

**THE IMPACT OF PUBLIC MANAGERS' LEADERSHIP STYLES ON
RESULTS-BASED PLANNING PRACTICES IN VIETNAM**

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ABSTRACT

Over past decade, there has been increased use of results-based management in Vietnam and other countries, but little empirical research exists on results-based planning (RBP) in the planning functions of public organizations. Some experiences suggest that managerial leadership may be among the determinants of success, affecting whether and how RBP is used. This thesis answers the following question: *What is the impact of leadership styles by public managers on the practices of RBP?*

Using empirical observations of current RBP in Vietnamese public organizations and a multiphase mixed method design, this study finds that transformational, transactional, and autocratic leadership styles are often concurrent among public managers (but in varying intensities), and these ‘combined’ leadership styles have a direct, positive, and strong effect on the use and outcomes of RBP practices. This study also finds that leadership effects on RBP are stronger than other organizational factors examined (RBP-related training, bureaucratic culture, funding). Furthermore, among three components of these combined leadership styles, transformational leadership has the greatest contribution to the higher performance of RBP practices. The findings of this research also show the specific leadership behaviors by public managers that are most associated with the increased RBP.

This study contributes to the literature by offering empirical evidence of the role of leadership in deploying reforms such as results-based planning in a context of a developing country. It also provides public organizations with knowledge of leadership styles for implementing such reforms.

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LIST OF ABBREVIATIONS

ADB.....	Asian Development Bank
ALS.....	Autocratic leadership styles
AVE.....	Average Variance Extracted
BC.....	Bureaucratic culture
CFA.....	Confirmatory Factor Analysis
CMV.....	Common Method Variance
CoP-MfDR.....	Communities of Practice on Managing for Development Results
CPRGS.....	Comprehensive Poverty Reduction and Growth Strategy
CPV.....	Communist Party of Vietnam
CR.....	Composite Reliability
DPI.....	Department of Planning and Investment
EC.....	Employee commitment
EFA.....	Exploratory Factor Analysis
ES.....	External support
FUND.....	Funding for RBP deployment
HCM.....	Higher component model
HOC.....	Higher-order component
IPMA.....	Importance-Performance Matrix Analysis
KMO.....	Kaiser-Meyer-Olkin
LOC.....	Lower-order component
LS.....	Leadership styles
MARD.....	Ministry of Agricultural and Rural Development
MLQ.....	Multifactor Leadership Questionnaire
MoF.....	Ministry of Finance
MPI.....	Ministry of Planning and Investment
MPPAR.....	Master Programs on Public Administration Reform
MTEF.....	Medium Term Expenditure Frameworks

NDP.....	National Development Planning
NPM.....	New Public Management
ODA.....	Official Development Assistance
OECD.....	Organization for Economic Cooperation and Development
PLS.....	Partial Least Square
RBM.....	Results-based management
RBP.....	Results-based planning
RBPact.....	Results-based planning activities
RBPoc.....	Results-based planning outcomes
RBPop.....	Results-based planning outputs
RBPP.....	Results-based planning practices
RBPR.....	Results-based planning results
RBPtrain.....	Results-based planning-related training
SEDP.....	Socio-economic Development Plan
SEM.....	Structural Equation Modelling
SMART.....	Specific, Measurable, Attainable, Realistic, and Timely
SPSS.....	Statistical Package for the Social Sciences
SWOT.....	Strengths, Weaknesses, Opportunities, and Threats
TALS.....	Transactional leadership styles
TFLS.....	Transformational leadership styles
TLS.....	Top leadership support
UNDP.....	United Nations Development Programme
UNESCO.....	United Nations Educational, Scientific and Cultural Organization
UNICEF.....	United Nations International Children's Emergency Fund
VDGs.....	Vietnam Development Goals
WB	World Bank

Chapter 1. Introduction

1.1. The practice-based problem

The past two decades have witnessed an outgrowth of results-oriented reforms in the public sector (Gao, 2015). Since the introduction of this movement, many public agencies, particularly in developing countries where national development planning remains a key policy instrument, have adopted various results-based management (RBM) techniques to manage for results including results-based planning (RBP). Results-based management is referred by various names such as performance management, outcome-oriented management, reinventing government, etc., aiming at improving the performance of organizations, producing better results (Behn, 2002, p.5). Results-based management (RBM) is a broad management approach whose core focuses on what results are achieved, how they are achieved, and managing processes for achieving results-which is the focus of this study (Bennedijn, 2000; Curristine, 2005; Ferreira & Otley, 2005; Middleton & Regan, 2015; UNDG, 2012; OECD, 2013).

Some key processes of RBM involve the use of logic models and foci on achieving results at different levels (outputs, outcomes, impacts). These key reforms of New Public Management (NPM) are now well-established in the discipline (Wholey, 1999; ADB, 2006; Mayne, 2007; Moynihan, 2006; UNDG, 2012; Pazvakavambwa & Steyn, 2014). RBP is the application of RBM principles in the planning processes of public agencies. RBP focuses on specifying, clarifying and achieving results within available budgets, with corresponding indicators and targets, and monitoring and evaluation frameworks (Cambridge Systematic et al., 2010; Asia-Pacific CoP-MfDR, 2011).

In many developing countries including Vietnam, there has been increased use of RBP as an effort to improve the planning functions of states and their public organizations, and ultimately the possibility of attaining national development goals and objectives (OECD-DAC, 2007, 2008; World Bank, 2011; OECD, 2013; Middleton

& Regan, 2015). Examples of RBP benefits in planning include increased clarity of development objectives, increased feasibility and quality of plans and programs, closer linkage of planning and budgeting, and increased monitoring and evaluation toward results. These benefits of improved planning are expected to ‘loosen up’ some pressure that the public sector has been facing such as budget constraints and lack of transparency and accountability (OECD-DAC, 2007, 2008; Goh, 2012; Gacia Moreno & Lopez, 2010).

However, the challenges to RBP remain despite an increasing number of public agencies adopting RBP since the 2000s. Specifically, traditional bureaucratic culture has caused resistance to RBP which led to the lack of active and positive participation in the implementation process, and ultimately resulted in slow pace of change from the “old” to ‘new’ way of planning. Insufficient budgets have been provided for training staff and collecting data in RBP processes that led to the lack of necessary skills and knowledge in RBP among public servants and unqualified data, respectively. The lack of competent civil servants to implement and manage a results-based process has posed another challenge for public agencies as RBP requires skills not used in the past input-oriented plans. In addition, the absence of comprehensive and official review or evaluation of the practice of RBP as well as its impact on planning, organizational performance, and the effectiveness of development plans in the Vietnamese public sector so far has led to some skepticisms about actual benefits that government agencies can obtain from RBP as well as the long-term sustainability of RBP. The hitherto sparse number of RBP adopting agencies in Vietnam (2/22 Ministries, 6/63 provinces) that are in go-live phase might be evidence for this doubt.

The fact that these setbacks do not change the theoretical promise of RBP, the problem lies in its implementation and the need for leadership to overcome its specific barriers. In settings where RBP is promoted, more is needed than support and encouragement by top-level public officials; it also requires a different mindset and leadership practices by lower-level managers who need to ensure RBP effective deployment and long-term sustainability. Indeed, the experiences of results-based

approach adoption in Vietnam recently as well as the literature indicate that managerial leadership is among the key determinants of success (Fernandez & Rainey, 2006; Do & Truong, 2009; Hung et al., 2015; De Waal & Counet, 2009; Arnaboldi et al., 2015).

Managerial leadership is defined as “a process of influencing others to understand and agree about what needs to be done and how to do it, and the process of facilitating individual and collective efforts to accomplish shared objectives” (Yukl, 1981, p.8). RBP requires certain leadership activities by public managers such as leading their staff to do all RBP activities; getting their staff involvement in the RBP process in order to ensure all RBP activities to be accomplished beyond performance expectations; providing staff with the tools necessary to implement RBP such as analytical tools and techniques (e.g., logic framework, SWOT) and resources needed; building broad support for national plans using RBP to ensure its sustainability. However, it is obvious that public managers may produce only modest results when only superficial attention is given to these activities. In order to overcome the specific barriers to RBP as well as achieve higher results of RBP, the certain kind of managerial leadership in influencing, developing, facilitating as well as motivating staff during RBP processes is needed to put in place. Leadership styles are relevant to this purpose because they are key to what and how things get done. Given leadership styles-RBP practices relationship is seriously investigated, this could increase the chance of successful implementation and widespread use of RBP in the Vietnamese public sector.

The following section presents in more detail some reasons that motivate the researcher to conduct this study.

1.2. Research needs

While many studies undertaken in both developed and developing country contexts show that no reform program can be successful without clear, strong, and dedicated leadership at all levels (e.g., Curristine, 2005; OECD-DAC, 2008; Beh & Shafique, 2016), little is known about the role of managerial leadership that is needed for implementing results-based reforms such as RBP. As observed, many developing

countries are in the transformation of their planning systems towards RBP which is characterized by the clarity of results to be achieved at different levels with the use of analytical tools such as problem trees, SWOT, logic model, and stakeholder participation. This planning approach requires leadership practices (or styles) that are different from those used in the traditional input-based planning. For instance, while the conventional planning is an internal process and often focuses on inputs rather than outcomes, public managers do not need to coach or mentor staff how to use the analytical tools such as logic models effectively in clarifying desired outcomes. Also, they are not required to motivate employees to participate more actively and proactively in this process. Hence, research that examines the leadership styles used by public managers in RBP implementation and its effects on the outcomes of RBP is of special interest.

An examination of the literature on results-based reforms and leadership in the public sector finds little academic research on RBP and limited research on public managers' leadership styles, either top managers or middle and line managers, as well as the relationships between them in the context of developing countries. Specifically, little academic research has been devoted to examining results-based planning- a common practice of performance/results-based management. Furthermore, most of these studies are applied research (e.g., Cambridge Systematics et al., 2010; Auditor General of Canada, 2000; Guerre et al., 2012) that may help solve specific problems in practice, but not advance knowledge in the field. In other words, the domain is still lacking a robust knowledge base that organizations can rely upon to effectively implement RBP.

Also, many studies on performance management find the need for more leadership to overcome its specific barriers, however, these studies have paid attention to leadership in general, which suggest that leadership support and direct involvement in performance reforms is important for such reforms to succeed (e.g., OECD-DAC, 2007; Auditor General of Canada, 2000; Mayne, 2007), without any analysis of the influence of leadership styles. Moynihan, Pandey and Wright's (2011) study is an

exceptional case. In addition, the leadership role of non-senior public managers in deploying reforms such as RBP is under research, whereas top leadership support and involvement are widely documented as key variables most certainly related to performance management practices (Perrin, 2002; Binnendijk, 2000; Auditor General of Canada, 2000; Mayne, 2007; Wholey 1997, 1999; Curristine, 2005).

More significantly, there does not exist any research that investigates results-based reforms as RBP and leadership styles adopted during these processes in the context of developing countries like Vietnam. This may lead to insufficient involvement or inappropriate leadership practices of public managers during the implementation of reforms, which can prevent public organizations from success. Hence, the leadership styles adopted by public managers in the implementation of results-based reforms such as RBP merit careful research and analysis. This provides the researcher with an impetus to undertake this study as an effort to fill remaining gaps in the literature on the one hand and likely help increase the chance on successful implementation and widespread use of results-based approach in the public sector on the other hand.

1.3. Research question and objectives

Based on the abovementioned discussion, this study seeks to answer the overall research question:

What is the impact of public managers' leadership styles on the practices of RBP?

Specifically, the primary objective of this study is to investigate the relationship between leadership styles and the practice of RBP. The sub-objectives of this research are as follows:

- To identify the leadership roles and leadership styles of public managers in RBP implementation.

- To identify the specific leadership behaviors by public managers that are associated with the increased RBP.

1.4. Definition of key terms

The key terms used in this dissertation which will be discussed in more detail in the next chapters are defined as follows:

- Performance/Results-based management (RBM): a broad management strategy by which all actors, contributing directly or indirectly to the achievement of a set of results, ensure that their processes, products, and services contribute to achieving desired results at various levels (outputs, outcomes, impact). The actors in turn use information and evidence on actual results to inform decision-making on the design, resource allocating and delivery of programs and activities, and for accountability and reporting as well (Bennedijn, 2000; Ferreira & Otley, 2005; Middleton & Regan, 2015; UNDG, 2012; OECD, 2013) (*for further discussion, see below in 3.1*).

- Results-based planning (RBP): the application of results-based management principles in the planning processes of states and their public agencies, which involves the clarity of results to be achieved at different levels (outputs, outcomes, and impacts) within available budgets, with corresponding indicators and targets, and monitoring and evaluation frameworks (Cambridge Systematic et al., 2010; Asia-Pacific CoP-MfDR, 2011) (*for further discussion, see below in 3.1*).

- Results-based planning (RBP) practices: RBP in practice or the actual application or use of RBP (*for further discussion, see below in 4.1*).

- Public managers: refer to those who typically head a function, team, office, or department, and supervise day-to-day and other operations, including civil service and appointed leaders who are working at all levels of government agencies (*for further discussion, see below in 3.2*).

1.5. Research methodology

Taking a pragmatist perspective, a conceptual research framework was developed based on the findings from the literature review and practical evidence. A mixed methods multiphase/iterative design including three phases, qualitative -quantitative-qualitative, was then adopted for this study. This study used both systematic surveys and in-depth interviews with public managers and employees. Its emphasis is on the use of a survey and hypotheses. Data were based on respondents from 15 Vietnamese public organizations which have been implementing RBP since the mid-2000s.

1.6. Significance of the study

1.6.1. Theoretical contributions

This study contributes to performance management and leadership literature by examining and providing empirical evidence of the relationships between leadership styles of public managers and RBP practices in a context of a developing country. It is one among few studies validating and empirically investigating the relationship between leadership and the practices of performance management. Another significance of the research lies in focus on the role of public managers in deploying reforms such as RBP. This research advances studies of public leadership in developing countries by clarifying leadership roles of non-senior public managers and providing a piece of evidence that transformational and traditional leadership (transactional and autocratic) does coexist in the public organizations during RBP implementation.

1.6.2. Practical implications

This research provides public organizations with knowledge of necessary leadership styles of public managers for implementing reforms such as RBP. That is, public managers should adopt a combination of different leadership styles flexibly, with a more focus on transformational leadership styles in order to maximize the chance of success of RBP. Also, this study offers public organizations some useful suggestions

on how to get more managers with more such leadership skills (e.g., recruitment or development).

1.7. Scope and limitation of the study

This study aims at investigating the relationships between leadership styles and RBP practices in the context of Vietnamese public sector, but not overseas. It includes in its scope the public agencies which are involved in development planning processes and have been operating RBP for at least two years (go-live phase). The study focuses on the implementation stage of RBP, but not initiation stage. In addition, it focuses on non-senior public managers' leadership styles, rather than on top managers.

The significant limitation of the study is the measurement of study constructs as “hard measures” are not available for this study topic. Most of the measures are developed for the purpose of this research based on the previous studies and actual observations. Specifically, this study limits to the evaluation of outputs and short-term outcomes of RBP (e.g., improved planning function), but not long-term outcomes or RBP impacts (e.g., increased organizational performance, achievements of local and sector development objectives). Another limitation may be the selection of snowball sampling methods. This choice may limit the generalizability of the findings towards all the public sector due to the absence of random selection of samples.

1.8. Thesis outline

The thesis consists of seven chapters. In addition to the introduction chapter, the thesis is structured as follows.

Chapter 2 Background

This chapter provides a background overview of the evolution of results-based management approach in Vietnam which helps explain the content of this research. The chapter then looks at the introduction and adoption of RBP recently. It also points out several challenges to the future adoption of RBP in Vietnam that need to be considered.

Chapter 3 Literature review

This chapter reviews and synthesizes the existing literature in order to gain an understanding of prior research's findings concerning results-based management and leadership in the public sector, especially in developing countries. Based on this, it provides definition and conceptualization of main study concepts.

Chapter 4 Conceptual framework

This chapter presents a framework of key study variables and develops the hypothesized relations that are further examined in this study. This framework is based on performance management and leadership literature.

Chapter 5 Research design and methodology

The chapter discusses the ontological and epistemological underpinnings of the study and presents the methodology used in this study, including the research approach (mixed methods), the methods of sampling and data collection. Ethical considerations are also discussed in this chapter.

Chapter 6 Data analysis and results

This chapter discusses analysis methods for the data obtained from the main survey and qualitative interviews, with foci on the survey. It also presents the results from hypothesis testing using the survey data (and PLS- SEM analysis) and results from follow-up interview data that triangulate as well as extend these survey findings.

Chapter 7 Discussion and conclusion

The chapter offers further discussion of the main findings, along with some elaborations from follow-up interview data. It also reflects on contributions to theory and practice of the research, study limitations, as well as future research suggestions.

Chapter 2. Background

Introduction

This chapter provides an overview of the Vietnamese state system, policy-making process, public financial management, and public administration reforms, which help explain the Vietnam's development planning system and the reform of planning process with results-based approach over the last decade. Following is a summary of the evolution of RBP, which offers a basic understanding of how RBP was introduced and evolved in Vietnam. The chapter also analyzes some key challenges of the future adoption of results-based reforms such as RBP in Vietnam that need to be considered. The chapter serves as the context for examining the relationship between leadership styles and RBP practices.

2.1. Country background

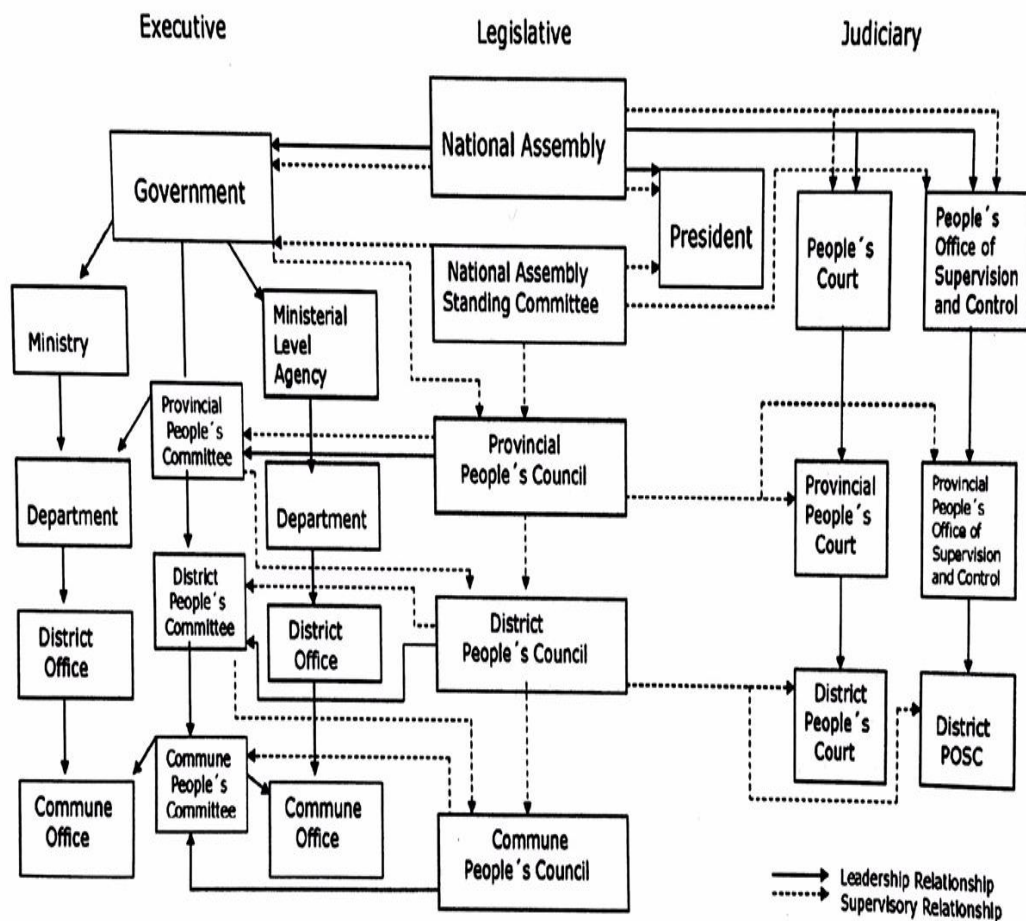
- *The Vietnamese state structure*

Vietnam is a one-party and unitary state with a supreme role of the Communist Party of Vietnam (CPV) in leading the whole country as clearly declared in the 1992 Constitution. In principle, the state power is vested in the state machinery which includes National Assembly (legislature), Government (executive), and Court and Office of Supervision and control (judiciary). In fact, the decisions of the CPV are adopted and implemented by a complex system of local and national government. All government agencies are subordinate to the CPV at each level (Malesky et al., 2014).

