result of inconsistency, which indirectly points to the differences between teachers or the running of departments in the same school. It is important to note that the above example applies to an individual institution and it is not in comparison to any other institution due to variation in factors like entry behavior, infrastructure, access to information and teacher/pupil ratio. The PC is, therefore, imperative in spelling out targets that could bring together individual teachers and different departments in school to a common target.

#### ***2.2.4.2 The Process of Performance Contracting***

Performance contracts over the years have proved efficient especially in spelling out the desired end results expected of an officer who has signed it. It is more than a process of documenting and delivering feedback. The performance contracting process involves four stages:

1. Work plan management – this is based on plans and other organizational schedules that are set to determine the levels of responsibility for workers. It also sets out how the performance will be evaluated against the set objectives.
2. Skills development – the staff and implementers identify and agree on the learning, development and information need to be met by members.
3. Performance monitoring – the staff provides regular feedback to the manager on their progress in achieving set objectives.
4. Rewarding outstanding performance – top performers need to be rewarded in various ways ranging from recognition to promotion and provision of other incentives.

Given the above process, it is evident that performance contracting requires close coordination of the two parties getting into contract. In this study, the two parties are the TSC/government and the teachers. Why then is the TSC not following the due process especially avoiding the significant aspect of establishing a shared understanding of what is to be achieved and how? In my thinking, this is the cause of mistrust hence stalemate. The figure below illustrates the whole process of performance management cycle as described by Kobia and Mohammed (2006).



**Figure 1: Performance management cycle**

From the figure above, I wish to state that teachers are already into performance contracting only that they may not be in the know. Each school, for example, has a strategic plan from which they derive annual objectives. At the end of every year, they check with the strategic plan to see what they have been able to achieve. For students' assessment/evaluation, this is done in relation to the specific objectives stipulated in the schemes of work and lesson plans. Clearly, we can see this is partly what performance contracting stipulates. It is only the knowledge in the implementation by the TSC that is causing anxiety and suspicion among teachers and their unions.

### ***2.2.4.3. Communicating Performance Contracting***

With the government's acknowledgement that there had been poor performance in the public sector and hence a failure to the realization of sustainable growth (GoK 2005), there is need to remedy the situation. One of the ways of doing this is through the implementation of PCs. However, this initiative has often been frustrated by political interference and a lack of performance information system (GoK 2005). The realization of failure by the government and its aspiration for a remedy poses imperative questions for the study. The first question being; if this is a "good" tool, why is it facing political interference? Secondly, could it be that only a few people in the country understand the rationale for implementing performance contracting in the public sector?

Kobia and Mohammed (2006) in a study carried out among 280 civil servants attending a senior management course at Kenya School of Government observed that only 57 had received training on performance contracting while 212 had not received any. On the other hand, Akaranga (2008) points out that in preparation for implementation of PCs in the ministries/departments and state corporations, a series of sensitization workshops targeting key stakeholders were conducted in 2004. This obvious contradiction points to a failure in the system. So could it be that sensitization stopped at the workshops with the handful that had been sensitized? If this is the case, then could the teachers be right to reject the tool with the reason that they had not been sensitized on the same?

Given the foregoing observations, it is evident that there is a communication failure in the channels the government is using; and possibly, there is lack of a clear message sent to the teachers by the MoEST on the implementation of PCs. This lack of clear communication on the need for PCs may be the primary cause of the hard stance attitude by teachers. To pursue this argument further, it is better to put it in relevant theoretical

framework. In the next section we review some theories on the process of communication.

### **2.3. Review of Relevant Theories**

According to the Prospect Theory also known as the messaging and framework theory (Tversky and Kahneman, 1992), people do not just make decisions by weighing different options, costs and benefits of given policies, then choose one that will benefit them most, instead people develop different interests or preferences based on how the message was developed and communicated. The theory is based on the following assumptions;

1. Information and the choices to be made can be framed in very many different ways.
2. The criteria individuals use to make decisions are controlled partly by the way in which the problem is presented and partly by the decision makers' norms and habits.
3. People may make choices that are less beneficial to themselves than might be expected based on how information is presented.

In this study, the message and how it is presented are very important constructs because of their role in change implementation. These two constructs have a potential of affecting one's attitude towards a certain policy. According to this theory, it is clear that before implementing the PC, the government should try to get the teachers and their unions to be involved by giving them sufficient information on performance contracting and allowing them to make decisions on its implementation. In addition, the government ought to understand that there can be no action unless there is a will to do so. This can only be achieved if the teachers hold the right attitude towards the implementation of PCs. A review of literature on how performance contracting has been done elsewhere is important in understanding good practice for implementation.

## **2.4. Review of Literature on Related Studies**

Although there appears to be no literature on resistance to implementation of PCs, scholars (Steiner, 1983; Kobia and Mohammed, 2006) have pointed out that there is need for the government to show its commitment especially in resource allocation. Steiner (1983) thinks that the failure of strategic planning systems to link planning and resource allocation eventually makes managers believe that the PC was of little or no value to the organization. Kobia and Mohammed (2006), on the other hand, believe that the government should not only allocate adequate resources to public institutions but also honour their financial commitment in order to facilitate achievement of set targets.

Given the above assertions, it is important to find out if the government has provided schools with adequate resources for reciprocal effect in performance. This is more so since the introduction of government subsidies to schools. The question is, while the government is demanding for efficiency from teachers and heads of institutions of learning is it remitting enough financial assistance to schools? And, is this done in good time for prior planning and budgeting?

While it seems universally acceptable that PCs are a good way to improving performance, (Muralidharan 1997; Kobia and Mohammed 2006) the whole process should be owned by the clients for better results. Muralidharan (1997) argues that clients of a PC, being the main beneficiaries, should be involved in every process of implementation. Kobia and Mohammed (2006) support this and add that the process should be institutionalized to create ownership of the PC rather than using external parties. Kotter (1990) and Kotter and Schlesinger (1979) (cited in Sharma & Sahoo 2014) argue that involvement is vitally important in dealing with resistance because it entails dialogue about the rationale, context and meaning for the change and it accords an opportunity for people to express their concerns, ideas and suggestions .

In this study, I consider teachers and the immediate supervisors of the education system to be the “people” who should be accorded the opportunity to air their “concerns, ideas and suggestions”. Therefore, if involved in the process then the resistance that has been witnessed might be resolved, and, therefore, successful implementation of the PCs assured.

In terms of evaluation, Akaranga (2008) argues that for the PC to have an impact on the populace, then the evaluation of performance should not only be done by government but also by other service users. This is probably because the governments’ performance will also be put to test hence eliminate laxity from any party. However, The World Bank Development Report (2007) points out that there is no direct accountability of service provider to the consumer in situations where the government takes responsibility for services in sectors such as health, education, water, electricity and sanitation (World Bank 2003). If the government is committed to improving performance and service delivery, then it should be held accountable to set an example to management.

From the literature reviewed on performance contracting in Kenya, it is clear that there is very minimal or no focus on the message and the perceptions elicited during policy implementation process. This dearth of information on how the message and how it is channelled or packaged affects policy implementation forms the lacuna that this study aimed at covering.

## **2.5. Rationale for the Study Based on Literature Review**

From the literature provided, it is clear that the governments’ push for the implementation of PCs in the teaching profession is for a good cause. However, the process has met resistance from teachers and unions who are accusing the government of sinister motives behind the implementation of performance contracting. There is a pointer to failure in the communication process by the Ministry concerned and hence a failure in the process of

implementation of policy and change. It is also important to mention that the failure to follow the fundamental stages in the process of performance contracting by the MoEST could be blamed for the stalemate. Below are the key points from the literature review that inform my study.

Table 2: Key points from Literature Review

<p><b>Situating the topic within Communication Studies</b></p> <ul style="list-style-type: none"> <li>➤ This study is situated in the field of communication studies which occurs in four contexts namely: intrapersonal communication, interpersonal communication, public communication and mass communication. This study is situated within the small-group communication under the interpersonal communication context.</li> <li>➤ This study is situated within organizational communication, specifically in the area of organizational change.</li> </ul>
<p><b>Review of relevant theories</b></p> <ul style="list-style-type: none"> <li>○ <b><u>Prospect Theory</u></b></li> <li>➤ This theory by Tversky&amp; Kahmen (1992) proposes that people do not just make decisions by weighing the different options, costs, and benefits.</li> <li>➤ The criteria individuals use to make decisions are controlled partly by the way in which the problem is presented and partly by the decision makers' norms and habits.</li> <li>➤ People may make choices that are less beneficial to themselves than might be expected based on how information is presented.</li> </ul>



## **Review of relevant studies**

### Involvement

- Clients of the PC, being main beneficiaries should be involved in every process of implementation.
- To create ownership, institutionalization of the PC from within the organisation is necessary, rather than using external channels like the media.

### Evaluation and Resources

- Government should show commitment, especially in resource allocation and prompt disbursement.
- Evaluation of performance should not only be done by government but also by other service users
- Government's performance should also be put to the test.
- The failure of strategic planning systems to link resource allocation and planning makes managers believe that the PC is of little or no value to the organization.

## **The Gap that my study contributed to the study**

Based on the review of relevant literature, the following issues emerged:

- There is no focus on the message and perceptions elicited by the message during the implementation of PCs.

There is almost no literature on communication strategies to be used during the implementation process of PCs.

Furthermore, there is hardly any documented research on the role of communication in addressing resistance towards implementation of PCs.

## **2.6 Conclusion**

Generally, from the foregoing review, it can be realized that the issues of message, strategy and perceptions have come out as key in communicating policy implementation. However, these have not been studied in relation to PCs in Kenya, specifically in the teaching profession. Thus there is a need for more research in this area, because what has mainly been reported is what informed the introduction of PCs. Ultimately, the study contributes to the literature on organizational communication. In the next chapter, I detail the methodology that guided this study.

## **CHAPTER THREE**

### **3.0 RESEARCH METHODOLOGY**

#### **3.1 Introduction**

This chapter begins with a discussion of the research paradigm that guided this study and the approach that was adopted. The chapter also describes the research method used followed by the sampling procedure. The chapter then discusses the instruments of data collection and how the data was analyzed. Finally, it outlines ways in which ethical issues were handled.

#### **3.2 Research Paradigm**

In this research, I adopted the relativist ontology and interpretivist/constructivist epistemology which operates on the premise that knowledge in the social sciences and the way it is studied is dynamic, contextually governed and dependent on the perceptions of participants (Creswell, 2009; Denzin and Lincoln, 2005; Jwan and Ong'ondo, 2011). Matheson (2004) defines relativist ontology and interpretivist/constructivist epistemology as a view point that seeks to generate data from people themselves with an intention of getting knowledge about their perceptions, interpretation and general understanding of issues that affect them in their contexts. This premise I found to be well fitted for the purpose of this study because in my data collection and analysis I sought to find out the understanding and perception of teachers, institution heads and other stakeholders (QASOs and unionists) of performance contracting.