According to the amended 1992 Constitution, the National Assembly is the highest representative organ and the highest state authority with wide constitutional and legislative powers. The executive branch of the National Assembly consists of the Government, its ministries and ministerial agencies. The Prime Minister, the head of the Government proposes a cabinet, which is composed of deputy Prime Ministers, and Heads of all ministries and ministerial agencies (Ministers). The judicial branch comprises of the People's court and People's Office of Supervision and control. At

local level, local government includes three levels: provincial, district, and communal levels. Each level has a People's council and a People's committee. People's council whose members are elected by citizens every five years and the committee is its executive but plays the more substantial role as the local branch of national government. At each level, line departments are established to support to People's committee. These organs are directly under the control of line departments at the higher levels (vertical control) and the People's committee at the same level (horizontal control).

Figure 2.1. *The Vietnamese state structure*



Source: G.Waibel (2010, p.12)

- *Policy-making process*

Development planning has been a policy instrument for the central government to regulate and steer the socio-economic development in the past decades (Forsberg, 2007). The results-based approach is expected to help improve Vietnamese development planning processes. However, it is worth noting that similar to other reforms, results-based development planning (RBP) follows common characteristics of policy-making process in Vietnam: (1) it is a gradual and experimental process; (2) policy reform is increasingly affected by external factors (e.g., international integration and donors' influences); (3) the dominant leadership of the CPV, which decides the political acceptability of a policy idea, while the state is responsible for technical issues; and (4) collective leadership and consensus-based decision-making (Dang, 2013; Nguyen, 2017).

Shanks et al. (2004) note that the policy-making process in Vietnam produces a plethora of policy documents (i.e., laws, ordinances, resolutions, and decisions) and the real content of policy might not lie in the National Assembly's laws or resolutions but in the follow-up guidelines and instructions by line ministries and local governments. Specifically, the CPV, at its Congress every five years, decides on the development vision of the nation and sets out policy goals and principles, which is later described in its Congress's resolutions (Tan, 2012). The legislative branch (National Assembly) also makes policy, by approving laws or ordinances of its Standing Committee providing principle regulations in a specific policy area (e.g., Planning Law, Land Law), approving national development plans and budgets, and supervising its implementation. The executive branch headed by the Government is responsible for the implementation of laws and regulations, the approved plans for socio-economic development, the execution of budget through promulgating resolutions, directives, and decisions. These documents are often followed by guidance for implementation by relevant line ministries such as Ministers' circulars and Directives (Nguyen, 2017).

- *Public administration reforms*

The most recent reforms, the Master Programs on Public Administration Reform (MPPAR) for the period 2001-2010 and 2011-2020, developed more comprehensive, but more ambitious programs which covers four key components of the public administration (regulatory framework, organizational structure, civil service, and public finance) and contains many elements of the new public management such as restructuring, eliminating unnecessary procedures, decentralization, performance management, empowering managers, focusing on clients, participation and partnership. The later MPPAR basically was the next step of the MPPAR for 2001-2010 with some new activities and greater emphasis on strengthening performance and delivering results, aiming to take ongoing reform to a higher level. These reforms have created an impetus for the reform of planning process with results-based approach.

- *Public financial management*

There have been significant improvements in public financial management (PFM) and procurement over the past decade (Tan, 2012). The revised budget law (2002) that required greater transparency of budget information, and the pilots of Medium Term Expenditure Frameworks (MTEFs) recently have motivated the application of results-based planning in Vietnamese public agencies.

- *Partnership with international donors*

Like many developing countries, the adoption of such a new management approach as RBM as well as RBP in the public sector has been partly rooted by the impacts of successful reform experiences from Western countries and the encouragement (even forces) of various international donors such as WB, UNDP, ADB, etc. Vietnam is also among the largest recipients of ODA in the world. However, one of the distinctive characteristics of Vietnam is the absence of aid dependence. In other words, international donors cannot “buy” reforms, which in turn explains the strong country ownership of its reform program (World Bank, 2007).

2.2. Evolution of results-based planning in Vietnam

A brief overview of the history and features of national development planning in Vietnam provides us a better understanding of the introduction and adoption of RBP in the Vietnamese public sector context.

2.2.1. Characteristics of the Vietnamese development planning system

National development planning has been among key policy instruments for the Vietnamese central government to regulate and steer the socio-economic development in the past five decades (Forsberg, 2007; Tan, 2012). In Vietnam, national development plans are consolidated from local and sector development plans at all lower levels (Vu, 2008; Tan, 2012; OECD, 2012; ADB, 2015). Planning involves anticipating the future and formulating systematic programs of action to attain desired goals. In this broad sense, all governments engage in planning (Agarwala, 1983). Planning is the instrument used by government to define a country's road map or, in other words, its direction or destination. Planning is one among five key management elements of public sector management (planning, budgeting, implementation, monitoring, and evaluation) placed in a country context at various levels (national, subnational, sectoral and organizational levels). For example, planning can be represented by the national plan at national level, by the sector plan at sectoral level, by the local plan at local level, and so on (Asia-Pacific CoP-MfDR, 2011).

After World War II, it has become an accepted practice among most developing countries, including Vietnam, to develop their national economic planning, also called “national development plans” for the purpose of shaping and accelerating their development goals (Agarwala, 1983). These are medium-term plans, often for a five-year period. The development plan aims to promote economic development in the following ways: (1) by evaluating and providing information about the current state of the economy; (2) by promoting the overall investment rate; (3) by implementing special types of investment designed to break bottlenecks in production in important sectors of the economy; and (4) by attempting to promote the coordination across different sectors of the economy (Myint, 1979; Krueger, 1991). Meanwhile in most advanced western

countries, the use of national development planning as the primary policy instrument disappeared two generations ago, it has remained in developing countries until recently which aims to provide general development orientation for the whole country to accelerate economic growth and achieve sustainable social and political equilibrium (Vu, 2008; OECD, 2013; Shakya, 2008). However, it is worth noting that the planning functions and instruments have not truly died out in developed countries; rather, they have been replaced by other processes and tools of policy that are evaluated superior regarding their flexibility and usefulness (Allen, 2011).

National development planning (NDP) can be described as the nation's collection of strategies mapped out by the government (Lawal & Oluwatoyin, 2011). In many less developed countries, NDP is a crucial policy instrument that provides general development orientation for the whole country to accelerate economic growth and achieve sustainable social and political equilibrium. It plays an important role in shaping national development goals and priorities, ultimately aiming to utilize the available resources more effectively to achieve well-defined objectives (Vu, 2008; OECD, 2013; Shakya, 2008).

The planning system of Vietnam can be categorized as follows (MPI & UNICEF, 2013):

National plan: National socio-economic development plans provide general development orientation for the whole country. The five-year plan draws the mid-term direction, objectives and solutions to the development of a locality/sector towards successful implementation of the orientations and objectives outlined in the ten-year socio-economic development strategy. The annual plan presents concrete steps /activities specific to the locality/sector toward achieving the goals stated in the five-year plan. The annual plan must be built on the development orientation of the five-year plan with appropriate adjustment to fit the domestic and international socio-economic context which can have the impact on the implementation of the five-year plan that cannot be anticipated at the time the plan is developed.

Local plan: The socio-economic development plans (SEDP) at three levels (provincial, district, commune) are often referred to as the local plans which can be five-year plans or annual plans except commune level which only develops an annual plan. People's Committee at each level is in charge of making socio-economic development local plan drafts and submitting these drafts to the planning unit at higher level to synthesize. In principle, the SEDP at lower level must match the development objectives and orientation of the SEDP at upper level and suitable to the local development context. The annual SEDP must match the five year SEDP at the same level.

Sectoral development plan is the development orientation for individual sector which is made at ministerial, provincial, and district levels. It can be five-year or annual plan and must be a part of the national socio-economic development master plan and the local SEDP.

All these types of planning are carried out both horizontally and vertically within government. Most entities with planning responsibility have a dual reporting relationship, a vertical relationship to the higher-level agency and a horizontal relationship to the same-level government agency (*see Figure 2.2*)

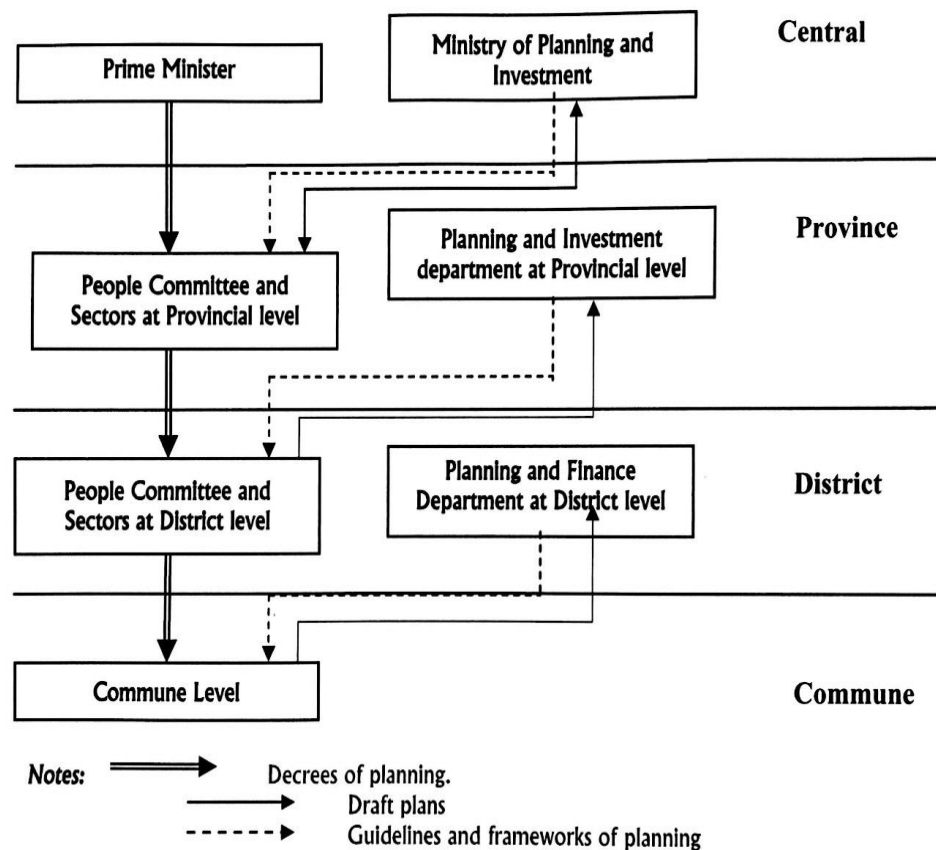
[Insert Figure 2.2 About Here]

Vietnam has a tradition of integrating annual bottom-up with top-down planning through the development planning process, even though in reality mostly follows the top-down approach. Ministry of Planning and Investment (MPI) and the Ministry of Finance (MoF), to a lesser extent are responsible for the national development plan. MPI has the leading role in coordinating and ultimately producing the SEDP. At the provincial level, the Departments of Planning and Investment (DPI) take the similar role.

Specifically, under the direction of MPI's annual planning guidelines, the national, local and sectorial SEDPs are generally developed. The planning process starts with the instructions and frameworks moving from the central government down

to lower levels of government. Since local plans are conceived as the sub-plans of national plan, each level of local government (provinces, districts, communes) submits proposals to the next level where they are integrated and passed on up eventually to MPI. National and sub-national plans are meant to be integrated through the formal hierarchical controls associated with the preparation of a comprehensive national SEDP such as planning instructions, and earmarking of resources, and a system of formal targets and related reporting obligations (Vu, 2008; Tan, 2012).

Figure 2.2. *Development planning process in Vietnam*



Source: Vu (2008)

2.2.2. Key drivers for reforming national development planning processes.

Firstly, the importance of national development planning in the Vietnamese context. Though national development plans almost disappeared in developed countries two generations ago, it remains to be a primary policy tools for the Vietnamese central government to regulate and steer the socio-economic development for years (Forsberg, 2007; World Bank, 2006), as in many other developing countries. During the past five decades, the SEDP has been the pillar of Vietnam's strategic planning (Tan, 2012)

Secondly, the pressures for more efficient, effective, and transparent government plans and programs in order to respond to the increasing demands for more accountability and transparency from its citizens and international donors, and the need of international integration process. Before 1986 Renovation ("Doi Moi" policy), Vietnamese planning and development strategies reflected a command view of the economy. According to the centralized planning model used in that period which was inherited from the Soviet Union., the whole country followed the national plan strictly in terms of what is needed to produce, and where and how many products are produced. This old planning approach was no longer suitable to new situation- transition from a centralized planning economy to a socialist-oriented market economy after Doi Moi.

Thirdly, the planning process after Doi Moi still faces some limitations, though it has considerably changed. In regard to the structure of plans, Vietnamese government plans still contain large lists of achievements, problems, objectives, targets, indicators, and things to do, without showing much connection between them. The traditional planning practices do not provide an effective process for breaking down overall socio-economic objectives into specific objectives, programs and activities which results in the weak linkage of programs, activities and the corresponding objectives (Do & Truong, 2009). There is a lack of rigorous economic and financial analysis and adequate consideration of potential social and/or environmental impacts during planning processes.

There is also a general tendency not to take much account of the resources likely to be available, which results in optimistic approval of plans and related lists of projects with the hope that funding will become available (MPI & UNICEF, 2013). The planning process is generally internal with a limited participation of stakeholders. Even though the national five-year plan is discussed annually with representatives of all local governments, this participatory approach is based mostly on inputs and does not provide clear mechanisms to incorporate local inputs in the final annual planning document. Planning and budgeting are institutionally separated between the MPI and the Ministry of Finance (MoF). MoF is responsible for the recurrent budget, while MPI screens and approves capital projects. There are weaknesses in the integration of the national SEDP with sectoral strategies. The planning framework remains very broad, with many goals but a lack of detail on priorities and policy instruments (Cox, 2011). All of these limitations result in the non-transparent, inefficient use of public resources, the lack of effectiveness and efficiency of government goals and programs, and difficulties in conducting performance monitoring and evaluation.

Due to the growing awareness of the limitations of traditional planning, associated with the enormous encouragement and support of international donors, the Vietnamese government has adopted a range of innovations to modernize its planning process since beginning 2000s, including the application of results-based approach. As practically observed, there exists a “parallel” planning system in which new participatory planning approach with the focus on outcomes is gradually integrating into the existing traditional internal planning process which focuses on inputs-production targets.

2.2.3. Key milestones of developing RBP for Vietnam

Since the 9th Party Congress (2001), CPV has recognized the importance of planning reform in its Resolution as "Strengthening planning reform, improving the quality of plans, attaching plans to the market. Improving the forecast and information management systems to serve planning, linking planning with policy processes. Strengthening mechanisms of responsibility and coordination among ministries,

sectors and management levels in building and implementing plans. Renovating planning methods toward mobilization of all possible resources of the sector and the localities in combination with the efficient use of external resources." The 10th Party Congress 2006 reaffirmed the necessity of the institutionalization of planning reform with the proposal of the Law on Socio-Economic Development Planning.

In 2002 the adoption of a Comprehensive Poverty Reduction and Growth Strategy (CPRGS) marked a major turning point in Vietnam's planning processes (OECD-DAC, 2007). The CPRGS represented the first serious effort to move from input-focused, operational planning towards participatory result-based plans. The CPRGS was piloted for implementation in 24 provinces in Vietnam. Feedback from provincial officials provided strong supporting evidence of the relevance, feasibility, and superiority of the new planning approach. The CPRGS introduction led to changes in regulations linked to the new SEDP 2006-2010 (World Bank, 2006)

In 2004, for the first time the government has put in place the legal framework for the reform of planning process with results-based approach. The Prime Minister issued the Directive 33 instructing ministries and provinces on the preparation of the five-year socio-economic development plan 2006-2010, followed with Circular 7681 issued by Ministry of Planning and Investment (MPI) to provide subsequent guidelines for widespread consultations with people outside government and focused on achieving social outcomes as expressed in the VDGs. These legal documents served as a reference point for planning guidelines, ensuring a focus on the results orientation of the CPRGS by incorporating the Vietnam Development Goals (VDGs) as central elements of the SEDP. In developing the monitoring framework, the MPI used internationally accepted M&E principles and concepts to produce a results framework that goes beyond the VDGs. In addition, the results-based approach was motivated by public administration reforms, the revised budget law (2002) that required greater transparency of budget information, and the pilots of Medium Term Expenditure Frameworks (MTEFs).

With many efforts from the Vietnamese government and international donors, SEDP 2006-2010 was approved by National Assembly in 2006. This was the first

SEDP that reflected the core feature of results-based approach, that is, a cascading development vision to development objectives and outcomes with indicators and targets at each level. Also, in 2006, the determination of the Government to planning reform toward results-based approach was demonstrated in Resolution No. 25 which promulgated the Government's Action Program to implement the Resolution of the Xth National Party Congress and the Resolution of the XIth National Assembly on Socio-economic development plan 2006-2010. The Action Program affirmed the need to "innovate and improve the effectiveness and efficiency of the planning work and socio-economic development plan; formulate the Law on Planning and submit to the National Assembly for approval; adopt the results-based monitoring and evaluation on the implementation of the socio-economic development plan, ensuring the achievement of the set objectives and orientations for socio-economic development." In 2007, the Minister of Planning and Investment (MPI) issued Decision 55 providing guideline on using a results-based monitoring and evaluation framework in mid-term review of the implementation of the SEDP 2006-2010.

Regretfully, due to some reasons, the Law on Planning and Planning for Socio-Economic Development which planned to submit to the National Assembly in 2007 has not yet been issued so far. However, over past decade, with the support of many internationally-funded projects, for example, the Asian Development Bank (ADB) provided technical assistance for the preparation and implementation of the results-based socio-economic development plan 2011-2015 (ADB, 2010), a number of provinces and line ministries have been reforming the planning process with results-based approach. This planning reform is seen as an attempt to make planning more participatory, more results-oriented, and more closely linked to budgets (OECD-DAC, 2007; World Bank, 2011).

A significant example is the case of Vietnam Ministry of Agriculture and Rural Development (MARD)-one of the pioneering government agencies adopting RBP. RBP has been initially introduced in MARD since 2005 and now becomes mandatory for all of its subdivisions. Some key features of results-based approach can be seen in

its sectoral development plan 2011-2015. For instance, the overall sectoral development goal was to achieve “sustainable and quality growth, average incomes of families in rural areas increased, especially of poor people, natural resources protected and effectively, sustainably exploited.” This highest order objective was cascaded down to six specific objectives-sector outcomes (e.g., sustained and quality growth in the sector through increased productivity and production quality) and to a set of subsector outcomes with relevant indicators and targets (e.g., increased fishery gross value-added ratio from 5.2 % in 2010 to 5.4 % by 2015). The results-based approach was also piloted in a number of provinces and line ministries (World Bank, 2011).

In short, it is evident that the results-based approach has been implemented in the Vietnamese public administration through incremental steps rather than one huge reform. As widely observed in practice, most public agencies currently using RBP are attempting to incorporate some elements of RBP into the existing planning system which generally follows traditional approach under the direction and guidelines of the Ministry of Planning and Investment. So far, the adoption of RBP in government agencies are not mandated by central government but voluntary and experimental, and the number of agencies applying RBP is still sparse. However, in some provinces such as Lao Cai, Hoa Binh, and in the Ministry of Agricultural and Rural Development (MARD), it is officially mandatory for all public agencies within the territory or sector. For instance, Decision 1131 issued in 2015 by Lao Cai Province’s People Committee on the renovation of planning method using results-based approach has become mandatory for all public agencies since 2016.

As previously mentioned in section 2.2.1, there is a plethora of development planning documents in Vietnam. Nevertheless, this research focuses on annual development plans (including socio-economic development plans and sector development plans). This is explained by some following reasons. First, the annual development plan is a description of tasks assigned in the five-year plan of the locality/sector. Basically, the annual plan restates the tasks of the five-year plan phased for each year. However, these solutions and activities are made more concrete for the

planning year. This plan can be considered as operational plan which is produced by the chief executive and staff of the locality/sector. Second, as Viet Nam has not fully adopted mid-term expenditure framework, it is essential for Vietnam to develop annual plan and budget analysis, and budget plan. Third, over past several years, results-based approach has initially been applied in annual development planning at all levels, even in commune level- the lowest level which is only responsible for developing annual plans. In addition, in some provinces such as Lao Cai, Hoa Binh, Nghe An, the application of this approach in their annual planning process has been officially mandated to all public agencies within the territory.

2.3. Challenges to the public management reforms in Vietnam

As RBP is a part of public management reforms in Vietnam and little information about its implementation exists, the following challenges commonly faced by public agencies during the adoption of reforms need to be taken into consideration when implementing RBP.

2.3.1. Bureaucratic resistance

Results-based reforms such as RBP may require significant and often fundamental changes to all aspects of managing within organizations to overcome the resistance within the administrative system. To be specific, in a planning system as that in Vietnam in which planners are accustomed to following planning guidelines and directions from higher-level management for years, they tend to become satisfied with the status quo and are therefore not motivated to improve their performance. Moreover, planners may be uncertain and concerned about which consequences of the application of new planning approach would be. It is very difficult for planning bureaucrats to ensure that the submission of plans with new format may lead to insufficient or less funding or whether the new planning approach jeopardizes the prospects of plan approval or not. This may thus result in a hesitance among bureaucrats in re-orienting their plans with results-based approach (OECD-DAC, 2007).

Indeed, very often reforms encounter resistance (Mayne, 2007). The reasons are manifold. It is difficult for managers and staff in organizations to change their management behavior, particularly when they become comfortable with the way of doing things and prefer the status quo. Like many other developing countries, the Vietnamese public sector traditionally has an administrative or bureaucratic culture which emphasizes the reliance on formal rules and procedures, as well as the permanence and stability of organizations. This culture has caused resistance to public sector reforms which could lead to the lack of active and positive participation in the implementation process, or negative effect on its implementation strategies opted, and ultimately result in slow pace of change from the “old” to ‘new” way of management (Hung et al., 2015)

2.3.2. Lack of resources dedicated to reform initiatives

There is often a lack of sufficient funds for employing reform programs as well as ensuring their continuity and stability in developing countries, especially during the period of economic/financial turbulences. This is the case in Vietnam where financial constraints imply that the training of reform initiatives in government agencies has been commonly provided to senior and middle managers of such agencies and the involvement of stakeholders in reform processes is limited (Hung et al., 2013, 2015). Performance-based planning even requires more dedicated resources (Middleton & Regan, 2015). Collecting data, monitoring performance, conducting baseline assessments, and more can be resource-intensive, especially regarding staff time and data collection and analysis. Some public agencies which are interested in implementing RBP may not have funding resources to implement a strong data collection system. In addition, obtaining new data may be costly and more effort is also required to analyze it. Indeed, an inappropriate budget allocated to data collection due to resource constraints may result in unqualified data. Similarly, insufficient funding for RBP-related training will lead to the lack of necessary skills and knowledge in RBP among public servants.

2.3.3. Lack of competent civil servants

The Vietnamese public sector is usually criticized for the lack of competence and professionalism. Though building a competent and professional contingent of civil servants is one of the key components of MPPAR in Vietnam, the slow progress in reforming the civil service system poses a great challenge for the government (Do & Truong, 2009; MOHA, 2015). Despite significant improvement during the last two decades, much remains to be done in the area of staff capability (OECD, 2013). Generally, the quality of cadres and civil servants is considerably lower than that of their counterpart in the private sector and many public managers as well as their staff find it difficult to implement reform initiatives that require new knowledge and skills such as total quality management (TQM), ISO, performance management system, etc. This is the result from the lack of rigor in the choice of personnel, patronage, the absence of transparency in appointment and promotion procedures, ineffective remuneration, the lack of incentives for development, and poor training programs for public servants (Poon, 2009)

Undoubtedly, difficulties regarding staff capacity and capability to implement and manage a results-based process is also considered as a main concern (Guerre et al., 2012; Middleton & Regan, 2015). Adopting a results-focus requires skills not used in the past input-oriented plans. Specifically, one of the most important aspects of RBP is the ability to use different management techniques in collecting and use statistical data, monitoring performance on a variety of measures, reporting performance, and reevaluating strategies and targets based on performance information.

To deal with the abovementioned challenges RBP may face, leadership emerges as one among the clue potential solutions due to the universal recognition of its decisive role in the success of any reforms in the literature as well as in the Vietnamese society.

Chapter summary

The adoption of a Comprehensive Poverty Reduction and Growth Strategy (CPRGS) in 2002 was the major turning point in Vietnam's planning processes which represented

the first serious effort to move from input-focused towards results-based planning. This led to a set of legal documents issued in the following years, starting in 2004 that enabled the reforms of planning process with results-based approach. It is observed that planning in Vietnam has progressed to show some significant results-oriented features that was demonstrated for the first time in the socio-economic development plan SEDP 2006-2010 and the guideline documents for its implementation. However, RBP has been implemented through incremental steps, voluntary, and experimental rather than one huge reform and compulsory. Further, some challenges RBP may face such as bureaucratic resistance, budget constraints, etc. that requires more effective solutions to deal with.

Generally, the Vietnamese public sector is in the transformation of its management system including planning. It is obvious that the transformation is gradually taking place and faces many challenges that requires the transformation of both leaders and followers. Therefore, getting insight into Vietnamese public managers and how their leadership styles affect the implementation and use of reform initiatives such as RBP is the focus of this study.

Chapter 3. Literature Review

Introduction

The major study's objective is to investigate how leadership styles practiced by public managers affect the implementation and use of reform initiatives such as RBP. In order to provide background to the research, relevant studies are reviewed. As RBP can be seen as a part of results-based public administration reform at both organizational and governmental levels, the literature review starts with an evaluation of performance or results-oriented public sector reforms, followed by an examination of RBP features in the context of developing countries. Next, this chapter evaluates the relevant literature on leadership, including managers' roles and behaviors in change or reform processes, with foci on public managers' downward roles and corresponding leadership styles. The chapter also reviews classical approaches to leadership, leadership styles and its impacts.

3.1 Results-based planning (RBP): Evolution and Features

3.1.1. Results-based management type reforms

- Evolution

The 1990s witnessed the enthusiastic embracement of public management reform in the developed world such as Europe, USA, Australia and New Zealand, and its spread in developing countries. New Public Management (NPM) has widely acknowledged as one of the most significant reform approaches in the public sector during over past three decades in which performance management or managing for results is considered a key feature of the reform efforts (Curristine, 2005; Moynihan & Pandey, 2005, 2011; O'Flynn, 2007; Newton et al., 2013; Gao, 2015). These reforms aimed at shifting the focus from inputs to outputs and outcomes, however, the application varied among countries. In some countries such as Australia, the United Kingdom and the USA, NPM-inspired change has been enthusiastically embraced whereas it has been taken in a more considered or different approach in other nations

such as France, Finland, Italy (Pollitt & Dan, 2011; Kuhlmann, 2010). Some of these changes result in small-scale improvements, while others may bring radical transformation. Some reforms, such as privatization or contracting out, have affected the organization of public services, while reforms such as performance management and decentralization of management authority target the way public organizations operate (Pollitt & Bouckaert, 2004).

Among NPM's components, performance or results-based management (RBM) which is subject to different interpretations, has been introduced and implemented at various phases as well as with different approaches and objectives across countries or organizations (Curristine, 2005; Behn, 2002). Performance management is referred by various names such as results-based management, outcome-oriented management, reinventing government, etc., involving somewhat different applications (Behn, 2002, p.5). Performance management, hereafter referred to as results-based management, aims at improving the performance of organizations, producing better results.

Nielsen (2014) notes that performance management systems are substantially different in their design and the term "performance management" is not used consistently in academic research. As shown in the performance management literature, there are two different approaches to defining performance management, as Behn (2002) indicates. One is of popularity in the field of human resource management, referring to efforts to improve the performance of individual employees, in other words, the focus is on individual performance (Armstrong & Baron, 1998; Rogers, 1990; Roberts, 2001; Den Hartog et al., 2004; Aguinis, 2009). For example, Armstrong and Baron (1998, p.7) define performance management as "a strategic and integrated approach to delivering sustained success to organizations by improving the performance of the people who work in them by developing the capabilities of teams and individual contributors." The same approach which focuses on improving individual performance is also found in the view of Roberts (2001), Den Hartog et al. (2004), and Aguinis (2009).

Another significant approach in defining performance management which more emphasizes organizational performance rather than individual performance comes from some researchers such as Behn (2001), Ferreira and Otley (2005, 2009), and Broadbent and Laughlin (2009). These studies implicitly use a broad version of the concept that can be defined as a broad management strategy aimed at achieving important changes in the way government agencies operate, with improving performance (achieving better results) as the central orientation. By this management strategy all actors, contributing directly or indirectly to the achievement of a set of results, ensure that their processes, products, and services contribute to achieving desired results at various levels (outputs, outcomes, impact). The actors in turn use information and evidence on actual results to inform decision-making on the design, resource allocating and delivery of programs and activities, and for accountability and reporting as well (Benedijn, 2000; Ferreira & Otley, 2005; Middleton & Regan, 2015; UNDG, 2012; OECD, 2013).

In such approach, performance or results-based management is considered as a life-cycle approach that includes the following key components: (1) Formulating objectives; (2) Identifying indicators for each objective (3) Setting targets for each indicator; (4) Developing a strategy; (5) Allocating resources; (6) Monitoring results; (7) Reviewing and reporting results; (8) Rewards; (9) Using performance information. However, in some studies, the term is defined in a narrower perspective as only management systems that denote some among above elements. According to Aguinis (2009) and Lebas (1995), in reality, many organizations have labelled their system as 'performance management system,' however, it is only a performance appraisal or performance measurement system which are considered as components of performance management. Such various design and inconsistent use of performance management make it difficult to compare findings across studies which may lead to inconsistent results found in the literature (Nielsen, 2014).

This study follows the broad approach to performance management which more emphasizes organizational performance rather than individual performance. A brief

overview of the evolution of management over the past four decades allows us to put the appearance of RBM into perspective. According to Bouckaert and Van Dooren (2009), and Siddiquee (2014), performance management has a long story within the public sector. The initiative of First Hoover Commission to change budget attention from inputs towards functions, activity costs and accomplishments in the USA in 1949; the Planning Programming and Budgeting System (PPBS) introduced by the US President Johnson; or the Management by Objectives (MBO) in the 1960s are all antecedents of the current performance management, which focused on results and outcomes. However, until 1976 Beer and Ruh (1976) were considered as pioneers using the term 'performance management.' This phrase was formally recognized as an identifiable subject for academic study and research in the mid-1990s. Since then many public agencies in both developed and developing countries have adopted various performance or results-based management techniques to manage for results, including results-based planning, results-based budgeting, risk management, and results-based monitoring and evaluation. These help the public agencies not only fulfil their functions and activities better but also respond to increasing demands for greater efficiency in the allocation and use of public resources (Garcia Moreno & Lopez, 2010).

As Curristine (2005) points out, the introduction of performance management in the majority of OECD countries becomes an important and enduring innovation in public management. For many developing countries, the adoption of this approach in the public sector has been partly rooted by the impacts of successful reform experiences from Western countries and the encouragement (even forces) of various international donors such as WB, UNDP, and ADB. Besides, in the context of a growing economy and integrated into the global economy, public administration has become more complex, which leads to a need for a new management mechanism that ensures its efficiency, effectiveness, and transparency (Garcia Moreno & Lopez, 2010; OECD-DAC, 2007). Results-based management principles are suggested to apply in every stage of public sector management (planning, programming, budgeting, implementation, monitoring and evaluation (Asia-Pacific CoP-MfDR, 2011; Middleton & Regan, 2015). The key principles of RBM include: (i) the focus on results

(outputs, outcomes, impacts); (ii) the use of logical models (results chain); (iii) staff and stakeholder participation; and (iv) accountability and transparency toward partners and stakeholders (ADB, 2006; UNDG, 2011; Asia-Pacific CoP-MfDR, 2011).

However, like other elements of NPM, the application of results-based management varies among countries (Berman, 2010; Koike, 2013; Brinkerhoff et al., 2015). To be specific, since performance management reforms in China beginning in 2003, some performance management initiatives of central government ministries and agencies such as budget reform, performance audit to all investment projects, performance monitoring and evaluation, personnel management have been implemented in response to the call from top leadership and from internal needs of the agencies themselves. However, these initiatives followed top-down approach and were implemented in a piecemeal and incremental fashion (Wong, 2012). Philippines' pursuit of RBM started with strong results-based planning. There exists a multitude of results-based management systems working in parallel at its oversight agency level and within its different departments (ADB, 2009). However, NEDA (2011) indicates that the state of Government of Philippine's results orientation reflects a certain degree of fragmentation and weak linkages and coordination, reliance on varying donor-prescribed systems. Indonesia's journey toward RBM focused on performance-based budgeting which helps the country attain significant achievements, especially in changing the budget from being based primarily on inputs to one in which outputs are defined. Since independence, Malaysian public sector management has undertaken a vast of reform initiatives to respond to the rapidly changing environment and increasing demand with foci on strong planning and budgeting processes (OECD-DAC, 2007).

RBP is the application of performance-based management principles in planning which leads to the assimilation of a planning process that is new to the adopting organizations. It entails refining methods and procedures of development planning. RBP aims at improving the planning function of an organization, and it is a new planning technique/method affecting key departments or divisions which involve in local or sectoral development planning processes. The objectives of RBP are often

formulated in advance with the top-down approach. Thus, RBP can be treated as an incremental and planned change/reform, and the process of RBP implementation is the main concern of this study.

- Factors affecting results-based reforms

Earlier discussions of performance management in the public sector have not paid much attention to the factors that can impact the effectiveness or outcomes of performance management. Nevertheless, more and more studies in the last ten years have addressed this issue (Franco & Bourne, 2003, 2005; De Waal & Counet, 2009; De Waal, 2006; Heinrich, 2002; Mayne, 2007). Indeed, as Talbot (2005) asserts, the public sector has its own characteristics which are far different from private sector. It requires a specific model of performance management that suits the unique environment in which it operates, which includes internal and external factors influencing performance management. According to de Waal (2006), though it has been well documented in the literature that performance management has been substantially evolved over the three past decades, the failure rate of performance management implementation is still high. Also, there are still common issues arising around the world which are seen as constraints for performance management in practice, including the lack of commitment and involvement among managers, stakeholder and employee, technical issues, financial problems, and organizational culture, etc. (de Waal & Counet, 2009; Mayne, 2007).

The insufficient commitment and involvement of the whole organization, including both higher levels of management and employees at the lower levels, is one of the key barriers which may result in the failure of performance management in practice (Wang & Berman, 2001; Neely et al., 2002; Verbeeten, 2008; De Waal, 2007; De Waal & Counet, 2009; Alnaboldi et al., 2015). In their study, de Waal and Counet (2009) identify ten most severe problems organizations can encounter during performance management implementation including the lack of leadership support and employee participation. They collected 31 problems relating to the implementation and use of performance management based on the literature and a survey which was sent

to experts in performance management. In the same vein, according to Dzimbiri (2008), if management commitment is lacking, other organizational members will place less or no priority on working with performance management systems. Besides, if the participation of staff is insufficient, the performance management implementation will be delayed or even postponed, and thus no positive outcome of performance management will be achieved (de Waal & Counet, 2009; Cavalluzzo & Ittner, 2004)

Technical obstacles to performance management are associated with measurability which relates to the indicators and data, in particular, their collection, quality, validity, usage and manipulation. Heinrich (2002) and Casey et al. (2008) argue that in many organizations, the measurement of outputs and outcomes is quite difficult. In the same view, De Waal and Counet (2009) point out that organizations often face difficulties in getting the data to calculate the performance indicators as well as defining relevant key performance indicators (KPI). As for the public sector organizations, Fryer et al. (2009) and Kolthoff (2007) indicate that it is more challenging to develop performance measures. This is because of the public sector's multi-purpose and multi-faceted nature (Fryer et al., 2009) and the fact that it operates in different political environments, and that public organizations seek public rather than private goals, measure success by multiple rather than single standards (Kolthoff, 2007). Another technical issue related to measurement is the quality of performance information and data. Due to being under pressure for accountability, outcomes and results, public sector managers tend to manipulate performance data in the way that would enhance their performance score (Heinrich, 2002; Fryer et al., 2009; Goh, 2012). Also, they are inclined to limit their programs and activities to outcomes to the extent which they can control (Mayne, 2007), which is seen as gaming (Gao, 2015).

Another challenge to RBM, especially in developing countries, is the difficulty in ensuring sufficient resources. As stated by Kourtit and De Waal (2008), Holzer and Yang (2004), a disadvantage of performance management is that it is too costly. Before these, Artley et al. (2001) found out that the lack of resources is one of the three barriers that eventually lead to the failure of performance management. Similarly, Bourne

(2001) and de Waal and Counet (2009) argue that normally organizations that wish to begin the implementation cannot release enough funds resulting in slowing down and delay of the implementation.