In my understanding of the relativist/interpretivists paradigm, I hold the view that communication in implementation of PCs in the teaching profession is a social and contextually governed issue that inevitably attracts various interpretations. I also took the view that the perceptions and interpretations held by the teachers and others stakeholders

differ. Thus, interaction during the interview sessions was beneficial to gaining in-depth understanding of the subject under investigation.

It is noteworthy that the relativist ontology and interpretivist/constructivist epistemology assumptions I adopted influenced the kind of questions I asked and, consequently, how I deciphered the responses received. Klenke (2008) argues that it will be impossible to conduct research without understanding its philosophical underpinnings. With this in mind and this being a qualitative research, I adopted a theoretical approach that serves the objectives of the study.

### **3.3 Research Approach**

In this study, I adopted the Qualitative research which involves in-depth interviews and/or observations of humans in natural and social settings and seeks answers to questions that stress how social experience is created and given meaning (Denzin and Lincoln, 2005; Litchman, 2006). In addition, unlike other types of studies, qualitative research values direct observation and interaction between the researcher and the phenomena being studied (Yin, 2011). This approach thus required me as a researcher to interact with the respondents at their places of work; which are relatively natural settings. For better understanding of the teachers' perceptions on the communication on PCs, I spent time with the respondents and this created a casual environment that enabled me to see the emotions that were elicited by issue under study. This also enabled me to explore the extent of the respondents' interest on the issue under study.

The main aim of qualitative research is to generate ideas or concepts that cast new light on the issues being investigated (Gomm et al 2000 as cited in Jwan & Ong'ondo, 2011). In this regard, it was suitable for my study because I focused concepts (messages and the perceptions) that had not been elucidated by prior studies.

The study aimed mainly to capture the meanings made out of the communication on PCs hence the perceptions and attitude towards the issue under study. Equally important was a close follow up on the mass media for messages on the need to implement PCs to keep track of the extent of the conflict or contradiction of what is communicated. In qualitative research, such subjectivity is not seen as a weakness, but rather as an essential element of understanding (Denzin & Lincoln, 2005).

For this study, the qualitative approach was appropriate because it paid attention to individual thoughts, feelings, attitudes and interpretation towards implementation of PCs among teachers. This approach guaranteed in-depth investigation and ensured detailed information from the respondents on communication on PCs by the Ministry/TSC. I presented the data using thick description that included participants' voices on the issue under study.

### **3.4 Research Method**

This was a case study research. I define my methodology according to Yin (2003) as cited in Jwan and Ong'ondo (2011) who define it as an empirical inquiry that investigates a contemporary phenomenon within its real-life context especially when the boundaries between the phenomenon and the context are not clearly evident. In this study, the PC is a contemporary management strategy adopted by the government to improve the quality of service in government organizations. In this research, the government is working towards implementation of PCs among teachers.

I used case study method because it best answers the questions how and why. It is also best suited because it focuses mainly on detail and natural order of events, seeking to extract meaning and theoretical statements from the data (Payne, 2004). Case study, according to Jwan & Ong'ondo (2011), there are three types of case study: intrinsic, instrumental and multiple case studies. This study adopted the instrumental case study

because my focus is on the issue of PCs and thus the case (Uasin Gishu County) is of secondary interest.

This study was characterized by studying the messages sent to teachers on the implementation/adoption of PCs by the MoEST and TSC. This was done by not only focusing the research on structural interview but also engaging unstructured data collection strategy such as informed talks on the issue. This constant interaction with the teachers helped me to understand their perceptions and attitudes towards the idea of implementing PCs naturally rather than the structured interview setting that is seen by some people to be rigidly formal.

In this study the entry behavior and available resources of the sampled schools were considered as relevant data. This is because the two parameters seemed to influence the feelings, attitude and interpretation of the respondents on the issue under investigation.

### **3.3 Sampling**

This study was carried out in Uasin Gishu County in Kenya. The County is made up of three sub-counties: Eldoret West, Eldoret East and Wareng. Uasin Gishu County's headquarter is Eldoret and has 177 public secondary schools with approximately 1,500 TSC-employed teachers. In terms of population, this is one of the most cosmopolitan counties in Kenya (Population and Demographic Survey 2009). As a county, Uasin Gishu performs relatively well in KCSE. In the year 2013 KCSE, the county emerged 4<sup>th</sup> nationally (Education Magazine 2014). For these reasons the information received from the county is representative of the country.

The study targeted teachers and principals because they are the intended implementers of performance contracting, thus the main beneficiaries. The area of focus as stated elsewhere was Uasin Gishu County. The choice of qualitative research purposed to yield data rich in detail that would give a national outlook on the issue of performance

contracting. According to Creswell (2003) the qualitative researcher views social phenomena holistically and broadly, in a panoramic view rather than micro-analysis. This view of qualitative research, hence justifies my sample size. The following table presents the study's sample.

**Table 3: Research sample**

District	Position	Participants	Total
Eldoret West	Teacher	4	7
	QASO	1	
	Principal	2	
Eldoret East	Teacher	4	7
	QASO	1	
	Principal	2	
Wareng	Teacher	4	7
	QASO	1	
	Principal	2	
Uasin Gishu County	CQASO	1	2
	CDE	1	
Unions	KNUT	1	2
	KUPPET	1	
<b>Total</b>			<b>25</b>

In the sample, the teachers and principals form a group of the communicants that are the expected implementers of performance contracting in schools. The CDEs, CQASOs and QASOs are the immediate supervisors of principals and teachers as mandated by the MoEST. Apart from being supervisors, they address the teachers' welfare within their jurisdiction. Finally, KNUT and KUPPET officials are unionists representing teachers. Their mandate is to defend the rights of their member teachers.

According to Creswell (2003), the idea behind qualitative research is to purposefully select respondents of sites that will best help the researcher understand the problem. Owing to this, I purposively sampled six schools (two per district) according to performance. Apart from the respondents' attitude towards performance contracting, I was also compelled into drawing a relationship between performance of pupils in the schools and the attitude towards implementation indexes.

### **3.4 Data Generation Process**

Data collection for this study took one month. During the process, I was in constant consultation with my supervisors and also used close reference research questions which ensured consistency in data collection. I utilized semi structured interviews and document analysis. In addition, since this was a case study, the data generation process involved collecting data from different sources. Stake as cited by Creswell (2003) points out that in case studies researchers collect detailed information using a variety of data collection procedures over a sustained period of time. The semi-structured interview is preferable in qualitative research because it allows for flexibility (Yin 2003). The respondents were encouraged to speak freely about their perceptions and attitudes on PCs. They were encouraged to share their experiences at their work stations so as to create a tension free atmosphere to provide in depth information.

For purposes of detail, I found it necessary to follow up the interviewees using informal conversations in their natural setting, that is, out of their work places. Jwan and Ongondo (2011) contend that interview under natural setting guarantees more accurate data. The different data sources ensured that the issue under investigation was looked at from various perspectives. Mills et al (2010) argue that one single kind of source of evidence is typically insufficient to sustain a case study. Instead, multiple sources of evidence are generally considered to be more reliable because of they provide extended description to an issue that helps to understand a given case better.

Document analysis in this study involved content interpretation and relation of meanings to the subject of the research (Ritzie & Lewis 2003). A sample of the performance appraisal form from TSC and the newspapers with information on expectations on PCs were also analyzed.



The three main sources of data (interview, texts books and media reports) employed during this study and the fact that respondents were sampled across the county ensured triangulation which enhanced trustworthiness of the study. This strengthened the qualitative aspect of the research (Jwan & Ong'ondo 2011).

### **3.5 Data Analysis**

In this study, data analysis proceeded by of looking at data, assigning categories and putting together emerging themes in an attempt to answer the research questions as prescribed by Yin (2003). As earlier discussed in Chapter Two, the research sought to find out the messages teachers had received about the implementation of PCs and their perceptions towards PCs. Referring to research questions using thematic analysis, I read through the data identifying important issues raised in relation to the research topic and then I combined the responses into related categories and themes.

Considering that my data was qualitative in nature, the process followed the six steps of qualitative data analysis according to Jwan and Ong'ondo (2011). These were: transcription, re-familiarization, first phase coding, second phase coding, third phase coding and finally production of the report. During transcription, the audio recorded data was written down, the field notes were typed and a lot of sorting and arranging of the data was done, a process which enabled me to engage closely with the data and internalize it. This became my primary data for subsequent analysis. This step was followed by re-familiarization of the transcribed data. Here I read through each transcript carefully; to make sense and meaning out of the data. This process also enabled me remove unnecessary words or phrases. The third step was the coding process which is, as defined by Jwan & Ong'ondo (2011) as, a process of highlighting extracts of the transcribed data and labeling them in a way that they can easily be retrieved, transcribed or grouped. With

this in mind, I identified the themes then categorized the data accordingly under the themes (see appendix).

### **3.6 Trustworthiness of the study**

To enhance the trustworthiness of this study in terms of credibility, transferability, dependability and conformability, I ensured that three types of triangulation were achieved. That is, data triangulation, investigator and methodological citing (Jwan and Ong'ondo 2011, Yin 2003). Saunders (2000) cautions that the researcher should be objective in reporting, in order ensure trustworthiness. Jwan and Ong'ondo (2011) on the other hand see objectivity as the extent to which findings are free from both internal and external influence. With this in mind, I presented the findings of this study as presented by the respondents. Given (2008) defines trustworthiness as the ways in which qualitative researchers ensure that transferability, credibility, dependability and conformability are evident in their research.

I adopted Jwan and Ong'ondo's (2011) definition of transferability as the extent to which findings of a study or aspects of it could be relevant to or are applicable to other contexts in which the study was not done. Saunders (2000) defines generalisability as the extent to which research findings may be applicable to other research settings. The findings of this research, I believe may be transferable to other ministries. This is because policy implementation and change are applicable in all state departments and PCs are the newest entrants in this process. Dependability, as defined by Jwan and Ong'ondo (2011) refers to the extent to which a researcher provides sufficient detail and clarity of the entire research process in a way that makes the reader to visualize and appreciate and if necessary, replicate the study. To ensure this, I clearly stated the steps taken during the study and quoted the respondents verbatim.

### **3.7 Ethical considerations**

According to Jwan & Ong'ondo (2011), striking a balance between the demands placed on researchers as professional scientists in pursuit of truth and their respondents' rights and values may be potentially threatened by research. With this in mind, I was often very keen to ensure ethical standards were adhered to. Being aware of the level of conflict created in trying to reach a consensus on the implementation of PCs in the teaching profession, I informed the respondents on the purpose of the study. I informed them that the study aimed at finding out their perceptions and attitudes towards the implementation of PCs and that assured them of confidentiality in handling the data generated.