- Measurement of performance management outcomes and effectiveness

Some of the recent studies have attempted to assess the outcomes or effectiveness of performance management and its relationship with organizational outcomes, even though both variables are found rather difficult to measure. Indeed, it is of difficulty to evaluate the impact or long-term outcomes of many management reforms including RBP as many competing factors that shape performance and the outcomes of any reforms depend much on the nature of the administrative-political system in which they are undertaken (Politt & Bouckear, 2000). Further, performance management denotes a complex set of activities including goal and objective clarification, indicator and target setting, allocating resources, performance monitoring and reporting, and feedback to staff and others involved in the production of outcomes (Walker et al., 2010). Also, it is challenging for the public sector to measure these outcomes, and in turn organizational performance itself. Indeed, public agencies are often criticized as having more ambiguous goals and objectives due to the public sector's multi-purpose and multi-faceted nature when compared to that in private organizations (e.g., Fryer et al., 2009; Pandey & Rainey, 2006; Rainey, 2009).

Despite these challenges, Boyne and Chen (2007) provide evidence regarding the effectiveness of performance management through the significance of goal clarification and target setting. Performance information use is suggested as the best summary measure of the impact of results-based reforms, even though this variable has been paid little attention so far (Moynihan & Pandey, 2010; Moynihan et al., 2011; De Walle & Dooren, 2008). In her study on performance management in public schools, Weiss (1988) suggests that it is crucial to interpreting the relationship between an intervention and its expected outcome through using the theory of change highlighting the logic of cause-effect linkages that explains how and why an intervention initiative really works. The study of Baird et al. (2012) using Lawler's (2003) items with some adaptation

measure the effectiveness of performance management system through assessing the extent to which 17 specific objectives of performance management are achieved. Some studies use self-reported performance surveys from managers to examine the effect of performance management (e.g., Cavalluzzo & Ittner, 2003; Melkers & Willoughby, 2005). However, Gerrish (2016) notes that the methods used to assess performance management are subject to common method variance bias which can hinder their general applicability. He also finds out that there are few consistent results of performance management surveys.

Since the introduction of results-based management many public agencies, particularly in developing countries where national development planning remains a key policy instrument, have adopted various results-based management techniques to manage for results including results-based planning. The following section reviews the literature on RBP definition and features.

3.1.2. Characteristics of results-based planning (RBP) in the public sector

- What is RBP?

This study aims at gaining insight into RBP practice in the Vietnamese context with foci on development planning at the organizational level. Thus, in this study, RBP is referred to the application of results-based management principles in the planning processes of public agencies which involves the clarity of results to be achieved at different levels (outputs, outcomes, and impacts) within available budgets, with corresponding indicators and targets, and with relevant monitoring and evaluation frameworks. This definition is derived from various interpretations of RBP found in the literature.

As RBM can mean different things to different people or organizations, the interpretation of RBP thus also varies. According to UNESCO (2008), organizational RBM practices typically include twelve phases, of which the first seven relate to results-oriented planning: (1) Analyzing the problems to be addressed and determining their causes and effects; (2) Identifying key stakeholders and beneficiaries, involving

them in identifying objectives and in designing interventions that meet their needs; (3) Formulating expected results, in clear, measurable terms; (4) Identifying performance indicators for each expected result, specifying exactly what is to be measured or determined along a scale or dimension; (5) Setting targets for each indicator; (6) Developing a strategy by providing the conceptual framework for how expected results shall be realized, identifying main modalities of action and taking into account constraints and opportunities and related implementation schedule; (7) Balancing expected results and the strategy foreseen with the resources available; (8) Managing and monitoring progress towards results with appropriate performance monitoring systems drawing on data of actual results achieved; (9) Reporting and self-evaluating; (10) Integrating lessons learned and findings of self-evaluations; (11) Disseminating and discussing results and lessons learned in a transparent and iterative way; (12) Using performance information for accountability, learning and decision-making.

Binnendijk (2000) and OECD (2011) define results-based planning as a process that includes the first three out of seven phases of results-based management: (1) Identifying clear and measurable objectives (results); (2) Selecting indicators for each objective; (3) Setting explicit targets for each indicator, used to evaluate performance; (4) Monitoring results; (5) Reviewing and reporting results; (6) Integrating evaluation to provide complementary performance information; (7) Using performance information.

Cambridge Systematic et al. (2010) and Middleton and Regan (2015) identify results-based planning as the application of performance management principles within the planning processes of the organization. The key performance-based elements include: (1) setting goals and objectives; (2) selecting performance measures (indicators); (3) Setting performance targets; (4) Allocating resources; (5) Monitoring and Reporting results; (6) Data and analysis tools.

According to Asia-Pacific CoP-MfDR (2011), results-based planning involves rigorous analysis of intended results cascaded down from macro-level impacts to specific sector outcomes. These desired results (outputs, outcomes, impacts) must be

clearly defined within a budget envelope, with indicators and targets, and with relevant monitoring and evaluation frameworks.

- RBP features

The key activities of RBP include the following steps. It typically starts with the identification of goals and objectives. Then those objectives will continue to be made measurable based on SMART principle. In order to make objectives SMART, a specific or several performance indicators/measures need to be set for each objective, specifying exactly what is to be measured. These performance measures will help organizations monitor progress toward achieving desired goal or objective. For each performance measure, precise targets must be established which allow agencies to evaluate specific, numeric progress over time toward the desired goal. The next step is organizations allocate resources to achieve specific performance targets. Ideally, in a results-based system, the plan is constructed using a logical framework which also goes along with the performance monitoring and evaluation framework as an integrated feature of the plan design. Monitoring and reporting progress to decision-makers and other stakeholders allow organizations to identify key factors influencing performance and necessary actions to improve results (UNICEF-MPI, 2013; OECD, 2011; Cambridge Systematic et al., 2010)

The effectiveness of RBP is driven by the focus on the clarity of results to be achieved at different levels (outputs, outcomes, and impacts) with indicators and targets which provides a basis for allocating corresponding resources and assigning tasks to each responsible agency. Analytically, with RBP which is facilitated by the objective trees, SWOT analysis, and results matrix techniques, basic elements of development plans such as development objectives, targets, solutions, and programs are presented in an easy-to-understand format and better linked. This would facilitate the plan implementation as well as monitoring and evaluation processes, and ultimately contributes to the attainment of socio-economic development objectives, or in other words, it serves how RBP gains effectiveness and impact (Asia-Pacific CoP-MfDR, 2011; NEDA, 2011)

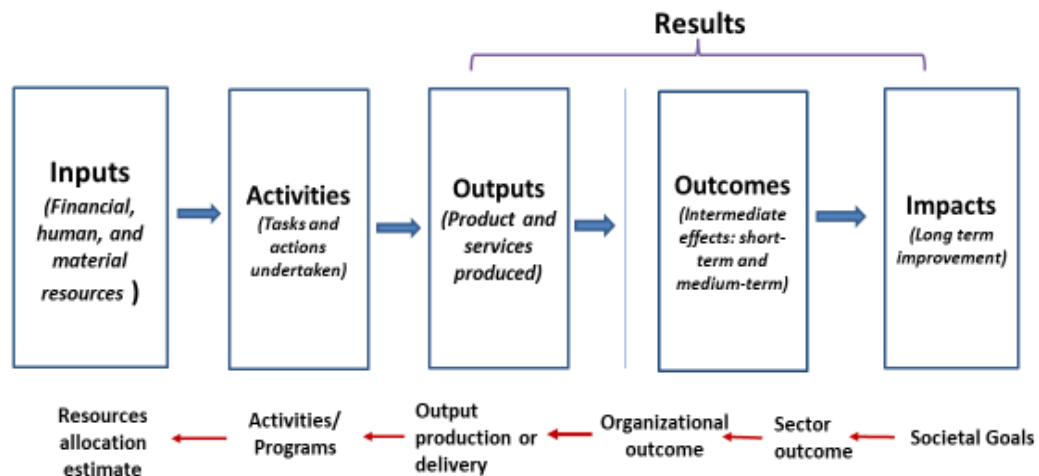
The adoption of RBP is expected to address some criticisms of conventional national planning which mainly focuses on inputs, outputs, and compliance monitoring. Some examples of such criticisms are the ambiguity of national development objectives; not much connection among development objectives (overall, specific), performance indicators and targets, and solutions; weak linkages between planning and budgeting, and the lack of stakeholder involvement (most of the time plans are prepared by the planning units and their technical assistants), etc. (OECD-DAC, 2007; UNESCO, 2010; NEDA, 2011; World Bank, 2007, 2011). In particular, with RBP, planners are assisted by *logic model* tool in goals and objectives setting, which is fundamentally different from the traditional planning.

Logic models are referred by various names such as performance framework (Montague, 1997; MacDonald & Teather, 1997), logical framework (MSI, 1995), results chain (NEDA, 2011; UNICEF-MPI, 2013). This tool has been utilized over two decades for program and system level planning (Julian et al., 1995; Wandersman & Linsey, 1991; McLaughlin & Jordan, 1999; Julian, 1997), and recently for national results-based planning (NEDA, 2011; UNICEF-MPI, 2013; OECD, 2013). Logic models are described as a narrative or graphic representation of processes in real life that communicate the underlying assumptions on which an activity is expected to lead to a specific result. Logic models demonstrate a sequence of cause-effect relationships—a system approach to communicate the path toward desired results (Millar et al., 2001).

Traditionally, a logic model includes the following components: inputs, activities, outputs, outcomes, and impacts. Inputs refer to the financial, human, and material resources invested in a program or development intervention, while activities refer to tasks and actions undertaken which generate results (UNICEF-MPI, 2013; OECD, 2013). Outputs, outcomes and impacts are identified as three types of results (Bester, 2012; Vahamak et al., 2011; OECD, 2013). Outputs are considered as immediate results as they are products and services produced from the completion of activities. Outcomes can be short-term or medium-term, while impacts are long-term effects of a program or development intervention.

The results chain, as shown in Figure 3.1 illustrates an example of the intended causal relationships among its elements. Accordingly, when sufficient inputs are provided, activities can be implemented which produce outputs. When outputs are produced, organizational outcomes can be attained which could contribute to sector outcomes. If sector outcomes are achieved, this can impact on the societal goal. Basically, planning starts with the clarity of the purpose and outcomes of the program. In other words, it plans from right to left, backwards from the desired results to the inputs.

Figure 3.1. *An example of Logical model*



Source: Adapted from UNICEF-MPI (2013)

5

Based on the literature, some key differences of traditional and results-based planning approaches are summarized in Table 3.1 as follows:

[Insert Table 3.1 About Here]

Table 3.1. *Traditional planning vs results-based planning*

Dimensions	Traditional planning	Results-based planning
Main focus	Inputs, activities, outputs	Outputs, outcomes, impacts
Process	Internal process (within individual agencies and localities)	Participatory process (different stakeholder's involvement)
	Only overall goals (objectives) with production targets and solutions are identified.	Goals are translated into specific objectives with indicators and targets, and relevant monitoring and evaluation frameworks (<i>results matrices or logic model</i>)
Outputs of planning	A plan contains overall goals with a set of production targets and solutions without much connection between them.	Increased linkage among development objectives (overall, specific), performance indicators and targets, and solutions.
	Weak linkage of planning and budgeting	Planning is more closely linked to budgeting
	Lack of stakeholder's participation	Increased participation among different stakeholders
Outcomes of planning	Objectives are not clearly developed	Increased clarity of objectives
	Lack of accountability and transparency	Increased transparency and accountability
	Low quality of plans	Increased quality and logic of plans
	Difficulty in conducting the monitoring and evaluation of actual achievement with set goals and objectives.	Improved monitoring and evaluation of outcomes against desired objectives

In sum, RBP is generally recognized in the literature as a part of results-based management or performance management- a perhaps the most widely adopted management reform of the last twenty years at both organizational and governmental levels. Thus, the previous studies on performance management assist the researcher to identify RBP definitions, its features, its outcomes, as well as possible organizational factors affecting RBP. However, it is noteworthy that while the most valuable studies offer fruitful information on results-oriented reforms in the most advanced nations such as USA, UK, only limited perspectives of these movements are discussed in the developing world (Gao, 2015), especially our knowledge of the actual outcomes and impact of performance management on the performance of public organizations is highly limited (Nielsen, 2013; Gao, 2015; Poister et al., 2013; Andersen, 2008)

As none of the existing studies measures RBP practices, the study of Boyne & Chen (2007) measuring effectiveness of performance management through the significance of goal clarification and target setting, the suggestion of Weiss (1995) on the use of the theory of change highlighting the logic of cause-effect linkages, and Baird et al.'s (2012) and Lawler's (2003) suggestions on the use of specific objectives of performance management in assessing the outcomes of performance management help the researcher in conceptualizing the variable "RBP practices". Also, this study needs to develop a scale for measuring this construct with the conscious awareness of common method variance bias when using self-report survey.

Moreover, a review of the literature on results-based management type reforms suggests a focus more on the leadership role and styles or behaviors of leaders and managers in the process of reform which may help organizations overcome specific challenges such as insufficient resources, lack of competent staff, and technical difficulties related to performance indicators and data, etc. The following section reviews relevant studies on leadership roles and styles or behaviors in change or reform processes, with foci on public managers' downward roles and corresponding leadership styles.

3.2. Public managers' leadership styles

3.2.1. General leadership theory

This study focuses on examining leadership styles and behaviors used by public managers during RBP implementation. Therefore, a brief overview of leadership theories is put into consideration, which helps the researcher identify relevant theories, serving the development of the conceptual framework of the study. Theoretical approaches to leadership can be categorized into two main sets: traits vs behaviors theories and universal vs contingent or situational theories (*see Appendix G for more detail*). In the first set, leadership can be viewed as a trait or set of traits which can be measurable and quantifiable property possessed in different amounts by different people. Alternatively, leadership is expressed regarding observable leader behaviors rather than in terms of inherent characteristics. In the latter, meanwhile certain approaches make the assumption that successful or effective leadership does not depend on the features of the circumstance in which the leader operates, and leadership is proposed as a universal phenomenon, alternative approaches propose that effective leadership is contingent upon different situations encountered by the leader (e.g., features of the tasks, characteristics of followers) (Yukl, 1981, 1989). As this study seeks to examine leadership styles adopted during RBP implementation in the context of such a developing country as Vietnam, theory on situationally contingent behavioral styles that combines behavioral theory and situational theory is relevant to this study.

As widely recognized in the leadership literature, transformational and transactional leadership theory is one of the most researched and influential frameworks for understanding leadership in any situation (Schimmoeller, 2010). However, it does not include leadership behaviors determined by a strong power distance setting such as Vietnam where the vertical hierarchy, authority, and status are highly respected, for example, leaders' desire to exercise power and request unquestionable obedience from subordinates (i.e., autocratic or authoritarian leadership). Thus, this study reviews not only transformational and transactional leadership theories but also the literature on autocratic leadership styles. Studies on

leadership styles in developing countries and its impacts on change and reforms are also reviewed.

- Leadership styles

According to Burns (1978), leadership is one of the most observed, but least understood phenomena on earth. The term "leadership styles" is widely used in both the popular and academic literature because it refers to a dozen elements of leadership, depending on the taxonomy (Van Wart, 2011). Leadership style is generally conceptualized in middle of recognizable patterns of leader traits and behaviors, and no single universal style can fit all situations (Van Wart, 2013). Over the years a variety of leadership models or theories have been developed as attempts to conceptualize leadership styles. It is absolutely an impossible task to decide which the best model is as these models have been proven empirically in various contexts (Jayasingam & Cheng, 2009). As this study is based on the theory of situationally contingent behavioral styles, leadership styles refer to different patterns of behavior that are grouped together and labelled. Various leadership styles have been described in the literature (*see Appendix G for more detail*), some of which that are related to the purpose of this study are highlighted below.

- *Autocratic leadership*

Autocratic styles or authoritarian styles involve providing staff with detailed instructions on what needs to be done and how to do it, closely monitoring staff compliance (De Cremer, 2006; Geer et al., 2008; Buisman, 2009). An autocratic leader requires unquestionable obedience. Such a leader behaves in a commanding manner in front of followers, asks them to obey instructions completely, and give their followers punishments when they do not follow his or her orders. An autocratic leader asserts extremely authority and absolute control over followers. Key indicators of this style include telling subordinates what has to be done and how to do it, closely monitoring subordinates to ensure they are performing all steps correctly.

- *Transactional leadership*

Transactional leadership is referred to a process of exchange between leaders and followers, during which the leader sets goals, clarifies desired results, provides valuable feedback, and exchanges reward for accomplishment to followers (Podsakoff et al., 1982; Bass & Avolio, 1994; Yukl, 1988). It is also sometimes treated as control and take corrective transactions on followers' performance and eliminated problems. This leadership is further defined as employing contingent active management by exception to motivate follower performance. According to Bass and Avolio (1994), transactional leadership is classified into three main dimensions: (1) *contingent reward* refers to the leaders who set out a list of performance and achievement guidelines for followers and rewards in terms of money, praise, and promotion can be expected for successful accomplishment; (2) *active management by exception* refers to the process of paying attention to any problems and having extensive and accurate monitoring and control systems to offer alerts of such problems; (3) and *passive management by exception* refers to the process of paying attention to the exceptional rather than the normal.

- *Transformational leadership*

Transformational leadership is defined as the process by which leaders motivate their followers to perform beyond their expectation (Yukl, 1998; Bass & Avolio, 1994). Transformational leaders set out and communicate a common vision and clear tasks outcome. They motivate and inspire their subordinates to transcend their self-interests and do more for common interest. Transformational leaders empower different responsibilities to their followers and seek new ways of doing their work and build confidence to fulfil the task. Bass and Avolio (1994, 2004) classified transformational leadership into four dimensions: (1) idealized influence, (2) inspirational motivation, (3) intellectual stimulation, and (4) individual consideration. Specifically, *idealized influence* refers to the leader who receives the followers' respect, admire, and trust, and exhibits certain morally and ethically behaviors such as dedication, a strong sense of purpose and perseverance, and confidence in the purpose, giving followers a sense of

empowerment and ownership. *Inspirational motivation* refers to the leader who shows the ability to motivate the followers to higher performance and demonstrates enthusiasm in creating a vision of the future, thus stimulating similar feelings with followers. *Intellectual stimulation* refers to the leader who values the intellectual ability of followers and encourages the subordinates to think through issues and problems for themselves and hence to develop their own abilities. *Individual consideration* implies that the leader exhibits concern for their followers, gives personal attention, listens to others' concerns, and provides feedback, advice, support, encouragement, and real opportunities to improve their skills and abilities, and assigns tasks based on individual ability and needs.

- *Combined leadership styles* (e.g., transactional-transformational; transactional-transformational-laissez-faire style; paternalistic leadership that includes authoritarian, benevolent, and moral leadership).

Many researchers pioneered by Bass (1985) have shown that a leader can exhibit transactional and transformational leadership styles as both forms of leadership can be effective, even though these types of leadership will display in front of an individual in different results (Bass, 1985, 1998). These empirical studies were mainly based on the theory that a combination of transformational, transactional, and laissez-faire leadership is more effective than each of the three leadership styles separately. These studies provide empirical evidence for this theory by showing that the dominant leadership practices are both transformational and transactional (Hemsworth et al., 2013; Newman, 2012). Also, combined leadership styles provide a superior organizational performance (Sadeghi & Pihie, 2012), and transformational and transactional leadership styles are supplementary during organizational change (Nadler & Tushman, 1989; Simons, 1999, 2002; Chen & Chen, 2005; Bass, 1985). For example, in their study, Chen & Chen (2005) showed that the leaders displayed both transformational and transactional leadership generally being exhibited to a greater extent and this supported the augmentation effects of transformational leadership by Bass (1985). Another example of combined leadership that is considered as the

prevalent leadership style in many developing countries is 'paternalism'. This leadership which is perceived effective that includes autocratic, benevolent and moral leadership styles (Aycan, 2006; Farh et al., 2008; Niu et al., 2009; Pellegrini & Scandura, 2008; Fikret Pasa et al., 2001).

- Leadership styles in developing countries

Various cultures can have radically various leadership styles (Lewis, 2006; Taleghani, 2011). Many studies in the past decade have shown that the leadership style of managers in Asian developing countries, especially those with high power distance and collective culture, has been different from their Western counterparts due to strong cultural differences. Indeed, collectivist societies such as China, Vietnam, Malaysia, Thailand are considered more receptive to transactional and autocratic styles of leadership than transformational and participative styles that tend to have greater relevance in Western individualized societies (Hofstede, 1980; Gerstner & Day, 1994; Jogulu, 2010). For example, Quang and Vuong (2002) note that authoritarian, familial and command-style leadership are still highly evident in a range of organizations in Vietnam.

Moreover, paternalism that consists of three leadership styles: autocratic, benevolent and moral leadership is the common leadership style in many developing countries, particularly favourable by Chinese managers (Aycan, 2002; Farh & Cheng, 2000; Simon, 2007). Very often, the dual existence of leaders' desire to exercise power and their wish to maintain close interpersonal relationships with subordinates in paternalism style is difficult to explain and comprehend for Western scholars and practitioners. Nevertheless, it is noteworthy that in the context of 'benevolent paternalism', the power is exercised for the benefit of the follower. This practice can be commonly observed in East Asian countries where the group is respected, and leaders are seen as benevolent (Lewis, 2006). In such cultures, managers are expected to act as parents of an extended family and protect the well-being of their followers.

However, with the emergence of the knowledge economy and the workforce transformation, some of the recent studies show the prevalent shift of leadership styles among Asian managers regarding autocratic leadership (Jayasingam & Cheng, 2009; Jogulu, 2010). For instance, Jogulu's (2010) study in the Malaysian context reveals the strong alignment of transactional leadership with the ratings of managers and that managers find comfortable to lead in a transactional fashion by being more considerate or setting clear limits and expectations to their followers rather than more directive and commanding. Also, interviews conducted with practitioners in the process of the study strongly indicated that autocratic style that used to be prevailing in Malaysian organizations could no longer be based on and employees perceive their superior to be effective if their display a personalized and flexible leadership style (Jogulu, 2010).

Further, in line with many empirical studies of leadership practice supporting the view on the universal application of transformational and transactional leadership theories (Avolio and Bass, 2004), more and more studies on developing countries have employed the multifactor leadership questionnaire MLQ instruments developed by Bass (1985) to examine leadership styles and effectiveness (e.g., Barbuto et al., 2007; Basham, 2010; Bryman, 2007). The appropriateness of the MLQ has been demonstrated in various cultural settings, even in the context of Vietnam where it is commonly perceived that its strong power distance and collectivist culture prefer autocratic approach (Dao & Han, 2013; Ho, 2013; Pham, 2016). Pham (2016) in her thesis indicates the inclination of employing transformational and transactional leadership among Vietnamese high education leaders and managers.

Until now, little research on Vietnamese leadership styles exists, especially those in the public sector. Given some shared history between Vietnam and China, Vietnamese leadership styles in the public sector can be conceptualized based on studies on leadership styles in developing countries in general and in China in particular, as well as studies on Vietnamese leadership styles in the business sector (e.g., Quang & Vuong, 2002; Dao & Han, 2013; Ho, 2013).

- Leadership styles and change or reform

As RBP is regarded as a reform initiative, previous studies on the relationship between leadership styles and change or reform are also reviewed. A number of studies have identified leadership styles that are generally seen as relevant and effective during organizational change and innovation or reform (Bass 1985; Shamir & Howell, 1999). Transformational leadership has received significant attention within the literature on public management reforms over past two decades. Indeed, it is considered as an appropriate leadership style for dealing with organizational changes or reforms (e.g., Van Wart, 2013; Van de Voet, 2014; Eisenbach et al., 1999; Bass & Riggio, 2006; Moynihan et al., 2011). Transformational leadership facilitates followers to cope with change (Callan, 1993) and increases followers' commitment, self-efficacy, and empowerment during change (Bommer et al., 2005). According to Bass and Avolio (1999), transformational leadership augments transactional leadership. During the change, these two leadership styles are complementary (Nadler & Tushman, 1989; Simons, 1999, 2002; Chen & Chen, 2005; Bass, 1985). More specifically, transformational leadership provides a psychological focal point for followers which helps increase follower's commitment to change, whereas transactional leadership ensures compliance and consistency with the commitment generated by the transformational leadership behavior (Nadler & Tushman, 1989).

Transformational leadership also has been found in many studies to have a significant impact on innovation, promoting organizational change in the context of developing countries. For example, Hussain et al. (2014) examined the impact of this leadership style on innovation, and the differences between these impacts in public and private higher education institutions in Iraq. Another study that was conducted in the Pakistan context investigates the role of transformational and transactional leadership for promoting innovation. Its findings indicate that transformational leadership directly affects innovation and indirectly through absorptive capacity but not with transactional leadership style (Beh & Shafique, 2016). With the focus on top managers' leadership style, the study of Jung et al. (2003) employing a multi-source approach to collect

survey data from 32 Taiwanese companies finds a positive correlation between transformational leadership and organizational innovation.

Some studies discuss the necessary leadership styles that managers should use in each phase of the change process. Baesu and Bejinaru (2014) suggest that though each leader is mainly characterized by a certain style, being aware of other style's opportunities is of a great step towards applying what is best for each phase of change. Similarly, James's (2005) study surveys managers of an Australian government-owned enterprise in order to examine the type of organizational change and corresponding leadership styles adopted during this change. One of the significant findings of this research shows that managers those are responsible for introducing and implementing change need to be aware that the leadership style adopted can hinder or facilitate change even a simple change such as a new management technique or procedure (James, 2005).

However, in investigating the leader's role and styles in change processes not many studies examine the specific linkages between leadership behaviors and the success of change and reform implementation. Notably, Higgs and Rowland's (2000, 2005) study identifies five broad areas of leader' competence at all levels associated with successful change implementation. These five activities include: (1) Creating the case for change: effectively engaging others in recognizing the need for change; (2) Producing structural change: ensuring the need of deep understanding of the issues and necessary support consisting of a set of tools and processes; (3) Involving others in the entire change process and creating commitment to change; (4) Implementing and maintaining changes: developing effective plans and ensuing effective monitoring; (5) Facilitating and developing capability: ensuring people to have critical thinking and seek different ways to solve their problems and that they are supported in doing this. Based on these studies, Higgs and Rowland (2011) using an empirical study of change leader behaviors based on qualitative interviews with leaders from 33 organizations identify four critical leadership behavior sets including attractor, edge a tension, container, and transforming space that are associated with successful change

implementation. Significantly, the study finds that managers those experienced the highest levels of success adopted all four of these behavior sets.

For management reforms such as performance management, many studies have paid attention to leadership in general, suggesting that leadership support and direct involvement in performance reforms is important for such reforms to succeed (e.g., OECD-DAC, 2007; Auditor General of Canada, 2000; Mayne, 2007), however, without any analysis of the influence of leadership styles. Moynihan, Pandey and Wright's (2011) study is an exceptional case. This research proposes and tests a theoretical framework that assumes that transformational leadership sets the conditions for reforms such as performance management to succeed or fail. In spite of limitations regarding data and instruments that prevent a perfect test of the conceptual model, the findings offer some interesting suggestions: (1) a relevance of transformational leadership for the successful implementation of perhaps the most widely adopted management reform of the last generation - performance management; (2) a broader research agenda for a better understanding of the mechanisms by which leadership has an influence on reform, policy implementation, and other organizational outcomes; (3) the key influence of transformational leadership for reforms such as performance management is not only direct by support and involvement but also indirect via setting the conditions necessary for reforms to succeed. Undoubtedly, this article sheds light on the relationship between leadership styles and successful performance-based reform efforts, though it primarily focuses on the indirect influence of leadership.

Overall, the existing studies within the leadership literature related to leadership styles have largely focused on transformational leadership behaviors ranging from its effects on leadership effectiveness, individual and organizational performance, change and reforms, employee and organizational commitment, etc. These studies show the importance of transformational leadership in generating strong commitment to change or reform and positive outcomes of change and reforms, or other organizational outcomes/performance that could be applied to the context of RBP. However, the examination of public leadership literature finds that there is limited research on public

managers' leadership styles, either top managers or middle and line managers, in the context of developing countries and its relationship with performance management in the public sector. Moynihan, Pandey and Wright's (2011) study is one of the first studies to look into this connection, but this research primarily focuses on the indirect link. Further, what leadership style should adopt during the implementation and use of change or reforms such as RBP that can lead to increased outcomes of change or reform or organizational performance, specifically when considering these issues in the public sector context in developing countries remain under-researched.

3.2.2. The role of public managers in reforms

This current research focuses on administrative leadership or managerial leadership in the public sector rather political or policy-making leadership (hereafter referred to as public sector leadership). Public sector leadership is described in the following aspects: (1) includes civil service and appointed leaders who are working at all levels of government agencies; (2) includes processes through which civil service and appointed leaders at all levels in government agencies use their influence over the behavior of employees to lead, manage, and guide them to achieve organizational mission and objectives; (3) the focus is primarily on implementation and the technical perspectives of policy development (Van Wart, 2013, p.521). In this research, we refer public managers as management employees such as senior managers, middle managers, line managers, but not elected officials such as ministers, mayors.

It is unarguable that public management reforms are dependent on how public managers carry out their role. The bulk of the evidence of that exists in the literature. Public sector managers are considered as champions for change as well as key players in its implementation (Fernandez & Pitt, 2007). Burke (2002) indicates that public managers are able and frequently make change happen in their organizations. He analyses the influences of leadership behavior on organizational transformation in four different phases of change, from the initiation phase to the institutionalization of change. In the same vein, Hennessey (1998), Armenakis, Harris, and Field (2001), Jaffe, Scott, and Tobe (1994), Kotter (2007) claim that public leadership has a

significant effect on organizational change and reforms. Significantly, Hennessey's (1998) study on the impact of leadership on the outcomes of renovation in the public sector indicates that the changes are facilitated by effective leaders, which in turn contribute to higher organizational performance.

It is worth noting that existing literature has primarily put emphasis on top or senior leaders as one among key factors that influence the effectiveness of change or innovation initiatives (Kotter, 2007; Fernandez & Rainey, 2006; Kraatz & Moore, 2002; Aram & Noble, 1999). For example, Kraatz and Moore (2002) assert that top management can have a significant impact on the adoption of innovations. Similarly, Thompson and Sanders (1997) claim that top management plays a crucial role in successful implementation of organizational change by encouraging, facilitating innovation, and supporting the change. Mayne (2007) notes that successful implementation of results-based management is partly attributable to the top management's continual efforts to disseminate information about this approach and the need to implement it.

However, the researcher mostly relies on middle manager literature than that of senior or top managers to conceptualize the key roles of public managers and corresponding leadership styles (especially towards subordinates) in implementing RBP. Middle managers in this study refers to those who typically head a function, team, or office, and supervise day-to-day and other operations; they are located below top managers and, in large organizations, typically distinct from first-tier supervisors (Chen, Berman, & Wang, 2017; Varma, 2012; Wooldridge, Schmid, & Floyd, 2008). The explanations for this are following.

First, this current study emphasizes the implementation stage of RBP rather than its initiation. Indeed, public administration theory has traditionally regarded implementation as the core of middle management activity (Burgelman, 1983; Floyd & Wooldridge, 1992, 1999; Huy, 2002; Briggs, 2005; Rouleau, 2005; Rouleau & Balogun, 2011). Change or reform comes from senior managers, and if the senior managers do not initiate change, people accept the "status quo" without any problems

(Lan, 2002). Very often, the role of senior managers is focused during the initiation of change, however, their lower management level plays a crucial role in the implementation of change (Van de Voet et al., 2016; Van Dam et al., 2008; Allen et al., 2007; James, 2005).

Second, it is traditionally considered that middle managers have greater insight into the type of change and leadership style compared with other management levels as they are at the operational level of management within the organization (James, 2005). The fact that empirical evidence for a cascading effect of leadership style has been found in several studies (e.g., McDaniel & Wolf, 1992; Bass et al., 1987; Oshagbemi & Gill, 2004). These studies suggest that leadership patterns are inclined to replicate from higher to lower organizational levels. For instance, Oshagbemi & Gill's (2004) study examining the leadership styles and behaviors of managers at different levels in UK organizations finds that generally there are no differences in the leadership styles between senior and middle-level managers or between middle and first-level managers, but a slight difference between senior and first-level managers. The research implies that differences in the leadership styles adopted by managers may be blurred in organizations with short levels of hierarchy (Oshagbemi & Gill, 2004). However, the predominant role of middle managers in the implementation stage of any reform is unarguable.

More specifically, some scholars recently have noted the importance and benefits of middle managers as they can facilitate or enhance reform implementation processes, implement change, and improve organizational performance (Caldwell et al., 2010; Birken et al., 2012; Van de Voet et al., 2015). Moreover, middle managers are in a better position than most top managers to secure a lasting change or sustain reforms (Huy, 2001; OECD-DAC, 2008). For example, in their studies in the field of healthcare, Birken et al. (2012) and Bourne and Walker (2005) found out that middle managers can play an important role in healthcare organizations by facilitating the implementation of innovation within their facility. Birken et al. (2012)'s theory of middle managers' role focuses specifically on middle managers in an organization and

theorizes that they express their commitment to innovation implementation by (i) disseminating information to give subordinates necessary information about innovation implementation, (ii) synthesizing information to provide relevant examples to help employees understand about the process of innovations implementation, (iii) mediating between strategy and day-to-day activities to give subordinates the necessary tools to implement innovations, and (iv) selling change implementation to encourage subordinates to use it consistently and effectively (Engle et al., 2017).

In term of public managers' downward influence, Rensburg et al. (2014) findings support the theoretical perspectives that middle managers provide both emotional and professional support to their subordinates. Middle managers can apply their experience to evaluate the relevance and feasibility of proposed initiatives and changes and then outline information communicated to subordinates (Dutton, Ashford, O'Neill, & Lawrence, 2001; Huy, 2001). Huy (2001) explains that uncertainty about change can lead to the pain and anxiety, and resistance to change across organizational members. He argues that top managers cannot do much to release the pain as they are too far from most employees. Huy (2001, 2002) refers to an emotional balancing process where middle managers help subordinates address their emotional well-being, make sense of and cope with change. Professional support is also provided to subordinates by middle managers, which enables and empowers staff to execute their agreed tasks successfully. Very often, they organize, monitor and evaluate the work of staff and act as role models (Briggs, 2005).

Based on the literature on the role of managers, mostly middle managers, in change and reform, the study identifies the roles of public managers with the focus on their downward roles in RBP implementation (leadership roles toward subordinates). More specifically, mostly relied on Birken et al.'s (2012) theory of middle managers' role in innovative practices, we developed a framework of the leadership role of public managers in RBP practices with the following roles. First, they need to lead their staff to do all RBP activities within their authorities (e.g., conducting analysis to determine objectives, indicators and targets, as well as corresponding solutions or programs,

synthesizing different ideas and opinions of staff and stakeholders, and giving the final decision on the draft plan). Second, public managers get their staff and stakeholder involvement in the RBP process (e.g., assigning related tasks, motivating and empowering people to work together). Third, they give staff the tools necessary to implement RBP (e.g., providing training and coaching, guiding their staff to use management tools and techniques, and providing resources and support needed to accomplish assigned tasks). Fourth, they need to build broad support for national plans using RBP to ensure its continuity and sustainability (e.g., describing and providing evidence of the use of RBP in practice, encouraging staff to use RBP consistently, mobilizing the human and financial resources needed to get RBP done). Table 3.2 provides a summary of studies on managers' downward role in change and reform and the adaptation to this study.

[Insert Table 3.2 About Here]

Table 3. 2. *A summary of theories of roles of managers in change and reforms and the adaptation to this study*

<i>Authors</i>	<i>Roles of managers</i>	<i>Adaptation to the study (Roles of public managers)</i>
Rensburg et al. (2014); Huy (2001, 2002)	<ul style="list-style-type: none"> • Offer both emotional and professional support to their subordinates. 	<ul style="list-style-type: none"> • <i>Get staff and stakeholder involvement in RBP</i> • <i>Provide staff with the necessary tools to implement RBP</i>
Dutton, Ashford, O'Neill, & Lawrence (2001); Huy (2001)	<ul style="list-style-type: none"> • Use their experience to evaluate the relevance and feasibility of proposed initiatives and changes and then outline information communicated to subordinates 	<ul style="list-style-type: none"> • <i>Lead staff to do RBP</i>
Huy (2001); OECD-DAC (2008)	<ul style="list-style-type: none"> • Secure a lasting change or sustain reforms 	<ul style="list-style-type: none"> • <i>Build broad support for using RBP to ensure its continuity</i>
Birken et al. (2012); Engle et al. (2017); Higgs and Rowland (2000, 2005, 2011)	<ul style="list-style-type: none"> • Diffuse information to give employees necessary information about innovation implementation, • Synthesize information to provide relevant examples to help employees understand how innovations are implemented • Mediate between strategy and day-to-day activities to give employees the tools needed to implement innovations, • Sell innovation implementation to encourage employees to use it consistently and effectively 	<ul style="list-style-type: none"> • <i>Lead staff to do RBP</i> • <i>Get staff and stakeholder involvement in RBP</i> • <i>Provide staff with the necessary tools to implement RBP</i> • <i>Build broad support for using RBP to ensure its continuity</i>
Bourne & Walker (2005); Caldwell et al. (2008); Van de Voet et al. (2015)	<ul style="list-style-type: none"> • Facilitate the implementation of innovation 	<ul style="list-style-type: none"> • <i>Provide staff with the necessary instruments to implement RBP</i> • <i>Build broad support for using RBP to ensure its continuity</i>
Briggs (2005)	<ul style="list-style-type: none"> • Organize, monitor, and evaluate the work of subordinates and act as role models 	<ul style="list-style-type: none"> • <i>Lead staff to do RBP</i>

Chapter summary

This chapter has reviewed a range of literature including performance-based public sector reforms, RBP, and leadership theories. A review of the literature on results-based reforms provides the researcher with more fruitful sources for a better understanding of RBP and its potential relationships with organizational factors, and ultimately serving the development of a conceptual framework for this study. Significantly, RBP definitions and its features generalized from the literature, as well as the suggestions from previous studies on measuring the effectiveness of performance management assist the researcher in conceptualizing the key study construct "RBP practices", which is discussed in more detail in Chapter 4.