For those respondents who feared victimization, I sought informed consent from them by giving detailed information about the study and provided them with consent forms to sign. For those who refused to sign the consent forms completely, I allowed them the option of verbal consent. Some of the respondents, even after giving consent, still did not allow me to audio record the interview. In this case, I took notes during the interview. I assured the participants of confidentiality and anonymity by not including their names and institutions in my notes and recordings.

At the end of the exercise, I availed the data to the respondents to be sure of their security in the context of what I have stated above. Jwan and Ong'ondo (2011) point out that respondent checking not only adds to the credibility of a study but is also an aspect of research ethics. However, most respondents declined going through the document citing lack of time. In this way, therefore, I ensured credibility and ethics of the study.

### **3.8 Conclusion**

In this chapter, I have explained why I chose qualitative case study as the appropriate research design considering the limited time. I have also justified my use of interviews and document analysis as the main tools of obtaining the data. I have also shown why I

used both simple random and purposive sampling techniques to arrive at the sample schools across the county. I have also stated why there was need for employing triangulation to ensure trustworthiness, and informed consent to take care of confidentiality and honesty. In the next chapter, I present data analysis and interpretation.

## **CHAPTER FOUR**

### **4.0 DATA PRESENTATION AND INTERPRETATION**

#### **4.1 Introduction**

In this chapter I present the findings and discussions of the data collected during the study. The findings are presented under the different research questions. The three research questions are: a) what messages have been communicated to teachers on the implementation of PCs in the teaching profession? b) How has the communication about the implementation of PCs in the teaching profession been handled? c) What are the perceptions of key stakeholders in the MoEST on communication about performance contracting in the teaching profession?

#### **4.2 The Message on Performance Contracts**

Question one of this study sought to find out what message had been communicated to teachers on the implementation of PCs that has elicited the refusal to comply with the new management tool. In order to answer this question, I sought to find out four issues; a) the definition attached to the PC by the teachers, b) their perceptions on the necessity of PCs, c) accountability, and d) who sign a PC in the teaching profession. I have discussed these issues in the following subsections.

#### **4.2.1. Defining Performance Contracting**

One of the aims of the interviews was to find out the level of awareness of teachers and their unions about performance contracting. The issue here was how do teachers and unionists define a PC. This was to gauge the understanding of the teachers of the new management tool that the government was determined to implement in schools. The respondents gave various responses (the respondents are designated as T1, T2, etc for teachers, P1, P2 etc for principals and UO1, UO2 etc for unionists):

It is like stopping fights over performance and it is like if you do not perform your contract is gone (T3).

It is like attaching my pay and promotion to my ability to perform (T7)

Do I really know what a PC is? I have heard the debates about it on the media but can I really tell you what it is? I just think it is something that ought to be brought down to schools but teachers have refused it. A PC is a situation whereby you, what is it? Sorry madam, I cannot get the right words to describe it but I have heard of it. (T12)

It is a punitive arrangement set for teachers where targets are set for you and you are sure there is no likelihood for being achieved (UO1)

A PC, according to the Basic Education Act (2013) is defined as follows “a range of management instruments used to define responsibilities and expectations between parties to achieve mutually agreed results”. However, according to the data collected, it is evident that most teachers could not clearly define a PC. Secondly, there seemed to be confusion between a PC and a work contract. The foregoing thus implies that most teachers presently have inadequate knowledge of what a PC is. The implication of this scenario is that most teachers are ignorant of what they are resisting. Ultimately, if the MoEST is keen on implementation of this tool, it needs to first and foremost to provide education on the tool to teachers. In the same vein, it needs to dialogue with the unions to

explain the nexus between efficiency and the implementation of the tool among union members. This will help allay the fear that the tool will be punitive to the teachers.

#### **4.2.2 .Necessity of PCs**

When asked about their views in relation to the necessity of the tool to the teaching profession, it was evident that although most of the respondents did not know much about the PC, they were hopeful that the PC could better the standards of education in the country because it would encourage teamwork in achieving set targets. For instance, some of the respondents had the following to say:

So you know when that working is attached to something like compulsory evaluation, everybody is forced to do their work. And this will help the students to perform well by extension. (T4)  
It can be a motivation (T3)

However, there was a contrary opinion from other respondents who thought that the PC was not necessary for the teaching profession. Here are some of the responses:

If it is tied to performance then it is unfair because some of these schools suffer all problems that anyone can think of (P3).  
Teachers have their own system of evaluation supervised by the principals who are TSC agents (UO2).  
Teaching is complex. Therefore, the tool is a threat because it victimizes the teacher (T7).

From the views of the teachers and their unionists, it is evident that there are two groups; one that would not mind the implementation of the PC and the other that is against the tool. Those against the tool specifically cited victimization in the event the set targets are not achieved. As stated earlier in Chapter Two, in performance contracting it is expected that outstanding performance is rewarded through pay increase, promotion or recognition (GoK, 2005). Although various PCs do not clearly state the measures to be taken against poor performance, it is assumed that there is some punishment. It is this lack of clarity in the contract form that is, perhaps, the cause of disenfranchisement. This is one of the

issues that the MoEST or TSC needs to elaborate and dialogue on in order to give confidence to the teachers.

#### **4.2.3 PC's and Accountability**

One of the reasons that have been fronted by the government on why PCs have to be implemented in the teaching profession is that it will enhance accountability in schools. However, emerging from the interviews very few of the respondents thought of accountability as a reason for implementation. Most of the respondents felt that implementation of performance contracting would encourage 'blanket' evaluation which was viewed as unfair considering inequality of resources in schools. In addition, the respondents felt that due to high expectations by the government, implementation of performance contracting could cause burn out.

There was also a unanimous opinion that if teachers signed PCs, they would suffer unfair victimization over poor performance of learners yet performance was not only dependent on the teachers but also other factors beyond the teachers' control. On this issue some of the respondents said:

I appreciate the government's effort in trying to ensure that there is accountability on the part of a teacher but I insist that performance is not entirely the business of the teacher. My simple question would be; as the government struggles to hold the teacher accountable, who is going to hold it accountable? For example, when the government fails to send us tuition money for facilitation of subsidised secondary education on time. (P1)

I would defend the teachers' refusal to sign PCs because sometimes teachers do their best but you can never be so sure about the students scoring at the end of year. After all there are factors beyond the control of any teacher in a students' life, yet teachers will be victimized for the failure of their students to perform. (T1)

During an interview with the press on 6<sup>th</sup> August 2014, the then education Cabinet Secretary, Prof. Jacob Kaimenyi had this to say about implementation of PCs in the teaching profession:

Of course there has been resistance and maybe they will continue to resist. But I hope we shall make them understand the need and appreciate the worth of Performance Contracting. It is about targets, you must have a goal to attain.

From the responses given, it is obvious that the understanding that the CS refers to is the missing link. Perhaps, once the teachers get to understand what performance contracting entails then they can sign PCs.

#### **4.2.4 Signing the PCs**

From the interviews, it was clear that the teachers did not support the implementation of PCs. The respondents were of the view that the tool was to encourage victimization especially on teachers teaching in 'small' schools. The few that showed support for implementation were of the view that principals should sign PCs because they are managers of the schools. The Education Act, 1968 defines a manager as any person or body of persons responsible for the management and conduct of a school, and includes a Board. The Act, read together with the Teachers Service Commission Act, Cap. 212, confers extensive powers on the Minister of Education over the management and regulation of education in Kenya (Republic of Kenya, 1968). According to the Basic Education Act 2013 (p.222), a school manager is:

A person who has been appointed by the Cabinet Secretary in consultation with the proprietor through regulations to coordinate and oversee implementation of education policies and guidelines in public basic education institutions and performs delegated teacher management functions.

In view of who should sign PCs, one respondent said:

If it is a must do thing then the principals should sign the contracts because a principal is the central person who determines the direction of any school. (T7)

According to Musya (2014), most school managers support the signing of the PC, an opinion that is highly contradicted in this study. The principals in this study did not



support that view because for them performance is collective. In their opinion, the PC might be a good idea being imposed on the wrong profession for the reasons that most schools in Kenya suffer shortage of resources. They accused the government of not prioritizing issues, thereby resulting in failure of the system. One of the principals said:

No, the education sector in Kenya is not yet ready for it and I don't see why the government should use a lot of money to get it started and fail midway. I think the government should prioritize issues like sorting out the teacher student ratio, adequate resources and better pay for teachers before thinking of PCs. (P3)  
Kenya is being over ambitious. (P3)

In a press interview, Mr. Wilson Sossion, the KNUT Secretary General, said:

As a union, we are telling the Ministry of Education not to experiment the ideas and suggestions of the civil societies. This is going to ruin school management and our schools will collapse. There is no day we shall allow the principals and head teachers to report to any other authority.

From the foregoing, it is apparent that the MoEST was targeting heads of schools to sign PCs first, before roping in the teachers. When the same question was posed to the immediate supervisors of principals (CDE and QASOs), the respondents revealed that PCs should be signed by teachers because they all contribute to the overall performance. However, it was pointed out the procedure demands that the principal signs the PC first then cascades it down to Heads of Departments (HODs) then to the rest of the teachers. This was for purposes of easy monitoring and evaluation. The supervisors pointed out that the teachers and HODs performance automatically consolidates into the principal's performance. For them, the PC is the best management tool and the teacher should consider signing it. Following are some of the responses collected from education supervisors:

Here everyone is accountable for performance hence everyone signs. (QASO1)

During the piloting we intend to train teachers especially the HODs and principals because they play a managerial role in the school set up. This should be done by the end of the year 2014. (CDE)

It was noted that most participants were skeptical about the ‘blanket’ generalization the tool will create. They felt that the tool will not meet the different school contexts. The variation in resources and entry behavior of schools, it was said, contribute to the variation in performance.

It will not be very effective because if we tie performance to the PC, then the tool will not be fair to those schools that receive students, let’s say of 120 marks in form one. (T3)

Implementation of PCs will be done in line with resources available in the school. (QASO1)

In the implementation process we cannot ignore the available resources. In short, no one will demand results against resources that you do not have. After all, targets are set per school. (CDE)

These responses, again, point to a lack of clarity as to how each school’s unique circumstances will be handled when it comes to performance contracting. The QASO’s and CDE’s responses show an information gap between the supervisors, and managers and implementers of the curriculum at school. This gap is one of the issues that the government ought to address. When this is done then fear of blanket evaluation in an uneven terrain could be assuaged.

### **4.3 Management of Communication on PCs**

In this question, I set to find out how communication on PCs was done. Could the way the information presented, if at all the communication was done, be the stumbling block in the implementation of PCs? At this point, I looked at the channels/media, the communication pattern and their effect on the communication towards the issue under investigation.