The literature review on leadership suggests that the behavior and situational approaches to leadership, specifically transformational-transactional leadership theory can be applied as a theoretical foundation to conceptualize the variable of leadership style in this study. However, it is noteworthy that autocratic leadership -a favorable style of many Vietnamese managers should be taken into consideration and some adjustments to each component of transactional or transformational style need to be made to fit the Vietnamese public sector context. More importantly, the examination of the literature on leadership styles and managers' role in reforms helps the researcher generate a framework of leadership roles and leadership styles by public managers during RBP implementation, which serves the conceptualization of the other key study variable "Leadership styles" in Chapter 4.

The next chapter discusses in more detail the possible relationship between these study variables and proposes a conceptual framework for this research.

Chapter 4. Conceptual Framework

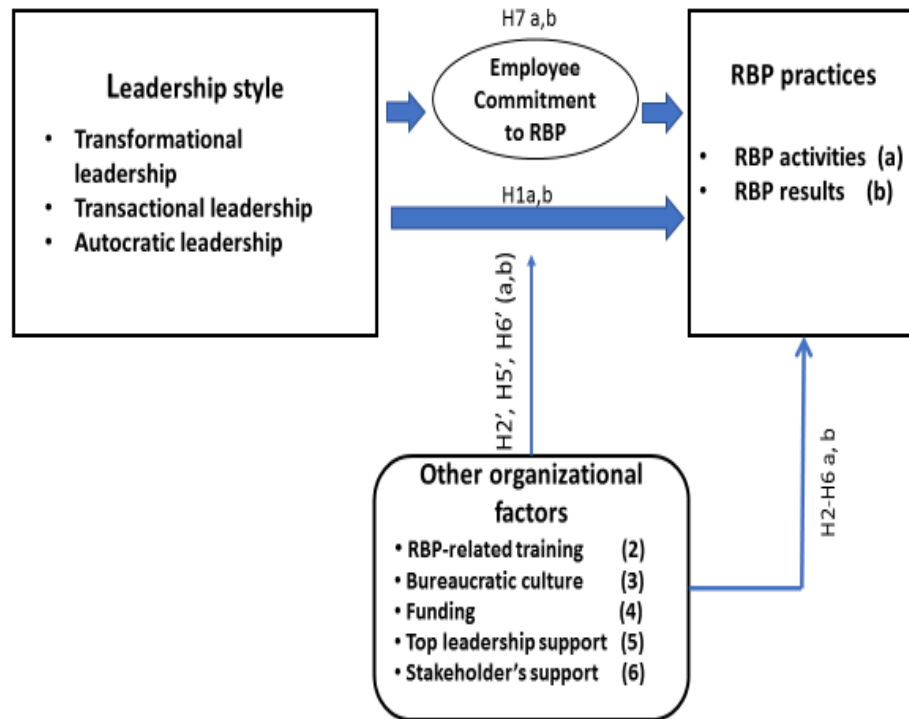
Introduction

An examination of previous studies indicates a lack of empirical study on the relationship between public managers' leadership styles and the use and outcomes of RBP but recognizes a connection between public managers' role, leadership styles and the implementation and use of change or reform in general. This chapter proposes a conceptual framework based on the literature review in Chapter 3 and the Background chapter in order to empirically investigate RBP practice and leadership styles adopted during RBP process. This is followed by an examination of the hypothesized relationships proposed in this framework.

Figure 4.1 describes the conceptual framework developed for the study. It is hypothesized that leadership style factor identified in terms of three sub-dimensions (*independent variables*) impacts RBP practices (*dependent variables*) directly or indirectly through a mediator (employee commitment to RBP). Alongside, this study also examines the relationships between five other organizational factors and RBP practices.

[Insert Figure 4.1 About Here]

Figure 4.1. *Conceptual framework*



2

4.1. Conceptualization of the key study constructs

4.1.1. RBP practices

As none of the previous studies has measured RBP practices to date, the RBP practices evaluated in this study derives from studies on results-based management- type reforms in general and applied studies on RBP. However, a review of the literature found that the public sector has been facing certain difficulties in measuring outcomes or effectiveness of change or reform, especially performance management reform. Though several recent studies have attempted to measure this construct, there is a lack of consistent results across studies (e.g., Boyne & Chen, 2007; Baird et al., 2012; Gerrish, 2016). Thus, this study conceptualizes the construct "RBP practices" based on RBP definitions and its features generalized from the literature. Also, it relies on the suggestions from previous studies on measuring effectiveness or outcomes of

performance management, specifically, through the significance of goal clarification and target setting (Boyne & Chen, 2007), the use of specific objectives of performance management that are achieved (Baird et al., 2012; Lawler, 2003), and using theory of change that highlights the logic of cause-effect linkages (Weiss, 1988).

This study focuses not only on the outcomes or results of RBP, e.g., objective clarity, the logic and quality of development plans but also on its process. RBP practice is defined in this research as the actual application of the results-based approach to planning process within public organizations. We argue that the frequent use of RBP activities, e.g., setting objectives aided by logical frameworks, as an indicator of the practice of RBP offers us with more objective evidence of this practice. The frequent use of these activities leads to certain outputs of RBP, for example, the increased participation of stakeholders, better linkages of objectives, performance indicators, and targets, and ultimately results in the positive outcomes of RBP (results). Even though these could not be enough in themselves to completely measure RBP practices, it is better than just asking respondents whether their agencies have clear, logical, and qualified development plans.

Hence, this study examines two main dimensions of RBP practices including RBP activities and RBP results. "RBP activities" is conceptualized as the process encompassing the following steps that are required to implement frequently: formulating goals or objectives, selecting performance indicators and targets, allocating resources, monitoring, and evaluating results (RBP activities). "RBP results" is referred to a number of results that are produced by the implementation of RBP activities which include: (1) immediate results (RBP outputs) such as increased participation of different stakeholders in the planning process, better understanding of how inputs, activities, and outputs are linked, a development of linkage of objectives, performance indicators, and targets, and a closer link of planning and budgets; (2) short-term or medium-term results (RBP outcomes) such as goal/objective clarity, improved the quality and logic of their plans, fostered transparency and accountability, and evaluation of outcomes against desired objectives.

4.1.2. Combined leadership styles

Relied upon theories of leadership styles and public managers' role in reforms, as discussed in Chapter 3, we arrived at a framework of roles and leadership styles used by public managers during RBP implementation. This framework, as shown in Table 4.1, helps the researcher conceptualize the key study variable "Leadership styles" and develop hypotheses for the relationship between this variable and RBP practices in this chapter.

[Insert Table 4.1 About Here]

The leadership style we consider in this study which public managers can practice during RBP implementation is "combined leadership" that consists of autocratic, transactional, and transformational styles. We argue that each leadership style has a certain contribution to the managerial effectiveness, even though each type of leadership will display in front of an individual with varying results. The fact that most managers commonly adhere to one or two preferred leadership styles, but in practice, they can adopt specific combined styles of leadership to accomplish their roles or tasks. Combined transformational-transactional leadership styles that can lead to higher results of organizational changes or reforms are considered as the prevalent combined leadership discussed in the literature (Nadler & Tushman, 1989; Simons, 1999, 2002; Chen & Chen, 2005; Bass, 1985, 1998; Hemsworth et al., 2013; Newman, 2012). However, in addition to these two leadership styles, we also include autocratic leadership- a common style of many Vietnamese public managers as another element of combined leadership styles examined in this study.

Table 4. 1. *Public managers' downward roles in RBP implementation and corresponding leadership styles*

<i>Roles</i>	<i>Traditional styles (transactional, autocratic)</i>	<i>Transformational styles</i>
<i>Lead staff to do RBP</i>	<ul style="list-style-type: none"> • Tell followers what has to be done and how to do • Pay attention to any problems and having extensive and accurate monitoring and control systems to offer alerts of such problems; • Set out a list of performance and achievement guidelines for followers and rewards in terms of money, praise, and promotion can be expected for successful accomplishment 	<ul style="list-style-type: none"> • Act as role models • Assign tasks based on individual ability and needs; • Encourage the followers to think through issues and problems for themselves
<i>Get staff and stakeholder involvement in RBP</i>	<ul style="list-style-type: none"> • Give followers positive feedbacks when they perform the assigned tasks well 	<ul style="list-style-type: none"> • Give followers a sense of empowerment and ownership; • Value the intellectual ability of followers
<i>Provide staff with the tools necessary to implement RBP</i>	<ul style="list-style-type: none"> • Support and help followers to ensure tasks are undertaken 	<ul style="list-style-type: none"> • Exhibit concern for their followers, give personal attention, listens to others' concerns, • Provide feedback, advice, support, encouragement, and real opportunities to improve their skills and abilities
<i>Build broad support for using RBP to ensure its continuity</i>		<ul style="list-style-type: none"> • Demonstrate enthusiasm and optimism in creating a vision of the future, thus stimulating similar feelings with followers; • Show dedication, a strong sense of purpose and perseverance, and confidence in the purpose

Specifically, in the study setting, both transactional and transformational leadership practices are necessary, and both can influence and help the management reform process such as RBP in different ways and for different purposes. In addition, although autocratic leadership style generally is not suitable to change or innovations, it is still commonly used by many Vietnamese managers. This style is perceived positive in some cases such as in organizations with a strong traditional administrative culture where almost members resist the change or reform initiatives like the application of results-based approach, or organizations with inexperienced and low skilled employees. The use of this leadership style still can help to ensure employees to complete their assigned tasks related to RBP adoption to some extent.

It is worth noting that though mainly based on transformational and transactional leadership theory, some adjustments to each component of each style need to be made to fit the context of this research. For example, the contingent reward is a specific element of transactional leadership, but it is very different between the public and the private sector in Vietnam. Unlike their counterparts in the private sector, leaders and managers in the public sector do not have much power to raise their followers' salary or fire an employee. The reason for this is that the context is highly structured by policies and procedures and the authority to reward or punish followers of Vietnamese leaders strictly follows the state regulations (Pham, 2016). Therefore, they are inclined to use non-monetary rewards (e.g., recognition, praise) to ensure subordinates to reach the required objectives of reform or organizational change.

As widely shown in the literature, transformational leadership is essential for reform and change, and RBP is seen as one among the government's change effort to meet increasing demand for a more transparent, effective, and efficient government. Therefore, this leadership style is very applicable to the current application of RBP in the Vietnamese public sector. However, in the Vietnamese culture where leaders are seen as benevolent (Lewis, 2006), leaders may tend to demonstrate *idealized influence* such as acting as role models or *individualized concern* for follower personal needs such as providing real opportunities for followers to improve their skills and abilities

based on individual ability and needs; providing sufficient and relevant information regarding change or reform; justifying the necessity of change, addressing subordinate's questions and concerns. Such key dimensions of transformational leadership and perhaps the most widely adopted transformational leadership behaviors seem to be the most appropriate approach for public managers to employ in order to support the implementation of change or reforms such as RBP in Vietnam.

Taking into account the abovementioned arguments, the following sections discuss the assumed relationships between combined leadership styles (autocratic, transactional, and transformational) and RBP practices. In addition, as the literature and practical observation point out some organizational factors influencing RBP as well as the combined leadership styles-RBP practices relationship, the possible relationships between these variables are also examined.

4.2. Relationships between combined leadership styles and RBP practices

In order to practice the four key roles in RBP implementation, as shown in Table 4.1, public managers can use a combination of different leadership styles ranging from autocratic, transactional to transformational behaviors. According to Bass (1998) and Gerstner and Day (1994), transactional and autocratic styles tend to have greater relevance in collectivist societies as Vietnam. Indeed, though both transactional and autocratic leadership styles are generally perceived as not suitable for change or reforms as RBP, these styles still can produce performance at the required levels (Avolio & Bass, 2004; Kirkbride, 2006). However, to get subordinates to transcend expectation or to reach the superior performance of RBP, it is necessary to use the transformational styles. Table 4.2 illustrates how each element of combined leadership styles (autocratic, transactional, transformational) impacts each dimension of RBP practices (RBP activities, RBP results).

Table 4.2. An illustration of the impact of each component of combined leadership styles on RBP practices

<div>Leadership styles</div> <div>RBP practices</div>	Autocratic leadership styles	Transactional leadership styles	Transformational leadership styles
	E.g., telling followers what has to be done and how to do it, and then closely monitoring subordinates	E.g., giving followers positive feedbacks when they perform the RBP related tasks well such as praise, recognition (<i>contingent reward</i>)	E.g., providing real opportunities for followers to improve their skills and abilities based on individual ability and needs; sending staff to related training courses, or providing coaching and mentoring (<i>individualized consideration</i>)
<div>RBP activities</div> <div>↓</div>	<ul style="list-style-type: none"> Enhances followers' compliance with RBP, thereby being able to make all necessary RBP activities to be frequently undertaken <div>↓</div>	<ul style="list-style-type: none"> Increases followers' extrinsic motivation to perform their tasks, thereby increasing the engagement and frequent implementation of RBP activities among followers <div>↓</div>	<ul style="list-style-type: none"> Employees can be their best and thus participate more actively, proactively and frequently in implementing RBP activities <div>↓</div>
<div>RBP results (outcomes)</div>	<ul style="list-style-type: none"> RBP outcomes are achieved at the required levels (<i>Increased the clarity of objectives, increased the quality of plans</i>) 	<ul style="list-style-type: none"> RBP outcomes are achieved at the required levels (<i>Increased the clarity of objectives; Increased the quality of plans; Improved accountability and transparency in planning</i>). 	<ul style="list-style-type: none"> RBP outcomes are achieved at the higher levels (beyond performance expectations) (<i>Increased the clarity of objectives; Increased quality, logic, and feasibility of plans; Increased accountability and transparency in planning</i>)

Specifically, autocratic styles can be used by public managers in leading staff to do RBP. For example, through telling followers what has to be done and how to do it, and then closely monitoring subordinates, they are able to make all necessary RBP activities to be frequently undertaken. Furthermore, using punishment such as giving warning in the collective meetings if subordinates make mistakes or refuse to implement assigned tasks during RBP implementation can also help managers get staff to accomplish all RBP activities. Research on the use of punishment suggests that punishment can be used to influence the behavior of subordinates in some situations (Yukl, 1989). Basically, by focusing on subordinate's discipline, this style enhances followers' compliance with RBP (Cheng et al., 2003) which can generate some outputs such as better linkage between performance targets, indicators, and objectives; a better link between budgeting and planning. As a result, such outputs can lead to its desired outcomes such as increased the clarity of objectives, increased quality of plans, but mostly at the required levels.

Transactional styles can be used by public managers in practicing their roles in RBP processes (i.e., leading staff to do RBP, providing staff necessary tools and support to implement RBP). To be specific, by setting out a list of performance and achievement guidelines for followers (*active management by exception*) and rewards in terms of praise, recognition (*contingent reward*), and monitoring follower performance and tracking errors during RBP (*active management by exception*), by providing support and helping followers for the right performance (*contingent reward*), public managers are able to make all RBP activities to be frequently done. In order to get staff involvement in RBP, transactional leaders give followers positive feedbacks when they perform the RBP related tasks well such as praise, recognition (*contingent reward*). This transactional behavior increases followers' extrinsic motivation to perform their tasks, increasing the engagement and frequent implementation of RBP activities among followers. Indeed, a study by Gilley (2005) finds that employees tend to commit more to the change if they can find personal benefits from change implementation. Therefore, this style increases employees' participation and involvement in RBP, resulting in reaching desired outcomes of RBP such as increased

the clarity of objectives, increased quality of plans, improved accountability and transparency at the required levels.

Despite autocratic and transactional leadership styles still can lead to performance expectation of RBP, unsatisfactory outcomes of RBP for the long term are sometimes unavoidable. Therefore, some reasons support the expectation that transformational leadership would ensure RBP to be implemented at a high level of performance. As shown in Table 4.1, transformational behaviors are needed in order to practice all four key roles of public managers in RBP implementation.

First, in leading staff to do RBP, public managers tend to act as role models, “doing” rather than just “saying” (*Idealized influence*), assigning tasks to staff based on their individual ability and needs (*Individualized consideration*), stimulating independent thinking and extra effort to their work among staff (*Intellectual stimulation*). Second, they get staff involvement in RBP through showing the trust in subordinates and respects to their ideas (*Inspirational motivation*). Third, they provide necessary support to implement RBP such as helping followers develop their own abilities of exploring, analyzing, and solving problems through the understanding of each followers’ strengths and weaknesses; providing real opportunities for followers to improve their skills and abilities based on individual ability and needs; sending staff to related training courses, or providing coaching and mentoring which enable staff to get more new knowledge and skills of RBP (*Individualized consideration*). Fourth, transformational managers build broad support for using RBP among their followers to ensure its continuity by talking enthusiastically about RBP, addressing subordinate’s questions and concerns, and reassuring that all obstacles to RBP will be overcome (*Inspirational motivation*). As a result, transformational leaders can help employees to be their best and then participate more actively, proactively, and frequently in RBP processes. Transformational leaders also help to increase followers’ awareness and understanding of the importance and values of RBP associated with desired outcomes, thereby increasing acceptance and participation in RBP processes among employees for a long term. These transformational behaviors help ensure necessary RBP activities

to be accomplished beyond performance expectations, hence, leading to superior results of RBP (i.e., increased the clarity of objectives; increased quality, logic, and feasibility of plans; increased accountability and transparency in planning).

Several empirical studies have provided evidence that multiple leadership styles can be practiced by the same individuals in varying intensities, and a combination of different leadership styles can result in greater outcomes (Bass, 1997; Yukl, 2006; Avolio & Bass, 2004; Sadeghi & Pihie, 2012). Our study expects to share another evidence by testing the following hypothesis:

H1: The combined leadership style (autocratic, transactional, and transformational) increases (a) RBP activities, (b) RBP results (outputs and outcomes).

4.3. Relationships between other organizational factors and RBP practices

As regarded in the literature, notwithstanding that a considerable number of studies have identified various factors affecting organizational change and performance management practices, no specific combination of factors has been given that correctly forecast the success of change and performance management. Based on prior research findings and practical evidence of the RBP adoption in the Vietnamese public sector as discussed in Background and Literature review chapters, in addition to leadership styles factor, five other organizational factors that relatively influence RBP practices in Vietnam are sequentially examined in this study. They are (1) RBP-related training; (2) Bureaucratic organizational culture; (3) Funding for RBP implementation; (4) Top leadership support; and (5) External support.

4.3.1. RBP- related training and RBP practices

It is unarguable that providing training for those who are involved in the implementation of reform initiatives such as RBP is of importance for its success. Particularly, in order to ensure clarity and common understanding of RBP, and then implement and use RBP successfully, training needs to be effective. Indeed, training commonly aims to prepare managers and staff the necessary knowledge, skills and

abilities to develop and use policies/programs successfully (The Auditor General of Canada, 1996; Schraeder et al., 2005). Effective training is the development and transfer of knowledge, skills and attitudes that people will acquire and use once they are back at work (Green et al., 2000). RBP-related training is considered effective if (1) implementers are provided by training courses with basic knowledge and skills of RBP (e.g., definition, benefits of results-based planning, problem tree analysis, objective tree analysis, logic model framework for planning); (2) the trainers are required to provide many excellent and real-life examples of RBP as well as encourage their trainees to raise any questions related to the application of RBP; and (3) the trainees can apply knowledge and skills of RBP learned from training courses in their work.

Obviously, during the implementation of RBP, such effective training provided either by their superiors or relevant training institutes helps employees get familiar with the basic concepts of RBP, and therefore understand more about the whole planning process and clearly know how to implement necessary steps, which enhances their confidence, resulting in the increased use of RBP activities. Further, once staff have a better understanding of RBP, thereby increasing acceptance of RBP and participation in RBP processes among them, creating better linkage between performance targets, indicators, and objectives; better link between budgeting and planning that finally leads to the achievement of desired outcomes of RBP such as increased clarity of plan objectives and increased quality, logic, and feasibility of plans.

This argument is supported by clear evidence in the literature that the absence of effective training could hinder the success of performance management approaches (Ohemeng, 2009; De Waal & Counet, 2009; Dzimbiri, 2008; Hung et al., 2015). Therefore, the lesson for RBP success is to provide effective training of RBP for almost those who are involved. Based on the above arguments, the following hypothesis will be tested:

H2: Effective training of RBP increases (a) RBP activities, (b) RBP results (outputs, outcomes).

4.3.2. Bureaucratic organizational culture and RBP practices

As discussed in the previous chapters, like many other developing countries, the Vietnamese public organizations are traditionally characterized by an administrative or bureaucratic culture. Bureaucratic culture is defined as the organizational culture that emphasizes formal rules and procedures, formalization and structure, as well as the permanence and stability of organizations (Ogbonna & Harris, 2000). Organizational culture is generally seen as a set of key values, assumptions, understandings, and norms that are shared by organizational members and taught to new members as correct (Hofstede, 2005). There is evidence in the past literature that organizational culture is a determinant of the success of organizational change (Vestal et al., 1997).

Bureaucratic organizational culture can decrease the frequent use of RBP as well as its outcomes due to the following reasons. First, a results-based approach as RBP may require significant changes to certain aspects of managing within organizations (Auditor General of Canada, 2000) and it seems to be associated with an innovative culture which supports and commits to innovation and development (Ogbonna and Harris, 2000) rather than bureaucratic culture. Therefore, resistance to change can occur when the proposed change such as RBP is seen not to be consistent with current organizational culture (Vestal et al., 1997). Second, staff those work in such bureaucratic culture tend to be accustomed to the traditional planning and favour the permanence and stability, which can decrease the acceptance of RBP and positive participation in RBP process among staff. Also, the insufficient implementation of necessary activities of RBP such as identifying objectives and corresponding performance indicators and targets may occur. These may lead to the failure in achieving RBP outputs such as a close link between objectives and corresponding performance indicators and targets, ultimately resulting in the unexpected outcomes of RBP (i.e., the objectives are not clearly clarified, the quality and logic of plans are not improved). Thus, this study supposes:

H3: Bureaucratic culture decreases the use of (a) RBP activities, (b) RBP results (outputs, outcomes).

4.3.3. Funding for RBP implementation and RBP practices

The practical experience of RBP implementation in Vietnam pinpoints that the lack of funding during the implementation process considerably hinders the use and desired outcomes of RBP, even leads to its failure (Hung et al., 2015). Indeed, as a planned change, RBP involves a redeployment of limited organizational financial resources toward a wide range of activities such as formulating a strategy for implementing RBP, training employees, restructuring and reorganizing the organization, and piloting and implementing RBP (Burke, 2002; Nadler & Nadler, 1998). More specifically, during the implementation of RBP activities, for example, in the stage of identifying plan objectives and performance indicators, obtaining new data beside existing data and the effort required to analyze it need a resource intensive (Cambridge Systematic et al., 2010; Middleton & Regan, 2015).

Therefore, the insufficient funding for deploying RBP activities may lead to less robust data which may weaken the linkages of objectives, performance indicators, and targets, and the link between planning and budgets, as well as a decrease of stakeholder participation in the planning process, which can decrease the clarity of plan objectives and quality of plans in general. Similarly, several studies on performance management (e.g., Mayne, 2007; Shun et al., 2006; De Waal & Counet, 2009) and administrative reforms (e.g., Chackerian & Mavima, 2000; Fernandez & Rainey, 2006) find that resource scarcity can hinder organizational changes. The above argument leads to the following hypothesis:

H4: Insufficient funding decreases (a) RBP activities, (b) RBP results (outputs, outcomes).

4.3.4. Top leadership support and RBP practices

Top leadership support is assumed to influence RBP practices. Indeed, during the adoption of RBP in public organizations, once top management indicates that RBP is worth considering as a high priority, and they are clearly and visibly involved not only in its initiation but also in its implementation (e.g., sending strong messages of support

for RBP to their staff by giving speeches and notices, providing adequate budgetary support, and devoting time to RBP process), followers' awareness and understanding of the importance and values of RBP will be increased, thereby increasing the participation and involvement in RBP processes among subordinates. Once staff have a better understanding of RBP, all necessary RBP activities such as using logical frameworks to identify goals/objectives and corresponding indicators and targets, allocating relevant budgeting will be undertaken sufficiently and correctly. Also, the increased participation in RBP processes among staff enables public agencies to reach desired outcomes of RBP such as increased the clarity of objectives, increased quality of plans, and increased accountability and transparency.

The above argument is supported by a bulk of evidence from the literature. Specifically, top leadership support for results/performance-based approach is likely the most frequent suggestion cited in reports of many countries on results-based management experiences (Ariyachandra & Frolick, 2008; Perrin, 2002; Binnendijk, 2000; Auditor General of Canada, 2000; Mayne, 2007; Tan & Zhao, 2003; Khan, 2013). Similarly, considerable evidence indicates that top-management support and commitment play an essential role in successful implementation of change in the public sector (Abramson & Lawrence 2001; Berman & Wang 2000; Lambright 2001; Laurent, 2003; Thompson & Fulla, 2001; Fernandez & Rainey, 2006). These studies commonly indicate top leadership support for change such as results-based management approach including activities: being aware of the importance of the approach, getting subordinate involvement in the process, keeping the pressure on operating units to work with the new approach, encouraging subordinates to implement the new approach, and providing necessary help and resources. Thus, this study hypothesizes:

H5: Top leadership support increases (a) RBP activities, (b) RBP results (outputs, outcomes).

4.3.5. External support and RBP practices

External support acts as an important determinant of successful change efforts including performance management (Abramson & Lawrence, 2001; Mazmanian &

Sabatier, 1989; Rossotti, 2005; Fernandez & Rainey, 2006; The Auditor General of Canada, 1996). As discussed in the Background chapter, RBP was initially introduced in Vietnam by international donors as the technical support for the implementation of its public sector reforms. Moreover, RBP is a participatory approach to planning processes, which requires more participation of different stakeholders outside the organization such as other government agencies, enterprises, community, mass organization, etc. Hence, the success of organizational change such as RBP in the public sector depends on the degree of support from these external stakeholders.

The effects of these actors on the outcome of change efforts are illustrated in various ways. International donors can influence the implementation and outcome of planned change such as RBP by providing technical and financial support to help the implementing agency's members to become familiar with RBP and fund their initial efforts in RBP and partly ensure the continued use of RBP in these agencies. Other stakeholders (e.g., other government agencies, mass organizations) may impact the use and outcomes of RBP through showing their support for the RBP implementing agencies such as positively participating in planning processes, contributing constructive ideas and opinions to identify plan objectives and corresponding solutions, and providing related data if required. With this support, the use of RBP and its desired outcomes such as the clarity of plan objectives, quality and logic of plans, and transparency in planning processes are expected to be promoted. Therefore, we hypothesize:

H6: External support increases (a) RBP activities, (b) RBP results (outputs, outcomes).

4.4. Mediator and moderator factors (Secondary hypotheses)

4.4.1. Mediator factors

A number of previous studies indicate the positive association between employee commitment to change and the success or positive outcomes of change initiative (Herscovitch & Meyer, 2002; Meyer, 2007; Jaros, 2010; Hill, 2012) and the positive

effect of leadership styles, mostly transformational leadership behaviors on employee commitment to change (Goodwin et al., 2001; Judge & Bono, 2000; Lok & Crawford, 2004; Herold et al., 2008). Thus, there may exist a connection between combined leadership styles, employee commitment to change, and outcomes of change or reform in which employee commitment to change plays a mediating role. In other words, employment commitment to RBP was included as a potential mediator of leadership styles- RBP practices relationship.

Herscovitch and Meyer (2002) suggest that all three components of employee commitment to change (affective, continuance, normative) should combine to influence employee behaviors in implementing change. Therefore, in the research setting, a combination of different leadership behaviors (transformational, transactional, or even autocratic) are expected to have a significant relationship with these three elements of commitment to change (Herscovitch & Meyer, 2002). Indeed, managers, by talking enthusiastically about RBP, justifying the necessity of RBP, confirming that all obstacles to RBP will be overcome (transformational behaviors), and by giving followers positive feedbacks when they perform the RBP related tasks well such as praise, recognition (transactional behaviors), can help to increase followers' awareness and understanding of the values of RBP to their organization, as well as the personal benefits they can gain from RBP implementation. Therefore, the feeling of desire (affective), need (continuance), and obligation (normative) to cooperate with RBP among employees will be created. To be specific, they believe in the value of RBP, think that it should be better for them to support RBP, and feel of sense of duty to work toward RBP. This will lead to the compliance with the requirement of RBP that ensures all necessary RBP activities to be undertaken and more participation in RBP processes, resulting in the increased clarity of plan objectives, increased quality and logic of plans. Therefore, we hypothesize:

H7: Employee commitment to RBP mediates the relationship between combined leadership styles (autocratic, transactional, and transformational) and (a) RBP activities, (b) RBP results (outputs and outcomes).

4.4.2. Moderator factors

In addition to the examination of the proposed direct effects of RBP-related training, top-leadership support, and external support on RBP practices in the framework, these factors are also examined as the potential moderators of combined leadership styles-RBP practices relationships. Firstly, RBP-related training was included in the research model as a potential relationship moderator. Specifically, if staff are well trained, their sufficient knowledge and skills of RBP can have a significant positive impact on the practice of RBP. In other words, once staff receive effective RBP-related training, they become more confident to implement it, more actively and positively participate in RBP processes, thereby resulting in the increased use of RBP and then its outcomes. In that case, the importance of leadership styles adopted by public managers in leading, facilitating, and ultimately creating the better results of RBP may decrease. Hence,

H2': The greater the level of effectiveness of RBP-related training the weaker the combined leadership styles adoption effect on (a) RBP activities, and (b) RBP results (RBP outputs, RBP outcomes)

Secondly, with regard to top leadership support factor, it is predicted that the more top leadership support the adoption of leadership styles by non-senior public managers becomes less important for the explanation of RBP practices. Indeed, with their strong support during RBP implementation such as sending strong messages of support for RBP to their staff, providing adequate support, and devoting time to RBP implementation, the use of RBP and its desired outcomes such as the clarity of plan objectives, quality and logic of plans, and transparency in planning processes can be promoted without depending much on the role of lower managers. By contrast, if top leadership support is absent during RBP implementation stage, the successful implementation of RBP depends more on how non-senior public managers undertake their leadership. Similarly, external support has been found to influence the outcomes of management reforms such as RBP (Abramson & Lawrence, 2001; Rossotti, 2005; Fernandez & Rainey, 2006; The Auditor General of Canada, 1996). Once the organization obtains more support from external actors, the stakeholder's participation

increases and even more active in RBP process without much effort of public managers to get them involved. In other words, the importance of the adoption of leadership styles among public managers in leading and promoting RBP decreases. Thus, top leadership and external support were also included as potential moderators of the relationship between leadership styles and RBP practices.

H5': The greater the level of top leadership support for RBP the weaker the combined leadership styles adoption by public managers effect on (a) RBP activities, and (b) RBP results (RBP outputs, RBP outcomes)

H6': The greater the level of external support for RBP the weaker the combined leadership styles adoption by public managers effect on (a) RBP activities, and (b) RBP results (RBP outputs, RBP outcomes)

Chapter summary

This chapter has developed a conceptual framework as a direction for this research in empirically examining the hypothesized relationships. The framework describes a direct relationship between public managers' leadership styles (autocratic, transformational, transactional) and RBP practices (RBP activities, RBP outputs, RBP outcomes), and a potential indirect relationship between these variables formed by employee commitment to RBP. Also, this study hypothesizes the relationships between five other organizational factors (RBP-related training, bureaucratic organizational culture, funding for RBP implementation, top leadership support, external support) and RBP practices. The research also examines RBP-related training, top leadership support, and external support as the potential moderators of combined leadership styles-RBP practices relationship. The next chapter presents the research methodology designed for examining the ten hypotheses (*see Figure 4.1 and Table 4.3*) and validating this conceptual framework.

Table 4.3. *Hypotheses*

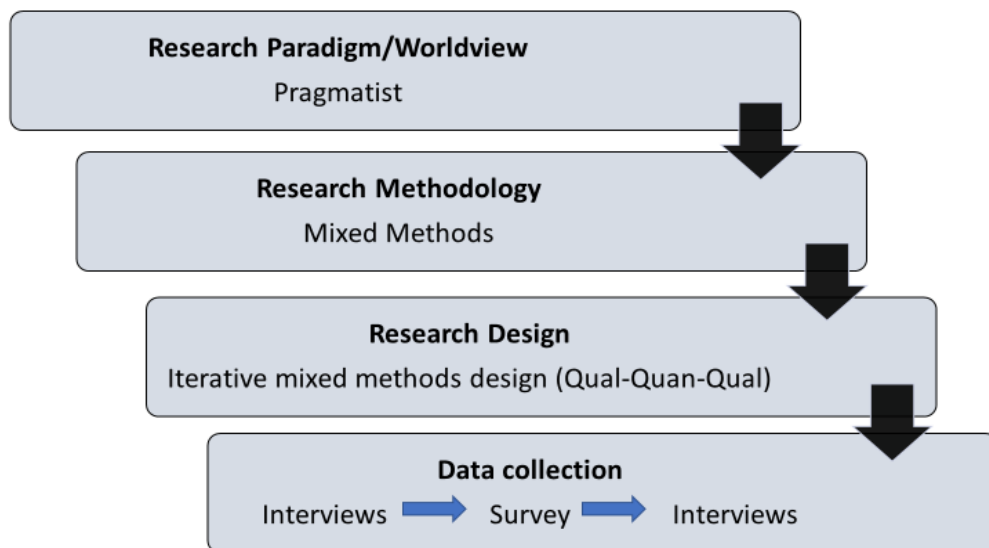
<i>H1</i>	Combined leadership style (autocratic, transactional, transformational) increases (a) RBP activities, (b) RBP results (outputs, outcomes).
<i>H2</i>	Effective training of RBP increases (a) RBP activities, (b) RBP results (outputs, outcomes).
<i>H3</i>	Bureaucratic culture decreases the use of (a) RBP activities, (b) RBP results (outputs, outcomes).
<i>H4</i>	Insufficient funding decreases (a) RBP activities, (b) RBP results (outputs, RBP outcomes)
<i>H5</i>	Top leadership support increases (a) RBP activities, (b) RBP results (outputs, outcomes)
<i>H6</i>	External support increases (a) RBP activities, (b) RBP results (outputs, outcomes)
<i>H7</i>	Employee commitment to RBP mediates the relationship between combined leadership styles (autocratic, transactional, transformational) and (a) RBP activities, (b) RBP results (outputs, outcomes).
<i>H2'</i>	The greater the level of effectiveness of RBP-related training the weaker the combined leadership styles adoption effect on (a) RBP activities, and (b) RBP results (RBP outputs, RBP outcomes)
<i>H5'</i>	The greater the level of top leadership support for RBP the weaker the combined leadership styles adoption by public managers effect on (a) RBP activities, and (b) RBP results (RBP outputs, RBP outcomes)
<i>H6'</i>	The greater the level of external support for RBP the weaker the combined leadership styles adoption by public managers effect on (a) RBP activities, and (b) RBP results (RBP outputs, RBP outcomes)

Chapter 5. Research Design and Methodology

Introduction

This chapter outlines the research methodology designed for the assessment and validation of the conceptual framework developed in Chapter 4. As described by Creswell (2013), one of the quantitative research methods which can be used for evaluating relationships is the survey method, whereas interviews, a qualitative research method, provides an opportunity for clarifying interviewee beliefs or opinions to obtain a better understanding of phenomena. Interviews are commonly used before and after surveys (for reasons described below). Mixed methods are increasingly recognized as valuable as they can make use of the respective strengths of each approach, which help to increase the reliability and validity of the research. Therefore, a combination of survey methods, interviews with survey concentration was undertaken in the present research. The following sections discuss the use of these methods including sample collection, methods of data collection and analysis. In addition, ethical considerations are also briefly discussed in this chapter (*see Figure 5.1*)

Figure 5.1. *Chapter outline*



5.1. Research Paradigm or Worldview

The term "paradigm" can be described as the basic assumptions, concepts, or propositions that orient thinking, research, and development in a research field (Kuhn, 1970; Bogdan & Biklen, 1998). However, some scholars prefer the use of the term "worldview" as it involves the beliefs and values of any community of specialists rather than are restricted to a specific community of scholars as the term "paradigm" refers to (Creswell, 2009; Creswell et al., 2011). However, either of these terms is used, there is a consensus that there are various ways in which researchers may interpret frameworks or view the world. Paradigms or worldviews can be categorized into four main types based on the way the researchers respond to three basic questions: (1) what is the nature of "reality"? (*ontology*); (2) what is the relationship between the researcher and that being researched? (*epistemology*); and (3) how should the researcher go about finding out knowledge? (*methodology*).

These four types of worldviews include post-positivist, constructivist, participatory, and pragmatist. Specifically, *post-positivist* worldview/paradigm (or positivism, quantitative research and empirical science) refers to a concept of singular reality where the truth is discovered objectively, in the form of quantitative research (Creswell et al., 2011; Doyle et al., 2009; Yvonne Feilzer, 2010). *Constructivist* worldview/paradigm is defined as multiple realities discovered by the use of qualitative research methods (Creswell, 2011; Giddings, 2006). *Participatory* worldview/paradigm concerns social justice issues omitted by other worldviews in which the researchers consider research to be political in nature (Creswell, 2011). *Pragmatist* worldview/paradigm involves discovering singular and multiple realities by adopting both qualitative and quantitative research methods (Creswell, 2011; Doyle et al., 2009; Giddings, 2006).

Ontologically, in examining the phenomenon of the relationships between leadership styles and RBP practice, this current study demonstrates the belief that realities exist and can be tested through research but need to be more explained from multiple perspectives to get more insight into the nature of the phenomenon.

Epistemologically, in observing the relationship between the researcher and the phenomenon of the study, this study shows the fact that the researcher collects data by "what works" to address research question as little known about the study phenomenon from the literature and the researcher's knowledge and understanding. That is the adoption of both objective data collection from instruments and data collection from participant's views. Methodologically, from both ontological and epistemological views, this research requires a mix of qualitative and quantitative methods in order to make use of the respective strengths of each approach, which help to gain more understanding of the phenomenon of the study. Indeed, the quantitative methods include rigorous quantitative procedures, providing practically stable data and empirical results (Holder & Berndt, 2011; Creswell, 2011) whereas the qualitative approach includes persuasive qualitative procedures, providing more extensive and insightful data (Creswell, 2011). Based on above arguments, the pragmatist worldview/paradigm is suitable for this research in studying the phenomenon of RBP and the effect of leadership styles on its practice.