#### **4.3.1 Perceptions on the Channels of Communication**

From our discussion on the respondents’ views on the subject of study, it is clear that the mode of communication of policies to schools by the Ministry is anomalous. The main medium of communication in the MoEST is circulars, which sometimes take as long as

one month to get to schools. This time frame in itself is a hindrance to effective communication. During the study, it was noted that the circulars get to schools through principals.

The principal is the TSC agent in the schools and so all communication is sent through him/her. (C.D.E)  
But interestingly, from the interviews I realized that most of the teachers were not aware whether or not their schools had received a circular on the implementation of PCs. It was also evident that most of the teachers never get access to circulars that are sent to their schools.

Maybe, the principal received the circular. You know, most of the times we are not given the circulars and therefore I have no information. In fact if the principal does not brief us then we remain in the dark. (T5)

This, in my view, is part of the communication failure in the MoEST because information on pertinent issues in any organization should reach the end users; and in this study these are teachers. If the information does not filter down to the final target, then there is communication failure.

#### **4.3.2. Media of Communication on PCs**

From the interviews, it was clear that the MoEST mainly used the written media in form of memos, circulars and policy documents. This to date is considered the formal channel of communication in government offices; hence any information that was not communicated through this channel is not treated as policy. One of the respondents declared:

We do not act on declarations that appear in the mass media but on the written communication from the Cabinet Secretary. (QASO1)

It emerged from the interviews that the MoEST had not sent any circular to principals to effect implementation of PCs.

No, we have not sent out any circulars to schools. TSC has a circular for preparation but not the principals because we are the ones to facilitate the process then roll it down to the principals, deputies, and deans of schools. (CDE)

No formal communication on the implementation of PCs has reached schools apart from what is proclaimed in public media, both print and electronic.

Apart from written media, and due to the long time that written communication takes to get to schools, CDEs had resorted to use of electronic media, specifically cell phone messages (SMS) as a medium of communication, especially if the information being sought is urgent or when calling for meetings. However, such communication is always followed with a letter or circular containing the same information, in order to ratify it as official. Following are sentiments of some of the government officials.

The SMS is another. One may argue that that is not official communication you cannot ignore the efficiency of SMS in this era. In fact, it is the fastest and response is immediate. This, however, works closely with the circulars. (CDE)

It is quite fast and reliable but any information on the website cannot be treated as policy unless accompanied by a circular. The circulars are our only official way of communicating policy. (QASO1)

Communication to teachers has also been implied through mass media (communication has been implied because the teachers are not addressed directly as individual serving officers, but generally as a nondescript mass). This has led to teachers questioning this mode of communication, which in the teachers' perception, is not an official channel. Indeed the principals involved in the study confirmed that no circular had been sent to them on performance contracting, even when the discussion was already in the public domain through the press. Arising from this observation is the fact there has been no formal communication on performance contracting to teachers, the threats of sacking and exclusion from yearly salary increment by parliament and other arms of government through the mass media, amounts to a nullity. This seems to be what has emboldened the teachers to defy the proposal to sign PCs. Some of the respondents observed:

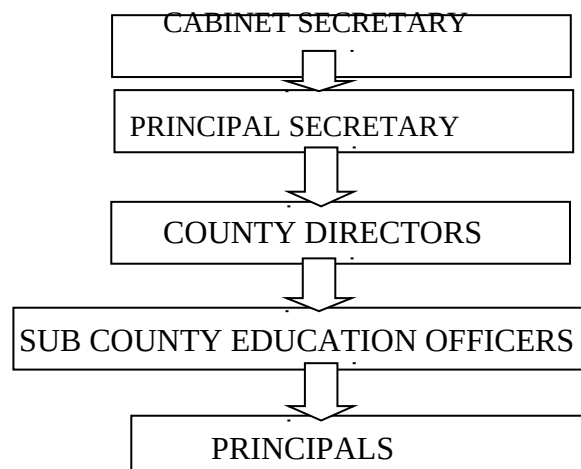
For the years I have been in service I have found the media informative but its biggest problem is that it lacks fair coverage. Secondly, it capitalises so much on the roadside declarations by politicians yet that is not policy. I would really blame the press and politics for the stalemate in the MoEST over the signing of PCs. Imagine if correct information was relayed then the teachers would have been educated through the print media. (CDE)

This fear originates from the communication the teachers have received about the tool, threats. It is just human to hate what is told to you as a threat. (T1)

The teachers argue that if it is a ‘good’ concept as it has been put, why then has it become difficult for the intended implementers to sit down with them and forge the way forward on the matter. This has fomented feelings of doubt and suspicion over the management tool. We can see from the responses that none of the respondents downplayed the role of communication. They clearly point to the importance of communication and indicate that in an organization how one communicates to the other party greatly affects the working relationship and the resultant productivity. The talking down at teachers by senior government officials through the mass media is counter-productive as it creates a feeling of denigration in teaching fraternity. The knowledge that what has not been communicated through official channel is void is what the MoEST and TSC should take cognizance of in order to forge forward with the implementation of performance contracting.

#### **4.3.3 Patterns of Communication used**

To understand if communication was a major cause of the prevailing stalemate, I set to find out the various communication patterns used in the MoEST/TSC. From the interviews, it was obvious that the MoEST/TSC embraced the top-down pattern of communication illustrated by the following flow chart:





**Fig. 2: MoEST Pattern of Communication**

According to Tourish (2010), the downward flow of communication provides a channel of directives, instructions and information to an organization's members. However, much information gets lost as it is passed from one person to the other. There is possibility that this can also lead to distortion of the information as it is cascaded in the hierarchy. Some of the respondents termed this process long and cumbersome, while others thought the MoEST was dictatorial and disrespectful in its communication. The teachers/principals stated that being major stakeholders in the education sector, they are well aware of the changing trends in management systems and appreciated the fact that change in the sector is inevitable. They were also hopeful that some changes like the introduction of PCs could better education standards in the country. However, the principals insisted that due process must be followed in policy implementation and, above all, principals/teachers should be accorded the respect they deserve as the major stakeholders in the education sector. Ideally, a PC should be a negotiated tool between two parties engaging each other. It is this negotiation that is missing. The government, therefore, comes out as coercing teachers to enter into an agreement that they do not understand and are not willingly party to. Here are some sentiments from two respondents:

- (T3) Teachers are at a loss of what motivated the need to introduce PCs in schools.
- (T4) The government's forcing implementation of PCs on teachers comes with poor research on what is affecting the education sector in the country.

The respondents also criticized the government/TSC for trying to impose performance contracting on them. This was because the government/TSC had resorted to dictating its stand to teachers without considering what the teachers as stakeholders think of the new

management tool. This is a result of the use of the wrong strategy; the top-down communication strategy where information cascades down to the employees from the employer (at the top) as a final decision without room for discussion. The respondents went on to say that in this era, any communication in any institution ought to be consultative and not in the form of decrees. This lack of consideration of the other party in the organizational communication chain is what is responsible for the retaliatory hard stance taken by the teachers.

#### **4.4 Perceptions on Communication About PCs**

In the study, the question on perceptions on PCs was directed at QASOs and the CDE. This was because in my view they interact with teachers in their schools more often, and I wished to understand their view on the implementation of the PCs in the teaching profession. The respondents seemed to have a better understanding of what a PC is than principals and teachers. To them a PC is:

A monitoring or evaluation tool that is meant to improve the standards in the Ministry. (QASO2)

It is a negotiated agreement between the employer and the employee where before signing, the available resources are considered. This then informs the setting of reasonable targets. (QASO1)

It is a document that assesses performance in line with the set targets. (QASO2)

I wish to refer to it as a performance appraisal because basically it is a tool that is used by the employer to evaluate progress of its employees in this case the teachers. (CDE)

Unlike the teachers, the government officials expressed the immediate need for PCs in the teaching profession. This to them was a very important step towards accountability for the available resources in Kenyan schools. One respondent said:

In performance contracting the resources available determine what I am supposed to achieve. I mean based on the teaching-learning resources and the entry level you ask yourself what it is that you are supposed to achieve then put it in writing. (QASO1)

The respondents also felt that if teachers signed PCs, then they will work harder hence improve quality of education in the country. The respondents did not see why teachers

were apprehensive of signing PCs because to the respondents, teachers were already doing what is stipulated in the performance contracting document and this is just a way of formalizing what was already ongoing. The respondent went on to say:

The PCs are being implemented though without the supervision of the government because the teachers already have targets but it has not been written down and follow up has not been prompt or monitored. Anyway being the common practise all over, one must be held accountable for the resources entrusted to him. For standard practise I mean, PCs are not only signed in Kenya but all over the world and the world being a global village, some of these changes get to us anyhow. (QASO1)

Responding to claims of probable victimization, the QASOs and the CDE thought teachers did not know what they were refusing because PCs are open, unlike the confidential reports that principals write about teachers to the TSC. The confidential reports in most cases are victimizing and unfair because the teacher in question is not given a fair hearing before the report is made. However, with the introduction of performance contracting, any report sent out by the principal must have been openly discussed with the teacher. Here, all the factors beyond the teacher are also discussed.

The interview also revealed that there were some teachers who were not working hard thus were tarnishing the reputation of their colleagues as they are sometimes blamed in blanket manner for non-performance. To the QASOs and CDE, the PC will help distinguish who is working hard and who is not. Thus individual responsibility to performance is assigned unlike in the past where there would be generalization.

Bearing in mind that education is key to achieving any government's development goals, the ministry officials emphasized the need to improve service delivery among teachers by setting achievable targets. This, they pointed out, can only be achieved comfortably through signing of PCs.



#### **4.4.1 Perceptions by Government officials about Communication on PCs**

At this point, I was interested in finding out from the government officials what information they had given teachers on the implementation of PCs. The respondents confirmed that teachers had not been sensitized about performance contracting but the government was planning to do so.

To begin with it is important to understand that we do not have a PC for the teachers. What the teachers have got from the media is to me a mere rumour of what was to take place much later after a sensitization programme for the teachers. (QASO2)

The QASOs revealed that the PC for teachers would be brought to them after sensitization. The CDE on the other hand confirmed that the PC, what TSC was referring to as performance appraisal, was already available on the TSC website and went ahead to provide a printed copy. According to the CDE, as much as the government had not officially sensitized teachers on performance contracting, it expected the teachers to interrogate the document on their own and that was the reason for putting it into the public domain on the web. This would allow the teachers better understanding of what they are running away from. This is what he said:

In the first place I thought the government should have sensitised the teachers before bringing the topic to the media for debate. Anyway teachers are just afraid of it. That is why we thought it wise to do sensitization and a pilot programme before we ask the teachers to sign. This to me will bear fruit because it is purely fear of the unknown. (CDE)

When asked when sensitization would be done, the respondents were non-committal and said it was sometime soon. This was clear evidence that they were not sure of when the implementation would start.

This study finds fault in the communication channel of the MoEST considering that the QASOs (persons tasked with maintaining quality) do not know of the existence of a PC template for teachers. It is more alarming to note that not even the government officials in the MoEST have the slightest idea of when sensitization would take place yet the issue is

being discussed in the mass media. This in itself is a platform for betrayal of trust by Ministry officials among teachers.

A Parliamentary Education Task Force in 2012 tabled a report in parliament with the following recommendations:

Head teachers should be put on three-year renewable contracts. They should also be limited to serving in an institution for a maximum nine years. This would mark the first time teachers sign contracts.

In view of this, the government officials had the following to say:

Parliament is an independent entity that runs its programs depending on the issues tabled before it. In this case, there had been issues raised over misappropriation of funds by head teachers. However, as I stated earlier, PCs are not meant to harm or intimidate teachers but to help the education sector. This being the case, I believe, as a government we should not look like we are imposing the PC on teachers because then, it will not serve the intended purpose. (C.D.E)

A task force recommendation is not yet policy and so teachers should not be scared. (QASO1)

#### **4.4.2 Perceptions by teachers on PCs**

While the respondents acknowledged the need to save the dwindling standards of education in the country, they thought it was necessary for the MoEST to be consistent in the way communication of PCs was done. They spoke out their dissatisfaction with the MoEST using the mass media to communicate threats of sacking if they failed to sign the PCs. This, they felt was the cause of suspicion on the push for implementation of PCs. Most of them thought public threats through the media was a way to punish teachers for failing to cooperate with the government during the teachers' unions' negotiation for higher salaries. One respondent said:

This is a way of intimidating us because we rubbished their pay package (T1).

During the interviews it also emerged that PCs are still considered foreign among teachers. The respondents attributed this to the lack of involvement of the teachers all the

way from conceptualization of the policy proposal for change to its implementation. This, again, was the source of fear of the unknown among the teachers. Another respondent said:

Who told them (MoEST) that there was need for PCS? We were not consulted yet we are the implementers (T3).

However, most of them seemed to agree that instead of forcing teachers to sign the PCs, prior sensitization is needed. This is because teachers were apprehensive of the tool since it had been rumoured that they would lose their jobs if they did not meet their targets. They said that for all the years they were the only profession that had done their work without supervision. This was summarized in the following statements by one of the respondents:

Why now? The government should stop comparing us to civil servants. As we work they are busy running their businesses. (T6).

While the participants acknowledged the need to save the dwindling standards of education in the country, they thought it was necessary for MoEST to be consistent in the way communication of PCS was done. They pointed out their dissatisfaction in the MoEST using mass media to communicate threats of sucking if they failed to sign the PCS. This, they said has created a lot of suspicion on the push for implementation of PCS as most of them thought that it was a way to punish teachers for failing to cooperate with the government during the salary negotiations. One respondent said;

This is a way of intimidating us because we rubbished their pay package (T1).

During the interviews it also emerged that PCS are still considered foreign among teachers. The respondents attributed this to the lack of involvement all the way from conceptualization hence a fear of the unknown. Another respondent said;

Who told them (MoEST) that there was need for PCS? We were not consulted yet we are the implementers (T3).

However, most of them seemed to agree that instead of forcing teachers to sign the PCS, more sensitization is needed. This is because teachers were apprehensive of the tool because it had been rumoured that they would lose their jobs if they didn't meet their targets. They said that for all the years they were the only profession that had done their work without supervision. This was summarized in the following statements;

Why now? The government should stop comparing us to civil servants. As we work they are busy running their businesses. (T6).

#### **4.5 Conclusion**

The study establishes that whereas there is need for quality education in the country, which can be achieved through implementation of PCs, there is a breakdown in the communication channel in the MoEST. The teachers and principals, who are responsible for upholding the standards and the quality of education in the country, do not have full knowledge of what is contained in the PCs that they are expected to sign. Basically, the teachers and their unions are up in arms against the PC because of lack of information especially on what would happen if they missed achieving their set targets. The study ascertained that the MoEST had not taken the teachers through sensitization, and thus there is fear of the unknown among principals and teachers. Inconsistency in the channels of communication in the MoEST and lack of due diligence in communication procedure have also contributed to the prevailing stalemate. All in all, the breakdown in communication is a possible cause of the stalemate in the attempt to implement performance contracting in the teaching profession. From the study, again, there is some consensus that performance contracting is the best strategy to save dwindling education standards. With these findings, I present summary of the findings, discussions and conclusions in Chapter Five.

## CHAPTER FIVE

### 5.0 SUMMARY OF KEY FINDINGS, DISCUSSION AND CONCLUSIONS

#### 5.1 Introduction

In this chapter, I present a summary of key findings followed by discussion on the issues that emerge. I also present conclusions arrived at and, finally, I give recommendations and suggestions for further research.

#### 5.2. Summary of Key Findings

This research sought answers to three research questions. First, what messages have been communicated to teachers on the implementation of PCs in the teaching profession? Second, how has communication about the implementation of PCs in the teaching profession been handled? Lastly, what are the perceptions of key stakeholders on communication about PCs in the teaching profession? The table below illustrates the key findings obtained from the data gathered.

**Table 4: Summary of Key Findings**

<b>a) What messages have been communicated to teachers on the implementation</b>
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**of PCs in the teaching profession?**

- Teachers must sign PCs
  - The education standards in the country are on the nose
  - Promotions will be pegged on performance
- There was expression of a hope that the implementation of PCs would be beneficial to schools.
- The little information the respondents had concerning the PCs had been derived from the confrontation between the unions and the government on the issue through the mass media.
  - It was also thought that the PC is not urgent in the teaching profession
  - It is not necessary because it will only encourage victimization
- Teaching/ learning is cognitive and therefore if PCs must be signed then the principals should because their work is administrative.

**b) How has communication about the implementation of PCs in the teaching profession been handled?**

- No official communication has been sent to schools in the implementation of PCs.
- Teachers have received threats of sacking if they do not sign the PCs through the mass media.
  - A designed PC for teachers has been posted on the TSC website.
    - The unions have told teachers to boycott signing of PCs.
- Teachers have been advised to go on strike to stop the push for implementation of PCs

**c) What are the perceptions of key stakeholders in the MoEST on communication about performance contracting in the teaching profession?**

- Respondents have a better understanding of PCs
- Immediate need for PCs was expressed.

- There was an expression of hope that signing of PCs in the teaching profession will automatically help in improving education standards in Kenya.
- It is a fair way of evaluation compared to the confidential reports.
- Teachers do not know what they are refusing because they are already doing it and signing the PCs would just be officializing what they do.
- Teachers have not been sensitized to the need for PCs in their profession.
- The mass media is not a recognized channel of communication in the MoE and therefore it was wrong for government to send threats even before sensitization.
- The way the government communicated the implementation of the PCs might have caused the existing fear and misinterpretation of the tool.
- Sensitization will be done though not sure when this will happen, before asking teachers to sign.

### **5.3 Discussion**

In this section, I present a discussion of the key findings on the information which has been communicated to teachers about the implementation of PCs, how this information has been communicated and the perceptions held by the immediate supervisors of teachers on the communication of PCs in the teaching profession.

#### **5.3.1 Messages on Performance Contracts**

On the question on what messages had been communicated to teachers regarding performance contracting, the findings of the study revealed that most teachers had not received any official or formal communication from the employer. They also lacked information or had inadequate knowledge on performance contracting. The study revealed that the communication strategy (posting a sample PC on the TSC website)

adopted by government/TSC had not helped increase awareness and knowledge of the PC but instead created animosity and wrong perception among the teachers.

The lack of formal communication concerning performance contracting and hard talk by government senior officials resulted in disenfranchisement among teachers and principals who felt slighted. For example, when a permanent secretary announced to principals in a meeting about PCs yet the MoEST had not finalized the modalities of implementation, there was a feeling that the tool was being forced down on the teachers. This in itself created room for unions to criticize and politicize the move as punitive and made the tool look like a government strategy to frustrate teachers. When asked what they knew about PCs, the unions just like their members did not know much about the tool and worse still, why it was being prescribed.

This, therefore, implies that pervasiveness of information on the need for PCs and modalities of implementation of PCs in the MoEST is missing. In the absence of such information then there is no guarantee for successful implementation. In line with Riley (1965), the communicator who wants to execute a curriculum sends messages by expectation and action of other persons and, in this way, the receiver benefits from the message.

This study thus reveals lack of teacher involvement in strategic communication, because the teachers are completely cut out, thereby causing disenfranchisement. When asked how the situation could be remedied, the respondents recommended that teachers and other stakeholders should be involved in decision making. This idea is supported by Cole (2002) who views communication as a two-way process and a mutual interchange of ideas feelings and opinions. This mutual aspect of communication is what is missing the MoEST attempt to implement performance contracting among teachers.



### **5.3.2 Managing Communication on PCs**

The study sought to explore the channels/media used by the MoEST to communicate the implementation of PCs in the teaching profession. Existence of a communication channel is important in enlightening people in matters that involve transmission and reception of ideas (Littlejohn, 1996). Communication is, therefore, useful in supporting functions of any institution.

From the foregoing, the teachers are reading malice in the government's intention to implement performance contracting on them. In their perception, performance contracting would amount to being laid off in case performance was not satisfactory. This perception is linked to the medium of communication used to inform the teachers of the introduction of PCs. The respondents raised concerns over the government's use of the mass media to communicate in a coercive manner and the failure to use the conventional official channel. In the messaging and framework theory, people may make choices that are less beneficial to themselves because of how information is presented.

The data revealed that there are various communication channels in the MoEST but circulars were the most popular and considered formal communication and therefore information coming to teachers and principals through any other channel was inconsequential. However, circulars were criticized as being dictatorial as they only issued directives, and therefore, were not interactive. The findings also revealed that the circulars are literally forwarded as sent at each level of the communication hierarchy without any modification. At the school level, the principals are expected to coordinate implementation of whatever is directed in circulars. According to Berlo's model of communication, the message entails putting information to be sent into the form which is suitable both for the aim and receiver. Thus, how an idea is communicated is vital in effecting reaction from the receiver. Any message comprises content, element, treatment,

media/channel, structure and code. The communication channel in the MoEST is faulted for the communication breakdown in the implementation of PCs in the teaching profession because of use of the wrong channel.

Just like the teachers, unions are also against the implementation of PCs mainly because the wrong choice of channel. Unionists feel that they were not consulted or engaged in negotiating performance contracting for teachers. Being key stakeholders (by virtue of their being defenders of teachers' rights and welfare) the unions felt sidelined and therefore consider PCs as something meant to hurt teachers. They see the communication by the TSC and government officials as dictatorial and demeaning. Available literature opines that participation in decision making is critical as it gives people control over their lives and environment thus enabling them to acquire problem solving skills (Besette and Rajasunderam, 1996). There are indicators that the public education sector continues to face challenges created by competitive pressures from the private education sector and globalization. For these reasons, the implementation of PCs in the teaching profession is a noble cause. However, the study identified a lag in communication between the MoEST, TSC and the teachers. The teachers and their unions read mischief from the 'informal' communication they received on the implementation of PCs; since formal communication is much more official, binding and ethical.

Previous research in the area of performance contracting in the context of the teaching profession revealed that if well managed, PCs would influence the teachers' performance positively (Musya et al, 2014). Although Musya's research did not focus on the process of organizational change like mine, it tackles the concept of the level of preparedness, which was a concern of this study as well, insofar as teacher awareness was concerned. Even though the teachers were very apprehensive about performance contracting, my

study revealed that there was a general willingness to embrace change if sensitized and involved in the whole process. This would eliminate any fears over the tool.

### **5.3.3 Perceptions Held by Supervisors of Teachers on the Implementation of PCs.**

On the question of perceptions held by supervisors of teachers on performance contracting, I sought to find out how information had been given to the teachers about the implementation of PCs. From the data obtained it was clear that the supervisors, who are government officials, were signing PCs and from their knowledge of the tool they highly recommended it for the teaching profession. It is this knowledge about performance contracting that the teachers lack. No information had been sent to teachers on the implementation of PCs and no sensitization had been done. The information by the Permanent Secretaries through the mass media was not policy.

The study further reveals that the respondents faulted how the information on the implementation of PCs was conveyed. In fact, to them this could be the reason for the stalemate. The threats, to them, were unnecessary especially before sensitization on the need for implementation of PCs. Existing literature on PCs suggests that there has to be a shared understanding of what is to be achieved and how it is to be achieved to ensure successful implementation (Lobia, 2006). In addition, promotion of awareness would work to help the teachers to accept the proposed change. While the study confirms that successful implementation of the PC is dependent on the shared understanding, which translates into successful communication, no clear strategy of ending the stalemate was suggested apart from the MoEST officials requesting that teachers support implementation of PCs.

## 5.4 Conclusions

This research focused on communication on the implementation of performance contracting in the teaching profession. I posed three research questions: a) what messages have been communicated to teachers on the implementation of PCs in the teaching profession? b) How has the communication about the implementation of PCs in the teaching profession been handled? c) What are the perceptions of key stakeholders in the MoEST on communication about performance contracting in the teaching profession?

These questions arose due to a stalemate between teachers and the MoEST/TSC over the implementation of performance contracting. The teachers have remained apprehensive of the implementation of PC, which the government on the other hand feels will help raise education standards that are on the nosedive. The findings point to inadequate knowledge on PC on the part of the teachers. Apart from a few respondents who had some idea about performance contracting, most were only able to describe what they thought a PC was. This limited knowledge on PC has created a wrong perception towards the management tool, resulting in adamancy and rejection by teachers.

Secondly, the study establishes a communication lapse in the MoEST. From the data collected, it emerges that all communication in the MoEST comes from the Cabinet Secretary. However, such communication is treated as a “roadside” declaration if it is not cascaded down through a ministerial circular. This rigidity and fixation on the channel in the MoEST has strait jacketed the communication process. Whereas the mass media could have been a cheaper and faster way of sensitizing teachers on the need for implementation of PC, unless it is formally adopted and ratified by the MoEST, it remains an informal channel. This in part is the cause of the stalemate in the attempt to implement performance contracting in the teaching profession.

Lastly, the study revealed that there was no focus on the message, its management and the perceptions elicited by the message during communication for policy implementation. While the respondents acknowledged the need for accountability in the education sector, they thought it was necessary for the MoEST to consider open communication during any change process to reduce suspicion between the ministry and the implementers of the change, in this case the teachers. This would foster acceptance of implementation of performance contracting among teachers.

### **5.5 Thesis**

The study revealed that inclusivity as a strategy in today's institutional management cannot be ignored. The failure of the government to involve teachers in decision making has created suspicion. The main thesis of this research was that appropriate communication is necessary for successful implementation of performance contracting in the teaching profession in Kenya. The study was prompted by an apparent stalemate between two sets of communicants: the MoEST/TSC on one hand and teachers on the other; on the issue of performance contracting. From the study, it emerges that persuasive and participatory strategies of communication can play a core role in instituting and managing organizational change. How well communication is managed during implementation of change in an organization can guarantee or scuttle the success of change. In addition, dialogue as a strategy in organizational communication could be adopted by many institutions to negotiate and navigate around thorny issues that come with change.

This thesis, I believe will be an important reference text on organizational communication, where well structured and channeled communication is seen as a tool to achieving and managing change. To the Kenyan government, the research provides vistas through which the implementation of performance contracting can be seen and strategies

of persuasive communication borrowed for negotiating with labour to accept change. In the academia, the study pushes further Berlo's communication model by demonstrating the centrality of feedback as a measure of the success or failure of the communication process.

Based on the findings of the study, my main argument (thesis) is that there is need for robust conceptualization of the relationship between the message, management of the message and the perceptions elicited by the message during any policy implementation process.

### **5.6. Reflections on the Research Process**

In this section, I summarized my experiences as a researcher. Generally, I took up the research project with a lot of enthusiasm and excitement with the hope of finishing compiling my report within 8 months. This study being largely qualitative, I was expected to spend a substantial amount of time with the respondents and establish a rapport with them that would enable them to freely respond to my interview questions.

I carried out my research in Uasin Gishu County, a county I am generally familiar with. This was necessary because of the time stipulated for completion of the Master of Science in Communication Studies (MSC) program and the fact that the dynamics of the issue under discussion had started to change. The MoEST/TSC had started making pronouncements, again through the media, that it would call the teachers' unions for negotiations.

All in all, the field experiences were exciting as they afforded me an opportunity to generate in-depth data on implementation of PCs in the teaching profession. Most of my respondents, I have to admit, were enthusiastic to participate in the interview; some accepted to be recorded and also their photographs taken. The photographs have, however, not been attached to this report for ethical reasons. It is, however, worth noting

that a few respondents were rather cautious as they feared victimization. The other challenge I encountered was minimal time especially because I had to seek permission from my immediate supervisor during working hours and that limited my interaction with the respondents.

Finally, though it has taken me longer than expected I appreciated the experiences and was able to generate very rich data, as presented in chapter four, which enabled me to make the generalizations that I arrived at.

### **5.7 Recommendations**

As revealed in this study, the role of communication in any organization is very significant. In relation to research question one; teachers suffered a lack of vital information on PCs. In this regard, it is imperative that the government/TSC brings on board teachers in the implementation process of PCs to ensure inclusivity.

The study establishes optimism that PCs are bound bring some improvement in the overall service delivery in the teaching profession. The implementation of PCs can only be achieved if the MoEST gives the challenge of communication breakdown due attention.

It is difficult to effectively sell change to employees without understanding their needs, concerns and fears. The government should therefore accurately understand the feelings of teachers towards the implementation of PCs so as to address them in time to avoid further conflict.

### **5.8 Suggestions for further research**

Research done on implementation of PCs in Kenya remains very minimal. There is need for further research in this area so as to bring to light other aspects of performance contracting. It would be valuable to know, for instance, know whether or not the desired

objectives by the government are achieved. While the teachers fault the channel used for the failure in effective communication on the implementation of PCs, it would be interesting to find out if a study conducted in view of this would achieve similar results. Lastly, research will be necessary to find out whether ultimately after implementation, performance contracting would improve education standards in Kenya.

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***APPENDIX 1: LETTER TO THE PRINCIPAL***

P.O. BOX 686-30200,

KITALE

14/4/2013

THE PRINCIPAL,

SCHOOL X

Dear Sir/Madam,

RE: A REQUEST TO USE YOUR SCHOOL AS A RESEARCH SITE

I am a student of Moi University, pursuing a Master of Science degree in Communication Studies.

I am carrying out a research on the **communication on implementation of performance contracting in the teaching profession: a study of Uasin Gishu County**. The information collected will be used to make recommendations for the improvement of policy implementation process in the Ministry of Education. Your school is among those that have been selected to participate in this study. Your co-operation and assistance will be highly appreciated. All the information obtained from your institution will be used only for the purposes of this study and will be treated as confidential. Let me take this opportunity to thank you in advance for taking part in this study.

Yours faithfully,

Sikolia, M. Doreen

## ***APPENDIX 2: INTERVIEW GUIDE***

### **Ice Breaking Question**

1. Introductions: Tell me a little about yourself. I also introduce myself.

### **Questions**

2. Performance Contract is a household term in Kenya today, how can you define it?

#### **probes:**

- i) What in your view are the feelings evoked by the term PC?
- ii) Why do you think PC is not popular among teachers?
- iii) Do you think it is a necessary tool?
- iv) What are the advantages the PC?
- v) What its disadvantages?
- vi) Why do you think PCs are not popular among teachers?

3. What are your perceptions about PC?

**Probes:** i) What message have you received on implementation of PCs from your employer?

- ii) Seemingly, teachers have refused to sign PCs, what is your take on such a decision?
- iii) What are your sources of information on the issue of PCs?
- iv) What is your personal feeling about the implementation of PCs?
- v) How do you your colleagues feel about it (that's if you have discussed at any point)?
- vi) How do evaluate yourself/ teachers?

4. How has the TSC communicated the issue of PCs to teachers?

**Probes:**

- i) Has there been any awareness creation on the need for PCs among teachers?
- ii) What media of communication is used in the MoEST?
- iii) How effective is the media of communication?
- iv) How best would you suggest the issue of PCs be handled?



## ***APPENDIX 3: LIST OF CODES (FIRST , SECOND and THIRDPHASE)***

### **First Phase Coding of Interview Data**

1. Length of service/stay
2. Definition of PC
3. Necessity/need for the PC in the MoEST
4. Implementation of the PC
5. Awareness creation about the PC
6. Sensitization process between the MoEST and teachers
7. Knowledge of what is entailed in the PC
8. Evaluation process
9. Communication process over implementation of PCs
10. Effectiveness of communication
11. Accountability as a driving force towards implementation of PCs
12. Implementation process of the PCs in the teaching profession
13. General perception of teachers and stakeholders over implementation of PCs

### **Second phase Coding of Interview Data**

#### **1. DEFINITION**

- As tools of evaluating performance.
- A document on quality of service delivery
- A punitive document
- A negotiated document
- A document that works with set objectives.
- Incentive tied to performance

## **2. NECESSITY OF PERFORMANCE CONTRACTS (PCs)**

### **(i) Negative**

- Blanket expectation
- Expects improvement only
- Rigid nature
- Can cause burn out
- Blanket generalization
- There are other factors beyond the teacher that affect performance
- Un-inequitable resources make it

### **(ii) POSITIVE**

- Specifies targets
- Encourages progression to performance
- Acts as a reminder
- Good for accountability
- Makes workers remain focused
- Guards against duplication of roles

## **PERCEPTION TOWARDS PERFORMANCE CONTRACTS (PCs)**

- Government has sinister motives
- Inequitable resources
- It is monstrous
- If modified it is not a bad idea
- Can be used as an avenue for victimization
- It is punitive

## **SENSITIZATION/AWARENESS CREATED**

- threats

- intimidation
- just heard of it from the media
- no circular to its effect
- no sensitization

### **KNOWLEDGE OF WHAT PC IS**

- leighman's perspective
- heard from the media
- information available is misleading
- no idea

### **6. COMMUNICATION CHANNEL AND EFFECTIVENESS**

- through principal
- circulars
- internet
- print media
- Television- mass media

#### Effectiveness

- Circulars-teachers do not get a chance to read them
- Mass media –allows for public criticism
  - disadvantage if no access
- Website –easiest and best
  - sometimes takes long before uploading
  - Technologically teachers cannot access.-
- Mass media – not the best
- Circulars-ineffective (time)
  - teachers never get to see them

- Principal-circulars and emails especially.
- Website-could be more reliable.
  - benefits computer literates.
- Mass Media-negative
  - not the best.
- Directives from the TSC through the media –led to stalemate.
- Media
  - All communication through principal
  - Circular-Most effective
    - Reduces uncoordinated pronouncements
    - depends on principal’s availability.
  - Email-quick
  - Mass media-informative
    - not reliable because information from it is treated as rumour
  - Too much information to the media.
  - Circulars forwarded from the head office –most ineffective
    - takes long
    - analogue.

## **7. EVALUATION PROCESS**

- Government to be interested in value addition.
- Curriculum requires continuous modification.
- Internal inspection more practical.

## **8. IMPLEMENTATION**

- take the proposed but make necessary amendments
- allow for feedback and dialogue
- must be representative of stakeholders
- government to think of strategy to make program smooth

### **Third phase coding of interview data**

#### **1. Messages Communicated about PCs**

##### Sensitization

- Government should come down and explain to the teachers
- Its presentation was like a way to punish teachers
- No circulars to its effect
- Communicate openly to teachers
- We cannot sign what we have not gone through

##### Knowledge about PCs

- No idea
- A rumour of what was to be sensitized
- Information available is misleading
- There is confusion over job contracts and PCs.

#### **2. Managing the Communication**

- Communication was wrong
- Circulars are the only official communication though takes very long to get to schools
- The PC is being imposed on teachers
- Lack of involvement

#### **3. Perceptions on PCs**

### Necessity

- Expects improvement only
- Allows for victimization
- Duplication of already existing systems

### Evaluation

- Consider other factors
- Be done in line with available facilities
- The teacher is just one factor contributing to performance

### Implementation

- Allow for feedback and dialogue
- Must be representative of stakeholders
- Not certain of its implementation

## ***APPENDIX 4: BUDGET***

<b>Particulars</b>	<b>COST in KSH</b>
Project Proposal	10,000
Research	6,000
Computer Services	8,000
Printing Services	14,000
Proof-Reading and Binding	8,000
Travel expenses	17,000

Contingency Cost	10,000
<b>Total</b>	<b>73,000</b>

### ***APPENDIX 5: RESEARCH SCHEDULE***

<b>Activity</b>	<b>Duration</b>
Proposal Writing and Presentation	6 months
Field Work	1 month
Data Analysis and writing of first thesis draft	8 months
Compiling and writing the final draft	7 months
Corrections of the draft	2 months

## ***APPENDIX 6: TRANSCRIPT 2(Teacher 2a)***

**What are your teaching subjects?**

- I am a Biology and Chemistry teacher. I have taught for 12 years now.

**Is there any improvement noted from the time you began teaching to date?**

- Compared to my first years in the service, the performance of the two subjects have tremendously improved. When I began teaching, students hardly got A's in the two sciences but today, the attitude has changed and therefore better performance.

**Are you a member of any union?**

- I am a member of KNUT.

**Looking at what the union does for the teachers, do you think it is honest in its endeavours?**

- To me the union is important because it fights for our rights as teachers but in the same breath, the union officials become unreasonable. This I am looking at of the demands they put on the government for example on the pay rise. As someone who knows a bit of economics I would say it makes no economic sense to ask for 100% pay increase for hundreds of thousands teachers in such a country. On your issue of investigation, madam, I think the union should have taken its time to enlighten us on what it is that the government is proposing and to what extent the proposal will affect us as teachers so that when we are refusing we know exactly what we are refusing and not acting as puppets to our unions.

**Performance contract is a household term today, how do you define it?**



- To me a PC is an agreement signed between an employer and the employee about the quality of service/ expectations of the work done. I mean, we first have to come to a consensus on the expectations before I sign the document.

**What is your perception/feeling/attitude towards the performance contracts?**

- As a teacher, when the debate was brought forth on the mass media, I went an extra mile to find out what it is all about and I think on one hand I like the idea but have some reservations

- **Positive**

- It makes workers to remain focused. This is because they are guided by the target they set before hand.
- It clearly defines the roles of each individual in the organization thus guards against duplication of roles.
- Employees strive for perfection because it enhances continuous upgrading of the work done thus improving on the quality of the work.

- **Negative**

- The entry behaviour of learners differs from one school to another yet the originators of the PCs did not put this into consideration. All they want is an improvement.
- Performance does not just depend on the teacher but also the school environment and other unpredictable factors.
- It may lead to burn out because all the time you are working to meet a certain goal thus you are forced to work around the clock.
- Does not take into account the uniqueness of every worker. This I mean, as teachers we are different in the sense that each of us has their own strengths and

weaknesses and so evaluating all of us as if we were one and the same is over generalisation thus a wrong picture.

- Some employers and our case, some principals can easily take advantage of this tool to create avenues where teachers who are not preferred are transferred or punished.

**Seemingly, your cons are more than the pros; does this suggest that the teachers' rejection of the PC is justified?**

- However, I don't support the idea of teachers rejecting the PC, instead teachers should look at what has been proposed, if any, then make necessary modifications to suit their various circumstances. I insist if any because so far, I have not seen a PC for the teachers.

**Has there been any awareness created on the need for PCs among teachers?**

In my opinion, teachers' reaction is a fear of the unknown. They view the PC as a monster that has come to take away their jobs. I believe this fear originates from the communication the teachers have received about the tool, threats. It is just human to hate what is told to you as a threat (that's my take).before I forget, the teachers' perceptions of the PC are based on hearsay. Can you imagine unlike other new policies e.g. SMASSE, the government has not sensitized teachers on what a PC really is. The unions have not also come down to sensitizing us on what is that we should refuse but I forgive them because they are more like politicians than teachers and have to be seen to be working to earn. So most information on PCs has been misleading. Just like the GMOs, many people have no idea what it is all about. The information on PCs, eeh, back in 2010 our then principal mentioned something like the circular has been released to effect performance contracting, this was just a by the way because she said it like a joke, a day later the unions were on the media protesting about the same. I think communication came that the circular was on the way but I doubt if it ever arrived (sorry, I don't seem to remember the

details well but there was something like that). What I am sure of is that as teachers we did not see it.

**If implemented, do you think the tool will add any value to the education standards in the country?**

- In my opinion, if the teachers are well informed about the tool, then everything will be ok. I mean the frustration of maybe losing our job will no longer be an issue thus efficient in our service delivery. I believe that teaching should be continually improved/modified like other professions to suit dynamism. Here I am looking at technology and how it has become part and parcel of the curriculum.

**KNUT and KUPPET have dismissed the adoption of PCs among its members arguing that they add no value to what the teachers are already doing, what is your take on this kind of argument?**

The unions ought to give the teachers a chance to try the PCs if they really care about the education standards at all. This is because if status quo remains, the teachers will not work harder and therefore not matching the dynamism in society. This I mean, teaching is changing and therefore we are to accept change readily. Maths taught in the 1970s is not what is being taught today, and if the same content is to be taught today the approach will never be the same. This is dictated by the clientele then.

**The Parents' Association has blamed the failures in the 8-4-4 education system on the teachers' refusal to sign the contracts, how valid are these allegations?**

For those teachers' critics, it is better for each of them to realize that the failures in the 8-4-4 system has no connection whatsoever with the teachers' refusal to sign PCs. I believe teachers though 'minimal' are doing their part but the system has weaknesses. Specialization and talent development are encouraged in the 8-4-4 system whereas the facilities and resources are unavailable for the same.

**How do you get information from your employer? How do you perceive the channel of communication?**

- The main media of communication is the circulars which come through the principal. This has however turned out to be ineffective because it takes between 2-3 weeks to get to the schools. Occasionally, it takes more than a month. Mmh, I would say, I may have managed to see one (SMASSE) but for the others, I wait for communication from the principal. Too bad, if she keeps quiet about it, we don't get to ever know its' content. The MOE has now come up with posting updates and new policies on the website. This however benefits individuals who are computer literate. I think if updated on time the website could be the most reliable way of passing information from the employer to the teachers. On the other hand, if the schools adopted ICT in their schools, the employer would use the email more reliably. Mass media to me is not the best medium of communication because it paints the teachers as defiant people.
- The ineffective communication, I would say is to blame for this kind of stalemate because the employer has resorted to intimidating than being informative hence the rebellion. This I mean, the teachers see that it is already a bad thing and therefore being forced on them.

**Way forward**

- TSC should look for a proper way of orientating teachers on the requirements of the PC, highlighting the pros and cons of the same then allow for feedback from the teachers. This will obviously end in a consensus.

*APPENDIX 7: SAMPLE OF A PERFORMANCE*

*CONTRACT*

**TEACHERS SERVICE**

**COMMISSION**



**TEACHERS PERFORMANCE**

# APPRAISAL

## REPORT

### **PREAMBLE**

Performance Appraisal is a systematic way of reviewing and assessing

the performance of an employee during a given period. The appraisal

should reflect work output, achievement as well as display competencies over the review period.

The Performance Appraisal system's objectives include:

- providing feedback;
- improving communication;
- identifying training needs;
- clarifying roles and responsibilities and
- Determining how to allocate rewards and institute sanctions.

## **GENERAL GUIDELINES/ INSTRUCTIONS**

- i. The report covers all cadres of staff in the teaching service employed by the Teachers Service Commission.
- ii. The Appraisal Period covers **from 1<sup>st</sup> January to 31<sup>st</sup> December**
- iii. The form should be completed in duplicate
- iv. The appraisee should be evaluated on both set targets and behavioral attributes on termly bases
- v. The Appraiser's evaluation scores shall constitute the actual rating of the appraisee
- vi. At the end of the year, the original report should be forwarded to TSC County Director and the duplicate should be retained by the appraisee.
- vii. Visit TSC website, [www.tsc.go.ke](http://www.tsc.go.ke) to download this form.

### **PART 1 - PERSONAL DATA**

This part should be **fully completed by the appraisee** to provide personal details and employment records.

Surname				Institution					
First Name				Sub-County					
				County					
				Highest Academic					
Middle Name				Qualification					
				Designation					
				Job Group					
TSC Number				Administrative					
				position (if any)					
				Dates of Appointments	Current Job Group				
Date of Birth	Day	Month	Year		First				
					Administrative position (if any)				
Sex (Tick as appropriate)	Male		Terms of Service (Tick as appropriate)						
	Female		Permanent Temporary Contract						
Any Disability	Yes	Mental Impairment	Visual Impairment	Hearing Impairment	Physical Impairment	Multiple Handicapped	Speech Impairment	Others (specify)	No
<b>Period of Appraisal</b>		<b>From :</b>			<b>To:</b>				

In this part, opportunity is provided to both the appraisee and the appraiser to evaluate, and rate the appraisee's achievement in relation to institutional objectives and agreed targets (assignments).

The countersigning officer should validate and give recommendations. He / she may arbitrate whenever need arises.



<b>Officer</b>	<b>Definition</b>	<b>Role</b>
Appraisee	Teacher being assessed	Evaluation of his/her performance
Appraiser	Appraisee's immediate supervisor	Evaluation of the appraisee performance
Countersigning Officer	Overall supervisor of both the appraisee and appraiser	Validation of evaluation reports Recommendation for further action,

### **APPRAISAL STRUCTURE**

<b>APPRAISEE</b>	<b>APPRAISER</b>	<b>COUNTER SIGNING OFFICER</b>
<b>POST PRIMARY INSTITUTION</b>		
Teacher/Tutor/lecture	Head of Department/ Deputy Principal/ <del>Deputy Head Teacher</del>	Head of the Institution
Head of Department	Deputy Principal/ Deputy Head <del>Teacher</del>	Head of the Institution
Deputy Head/ Deputy <del>Principal</del>	Head Teacher/ Principal	District Staffing Officer
Head Teacher/ Principal	Deputy County Director Teacher Management	County Director Teacher Management
<b>PRIMARY SCHOOL</b>		
Teacher	Senior Teacher/ Deputy Head Teacher	Head Teacher
Senior Teacher	Deputy Head Teacher	Head Teacher
Deputy Head Teacher	Head Teacher	District Staffing Officer / TAC-
Head Teacher	District Staffing Officer/ TAC- Tutor	Deputy County Director Teacher Management/ District Staffing

**NB: Incase of any queries related to the performance appraisal system contact the County Director Teacher Management**

#### **2(a) INSTITUTIONAL OBJECTIVES**

The appraisal report should be based on the following broad objective from which the individual performance targets should be derived.

- i. To**

**implement curriculum as required within the stipulated period**

**ii. To**

**effectively and efficiently carryout curriculum evaluation**

**iii.To perform all Administrative duties and supervisory responsibilities as required**

**by the institution**

**iv. To**

**manage students discipline**

**v.To organize and supervise students' co-curricular activities for both competitive**

**and**

**none competitive participation at different levels.**

## **2(b) TARGETS SETTING**

Guided by the institutional objectives above, the appraiser and the appraisee should agree on at least five (5) key targets (assignments) at the beginning of each term.

## **2(c) CORE VALUES**

The appraiser should rate the appraisee's behavior based on the following core values:

i. **Professionalism:-**the manner in which the teacher applies skills, knowledge, competencies and meets the standards needed for the job. This includes ability of the teacher to establish clear goals, measure progress and take responsibility for results and work without close supervision.

ii. **Customer Focus:** - responsiveness of the teachers to; students/pupils, parents and other stakeholders.

iii. **Integrity:-** the manner in which the teacher exhibits honesty, moral and ethical standards, including punctuality and commitment to work.

iv. **Team Spirit:** - consider the ability of the teacher to work in a team.

v. **Innovativeness:** -consider the appraisee's ability to introduce new ideas and approaches in teaching profession.

## 2(d) SCORE/ RATING SCALE

The score /rating scale should be used to evaluate the appraisee on:

- Performance as per agreed targets
- The level of adherence to the set core values (behavioral attribute)
- The annual percentage rating.

<b>The Level of Adherence to the Set Core Values</b>		<b>Attributes)</b>
<b>Core Values</b>	<b>Scoring Scale (1 -5)</b>	<b>Rating</b>
<b>PROFESSIONALISM</b>	5	very High
	4	High
	3	Average
	2	Below average
	1	Low
	1	Very High
<b>CUSTOMER FOCUS</b>	5	very High
	4	High
	3	Average
	2	Below average
	1	Low
	1	Very High
<b>INTEGRITY</b>	5	very High
	4	High
	3	Average
	2	Below average
	1	Low
	1	Very High
<b>TEAM SPIRIT</b>	5	very High
	4	High
	3	Average
	2	Below average
	1	Low
	1	Very High
<b>INNOVATIVENESS</b>	5	very High
	4	High
	3	Average
	2	Below average
	1	Low
	1	Very High

<b>Performance as per agreed Targets</b>	
<b>Result Achieved</b>	<b>Score</b>
Targets/expectations fully met and	5
Targets/expectations fully met	4
most targets /expectations met	3
Some targets /expectations met	2
Most targets/expectations not met	1

2(e) TERMLY EVALUATION-TARGETS

<b>Annual Percentage Rating</b>	
<b>Percentage</b>	<b>Rating</b>
81% and above	Outstanding
66% - 80%	Very Good
50% - 65%	Good
31% - 49%	Fair
20% - 30%	Poor

*FIRST TERM (1s\* January -30th April; Year....*

This will account for 25% of the overall rating

<b>S/N</b>	<b>TARGETS/ASSIGNMENTS</b>	<b>Appraisee's Rating</b>	<b>Appraiser's Rating</b>
<b>TOTAL SCORE</b>			

**Comments arising from first term performance**

	<b>COMMENTS</b>
<b>APPRAISEE</b>	
<b>Sign:</b>	
<b>Date:</b>	
<b>APPRAISER</b>	
<b>Name:</b>	
<b>TSC. No.</b>	
<b>Designation:</b>	
<b>Sign:</b>	
<b>COUNTER SIGNING</b>	
<b>Name:</b>	
<b>TSC. No.</b>	
<b>Designation:</b>	
<b>Sign:</b>	

This will account for 25% of the overall rating

<b>S/N</b>	<b>TARGETS/ASSIGNMENTS</b>	<b>Appraisee's Rating</b>	<b>Appraiser's Rating</b>
<b>TOTAL SCORE</b>			

**Comments arising from second term performance**

	<b>COMMENTS</b>
<b>APPRAISEE</b>	
<b>Sign:</b>	
<b>Date:</b>	
<b>APPRAISER</b>	
<b>Name:</b>	
<b>TSC. No.</b>	
<b>Designation:</b>	
<b>Sign:</b>	
<b>COUNTER SIGNING</b>	
<b>Name:</b>	
<b>TSC. No.</b>	
<b>Designation:</b>	
<b>Sign:</b>	

**THIRD TERM (1<sup>st</sup> September - 31<sup>st</sup> of December) Year.**

This will account for 25% of the overall rating

S/N	TARGETS/ASSIGNMENTS	Appraisee's Rating	Appraiser's Rating
<b>TOTAL SCORE</b>			

**Comments arising from third term performance**

	COMMENTS
<b>APPRAISEE</b> Sign  Date	
<b>APPRAISER</b> Name: TSC. No. Designation: Sign Date	
<b>COUNTER SIGNING OFFICER</b> Name: TSC. No. Designation: Sign Date	

**2(f) TERMLY EVALUATION-CORE VALUES (Behavioral Attributes) Year....**

In this section the appraisee is rated on the core values (behavioral attributes) which influence performance of duty.

The **mean score** of the termly rating will account for 25% of the overall rating.

(Refer to 2(c), page 4)

CORE VALUE (Behavioral Attributes)	TERMLYRATING					
	APPRAISEE			APPRAISER		
	FIRST	SECOND	THIRD	FIRST	SECOND	THIRD
PROFESSIONALISM						
CUSTOMER FOCUS						
INTEGRITY						
TEAM SPIRIT						
INNOVATIVENESS						
<b>TOTAL SCORE</b>						
<b>APPRIASER'S</b>						

**Comments on core values (behavioral attributes) rating**

	COMMENTS
<b>APPRAISEE</b> <b>Sign:</b> <b>Date:</b>	
<b>APPRAISER</b> <b>Name:</b> <b>TSC. No.</b> <b>Designation:</b> <b>Sign:</b>	
<b>COUNTER SIGNING</b> <b>Name:</b> <b>TSC. No.</b> <b>Designation:</b> <b>Sign:</b>	

**PART 3- ANNUAL RATING/SCORE Year**

The **appraiser's termly scores** (targets and core values) should be summarized in the table below and summed to give the total percentage score which should be rated



appropriately.

**Summary of the appraiser's evaluation scores**

<b>1<sup>ST</sup> TERM</b>	<b>2<sup>ND</sup> TERM</b>	<b>3<sup>RD</sup> TERM</b>	<b>CORE VALUE</b>	<b>PERCENTAGE</b>	<b>RATING</b>

**Comments arising from annual rating/score**

<b>COMMENTS</b>	
<b>APPRAISEE</b> <b>Sign:</b> <b>Date:</b>	
<b>APPRAISER</b> <b>Name:</b> <b>TSC. No.</b> <b>Designation:</b> <b>Sign:</b> <b>Date:</b>	
<b>COUNTER SIGNING</b> <b>Name:</b> <b>TSC. No.</b> <b>Designation:</b> <b>Sign:</b> <b>Date:</b>	

**PART 4- OPPORTUNITY FOR IMPROVEMENT**

In this part, the appraisee is expected to state specific performance gaps that if addressed will improve his/her competencies and output.

The appraiser should discuss the appraisee's performance gaps, and identify interventions in relation to work environment/ physical facilities/training among others.

**Performance gaps and proposed interventions**

	<b>Performance gaps /proposed interventions</b>
<b>APPRAISEE</b> <b>Sign:</b>  <b>Date:</b>	
<b>APPRAISER</b> <b>Name:</b> <b>TSC. No.</b> <b>Designation:</b> <b>Sign:</b> <b>Date:</b>	
<b>COUNTERSIGNING OFFICER</b> <b>Name:</b> <b>TSC. No.</b> <b>Designation:</b> <b>Sign:</b> <b>Date:</b>	

**PART 5- COMMENTS BY THE COUNTERSIGNING OFFICER**

In this part, the countersigning officer should give comments on the appraisee's suitability for assignment of more challenging responsibilities.

**Signature:** \_\_

**Name:** \_\_\_\_\_

**TSC.NO.** \_\_\_\_

**Designation: Date:**