A mixed methods approach guided by the pragmatist perspective was adopted in this thesis. This approach has received increased interest in many disciplines recently (Creswell, 2011; Haines, 2011; Valliant, 2013). It is widely claimed as a feasible choice because of its credible and unique ideas and performances, rather than employing either quantitative or qualitative approach alone (Denscombe, 2008). Creswell et al. (2003) argue that "all methods have limitations, but the biases inherent in any single method could be neutralized by combining data sources from two different methods." In other words, mixed methods research can integrate the strengths of both approaches. Indeed, mixed methods research includes the advantages of both methods which compensate for the weaknesses of mono-method studies. Moreover, mixed methods provide the researcher more data or greater opportunity for understanding the phenomenon than a single method alone. A mixed methods study can offer the opportunity to address a broader set of research questions involving the context of the phenomenon, the participants' experience and motives for the phenomenon, the prevalence and association among variables than a single method study (Creswell et al., 2001; Creswell

et al., 2011; Hanson et al., 2005; Johnson & Onwuegbuzie, 2004; Johnson et al., 2007; Sandelowski, 2000; Sandelowski et al., 2009; Teddie & Tashakkori, 2009).

As discussed in the previous chapters, the conceptual framework of this study consists of a large number of constructs and proposed relationships between them (e.g., leadership styles and RBP practices). Therefore, survey method is best for evaluating these relationships (Aaker et al., 2004, Zawawi, 2007). However, as little is known about the key relationship between leadership styles and RBP practice, it is necessary to have an insight into each variable through qualitative research which can help refine survey instruments developed from the literature and pre-validate measurement items. Moreover, the researcher also wishes to elaborate and clarify the findings obtained from quantitative data and analysis; qualitative methods are therefore needed. Based on above discussions, the adoption of mixed methods, with survey concentration, is most relevant to this study. This decision thus leads to a selection of the best-suited research design to collect data for this research.

5.2. Research design

There are numerous classifications of mixed methods designs used in social science found in the literature (e.g., Sandelowski; 2000; Greene & Caracelli, 1997; Creswell & Clark, 2003; Curry et al., 2013). Though these classifications represent different disciplines and researchers often use different terminology to refer to these designs, more similarities than differences are found (Creswell, 2011). As suggested by Curry et al. (2013) researchers designing a mixed methods study can choose among the four following major types: (1) convergent design, (2) embedded design, (3) explanatory design, and (4) exploratory sequential design. To be specific, *convergent or concurrent* design refers to qualitative and quantitative data collected concurrently but separately analyzed and the results are integrated. *Embedded design* involves qualitative and quantitative data embedded within another and may be collected concurrently, sequentially or both. *Explanatory sequential* design involves quantitative data collection and analysis, followed by qualitative data collection to explain further the quantitative data obtained in the first phase. *Exploratory sequential* design refers to

the collection and analysis of qualitative data, followed by quantitative data collection to confirm the qualitative data obtained in the first phase. However, another example of mixed method designs, which goes beyond these four basic designs is referred to as *multiphase or iterative design* (Creswell et al., 2011; Haines, 2011; Valliant, 2013, Nastasi et al., 2007; Fetter et al., 2013). In this design, researchers use multiple phases of data collection that may include various combinations of above four approaches. Fetter, Curry and Creswell (2013) define this design as three or more phases when there is a sequential component, or two or more phases when there is a convergent component.

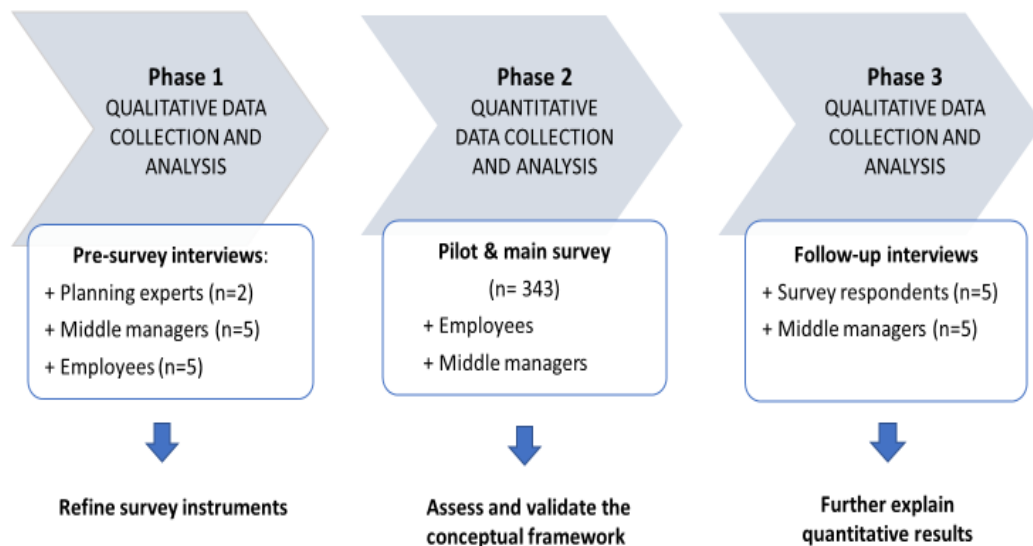
Based on the nature of the research problem and the advantages inherent in each design, *the mixed methods multiphase/iterative design* including three phases: qualitative, quantitative, and qualitative was used for this study. Specifically, this Qual-Quant-Qual multiphase study is comprised of a qualitative study refining and validating a quantitative survey (exploratory design), followed by a second qualitative design used to explain the quantitative results (sequential explanatory design). Qualitative data was collected and analyzed to obtain insight into the main constructs of the study, helping refine the survey instruments developed from the literature and pre-validated measurement items. Then quantitative data was collected and analyzed, followed by the collection and analysis of qualitative data through follow-up interviews exploring participants' views in more depth in order to help further explain the quantitative results obtained in the second phase. The rationale for this approach is to strengthen the validity of constructs and research results by capitalizing on inherent method strengths (Greene & Caracelli, 1997; Tashakkori & Teddlie, 1998; Creswell, 2003; Fetter et al., 2013).

However, this multiphase design did not come without difficulties. This research design requires a lengthy amount of time, a considerable amount of resources, and a lot of effort of the researcher herself for implementing the three phases (Creswell, 2003; Creswell et al., 2011). In fact, it took considerably longer time than expected. Also, the

researcher faced a great challenge in contacting respondents for phase 3 (follow-up interviews) due to a substantial time lag between this phase and phase 2.

As the research focuses on the survey method, data gathered from interviews were used as a supplementary source of the survey. Data from pre-survey interviews were used to explore the relevance of a priori developed concepts and constructs, notably relating to RBP practices and leadership styles, as described below. Information gathered from these pre-interviews helped to refine survey questions. Data from post-survey interviews assisted the researcher further interpretation of some findings and provided rich detail for the write-up. Figure 5.2 presents the procedure of data collection.

Figure 5.2. Visual Diagram of the Research Procedures



5.3. Study sample

5.3.1. Process

The appropriate target population for this study are people who can provide specific opinions, knowledge, and experiences relating RBP based on their job position or function, and are working in the RBP adopting agencies. Participants were purposely

selected for this research based on the following criteria: (1) they had been involved in planning processes; (2) they had been trained on RBP; (3) they are familiar with RBP; and (4) they were willing to participate in the study. These requirements help to provide the most useful data. The sampling frame focuses on middle managers (such as Head and Deputy Head of department, section or unit managers) and employees as they are seen as the most knowledgeable about RBP and key actors of its implementation.

The sampling frame was constructed using the snowball sample technique which started with the collaboration with Vietnam Ministry of Planning and Investment (MPI, Ministry of Agriculture and Rural Development (MARD), and Departments of Planning and Investment from different provinces. These actors facilitated the researcher's access and provided us with a list of RBP adopting agencies and public managers central to the agency's RBP practices. Based on this, a preliminary list of 37 RBP adopting state agencies including those are at the beginning or in the middle of RBP implementation, and in the go-live phase was identified. To attain a specific point of view, knowledge, experiences, and familiarity to RBP, a list of 21 agencies those have been operating RBP for at least two years (go-live phase) was finally determined. This is to ensure the sufficiency of the data of RBP as adopting RBP is a long-term process, and it is of difficulty to evaluate its outcomes or results in a short-term.

Nevertheless, due to the wide geographic distribution of the sample, the constraints of budget and time, only 15 out of 21 abovementioned agencies were selected for the sample (*see Table 5.1*). We then contacted with managers from the planning unit/department of these agencies and asked them to provide information needed to locate other involved members in their organizations who may be willing to participate in this research. Also, a number of representatives from each agency were selected and contacted based on the introduction of the researcher's informants, who helped the researcher to recruit other potential participants from their agency. A list of participants from each agency was provided. In total, 343 participants were selected.

[Insert Table 5.1 About Here]

Table 5.1. *Selected public agencies for the study*

<i>No</i>	<i>Agency</i>	<i>Type</i>	<i>Number of respondents</i>
1	Department of Construction, Lao Cai province	Line department (Provincial level)	22
2	Department of Natural Resources and Environment, Lao Cai province	Line department (Provincial level)	29
3	Department of Culture and Tourism, Lao Cai province	Line department (Provincial level)	24
4	Bat Xat People's Committee ¹ , Lao Cai Province	Local government (District level)	25
5	Bao Yen People's Committee, Lao Cai province	Local government (District level)	20
6	Department ² of Agriculture and Rural Development, Hoa Binh province	Line department (Provincial level)	26
7	Lac Thuy People's committee, Hoa Binh province	Local government (District level)	17
8	Lac Son People's committee, Hoa Binh province	Local government (District level)	21
9	Luong Son People's committee, Hoa Binh province	Local government (District level)	20
10	Tan Lac People's committee, Hoa Binh province	Local government (District level)	19
11	Department of Education and Training, Thua Thien- Hue province	Line department (Provincial level)	15
12	Phong Dien district's People committee, Thua Thien-Hue province	Local government (District level)	25

¹ People's committee is the executive organ of People's Council (local government) but plays the more substantial role as the local branch of national government. The executive committee oversees numerous departments administering various activities. (*Equivalent to the general-purpose local government in the USA*)

²At each level, line departments are established to support to People's committee. These organs are directly under the control of line departments at the higher levels (vertical control) and the People's committee at the same level (horizontal control).

13	Quang Dien district's People committee, Thua Thien-Hue province	Local government (District level)	24
14	Directorate of Fisheries, Ministry of Agriculture and Rural Development	Ministerial agency (Central level)	41
15	Department of Department of Livestock, Ministry of Agriculture and Rural Development	Ministerial agency (Central level)	15

Snowball sampling techniques are appropriate for this study because of the following reasons. First, these techniques provide an established method for identifying and contacting hidden populations, when the members of a population are difficult to locate or persuade to participate (Miller, 2003; Atkinson, 2001; Dudovskiy, 2016). Indeed, like other non-probability sampling techniques, this technique was used to successfully identify respondents with relevant knowledge, experiences, and familiarity to the study phenomenon (RBP). Such knowledge was not well understood by the researcher before conducting the research as not much information on RBP exists at the time. It is noteworthy that in the Vietnamese public sector, more value is particularly placed on personal, and people do not have a clear distinction between "researchers" and "journalists", even commonly conceive two these terms as "trouble-makers" (Nguyen, 2017). In such case, it is challenging for any outsider to get information from public servants about their work or their agencies if she or he does not have good relationships with and trust from them. Therefore, these techniques are suitable when using people in positions of relative authority who can provide a route into the required population (Groger et al., 1999). Second, snowball method also offers the possibility to collect primary data in a time and cost-effective manner. In reality, it was relevant to the study due to the wide geographic distribution of the sample (from different agencies and provinces) and the constraints of budget and time.

This method does not come without disadvantages. No guarantee about the representativeness of samples exists. Also, it is impossible to identify the sampling error and make statistical inferences from the sample to the whole population due to the absence of random sample selection (Miller, 2003; Atkinson, 2001; Dudovskiy, 2016). However, as this research was carefully designed and strictly followed sampling

procedures suggested by the previous researchers (Heckathorn, 1997; Atkinson, 2001), it might approximate to random sampling, thus yielding unbiased samples.

5.3.2. Description of the sample

This thesis focuses primarily on the RBP adopting government agencies in Vietnam that perform state authority execution and control functions and are closely involved in socio-economic development planning processes. These agencies have at least two-year experience in adopting RBP. As a result, two agencies at central level (Directorate of Fisheries, Department of Livestock) and 13 agencies at the provincial level (5 agencies in Hoa Binh, three agencies in Thua Thien-Hue, and five agencies in Lao Cai) from 21 government agencies adopting RBP were purposively selected (*see Table 5.1*). The structure and size of the selected agencies vary. Some agencies include only one level of subdivision (e.g., Provincial Department of Agriculture and Rural Development), while others consist of multiple levels of subdivision (e.g., Directorate of Fisheries), and thus the number of staff members range from 30 to 100. Each agency performs state management functions in one or more of the following areas: natural resources, education, agriculture, construction, and culture.

343 participants (both for interviews and surveys) were sought from the above selected public agencies who met the criteria of the target population. Of these participants, middle managers who occupy managerial posts such as Head or Deputy Head of Division and section or unit head and deputy head (at one-level agencies, e.g., Provincial line department or Department of Ministry), Head of Department (at multi-level central agencies, e.g., Directorate of Ministry) accounted for almost 10 percent, while the rest consisted of line supervisors and employees. About 16 % of the participants were from central government agencies, whereas the rest from local agencies.

5.4. Phase 1: Qualitative methods: Pre-survey interviews

The primary objective of the first qualitative research phase is to support the quantitative phase through further refining the survey questionnaire which was initially

developed based on the literature review and pre-tested by two experts (one RBP expert and one survey expert). Also, this phase aims at identifying additional factors that may affect RBP practice but are not specifically included in the latent variables of the research model.

5.4.1. Interview questions

Considering the purposes of the first qualitative research phase, the interview instrument was developed from a review of the relevant literature and used to conduct the face-to-face in-depth interviews. Interview questions included seven open-ended questions: (1) What did your unit/department actually implement RBP? (2) From your own view, what do you see as benefits of results-based planning in your organization? (3) What did you actually do during planning processes? Please give a specific example; (4) How leadership was done? Please describe specifically; (5) How did you engage your staff or colleagues to make them practice RBP? (6) How did your employee see RBP? (7) What are the main factors affecting RBP adoption in your agency? (*see Appendix A for more detail*).

In order to explore the responses and follow-up on interesting comments that might offer evidence of unanticipated research factors, the above-prepared questions only served as a guide, and the interviewer did not need to follow this guidepost strictly. Most interviews commenced with some tour questions (Rubin & Rubin, 2011) concerning the personal information, their role in the organization, and their experience with RBP. Then the main questions were continued with some adjustments to suit the interviewee's knowledge area and their roles in the RBP process.

5.4.2. Interview process

5.4.2.1. Sampling

The size of the qualitative sample included a small number of participants who provided in-depth information about the key constructs being appeared in the research model in the form of open-ended interviews. Ten interviewees purposely selected from three different selected agencies include four from Directorate of Fisheries (01 middle

manager, 01 line supervisor, 01 planning expert from the planning unit, and 01 non-managerial employee), three from Hoa Binh provincial Department of Agricultural and Rural Development (02 middle manager from a specialized unit and the planning unit, 01 non-managerial employee), and three from Thua Thien- Hue provincial Department of Planning and Investment (02 middle managers, 01 non-managerial employee), representing a various job functions and management levels. These participants were recommended by planning unit's managers within three those agencies based on a verbal description of the targeted sample population. They were generally knowledgeable about and experienced in RBP and were willing to discuss the use of RBP within the context of their organization. In addition, two experts (01 from Ministry of Planning and Investment (MPI) and 01 from Ministry of Agricultural and Rural Development (MARD) also participated in the research as informants.

5.4.2.2. Procedure

All interviewees were provided with information statements and consent forms. With approved consent, the interviews were conducted, audio-taped, and written notes were taken (*see Appendix A*). In order to maximize the quality of the interview responses, some suggestions from the interview method literature were seriously taken into consideration (Byrne, 2001). Most interviews were undertaken in either private offices or cafe shops with a friendly atmosphere that could promote trust and cooperation of interviewees. Furthermore, the interview instrument was structured in the form of sequential easy-to-hard questions that could maximize the information obtained from the interviewees. The duration of interviews ranged from forty minutes to two hours and contents were either auto-recorded or taken note based on the agreements between the interviewees and the researcher.

Of twelve interviewees in the first phase, eight refused to be recorded. Thus, the information from interviews was obtained through written notes taken by the researcher herself. At the end of most interviews, participants expressed their willingness to provide more information or clarify the content of the interview via phone call or email, as well as take part in the next phases of the study if requested. These interviews were

undertaken in the period from February to May 2016 in Vietnam. Due to geographical conditions (interviewees from three agencies in different provinces) and different work schedules of participants, all interviews were one-off interviews and it took longer time than expected to complete.

5.4.3. Use of data analysis

The data obtained from the pre-survey interviews were examined in order to confirm or refine the main constructs and hypothesized relationships developed in the conceptual framework. This stage of the research sought to combine any pre-established measurement items with new measurement items that emerged from the interviews and their analysis.

Thematic analysis was selected as the most suitable technique (Byrne, 2001a; Priest, Roberts, & Woods, 2002; Woods et al., 2002). Thematic analysis is a method for identifying, recognizing, analyzing, and reporting patterns or themes within the data (Braun & Clarke, 2006; Joffe, 2012). Analogous to most research methods, this data analysis process can occur in two main ways, inductively or deductively (Braun & Clarke, 2006). In an inductive approach, the themes identified are strongly linked to the data because assumptions are data-driven, whereas deductive approaches are theory-driven. As a set of study constructs and their measures were initially developed from the literature, thematic analysis with the deductive approach was relevant to this study. This means that the coding process occurs with trying to fit the data into a pre-established framework.

The data obtained from in-depth interviews were thematically analyzed according to the following procedure. Transcriptions were read thoroughly in order to understand the main contents that enabled the researcher to become familiar with the data (Dey, 2003). After getting familiar with the data contents, the data were organized under relevant themes and sub-themes according to the constructs in alignment with the research model. Where the new themes emerged that were not covered by the existing constructs measurement, they were transformed into new measurement items.

In this way, the interviews provided additional measurement items to enrich the measurement of the constructs in the model (e.g., one new item was added to measure the construct of “External support”).

Overall, the thematic analysis shows that interview data support the pre-established constructs and their measurement in the conceptual framework very well (*see Appendix B*). However, some revisions to the existing constructs (i.e., remove, add, modify) were made in order to align them with the new measurement items from interviews and data analysis or to help better suit the context of the study. The final version of measurement items is illustrated in sub-section 5.5.1.1.

5.5. Phase 2: Quantitative methods- Surveys

Phase 2 of the research employed a quantitative methodology aiming at assessing and validating the research model developed in Chapter IV. The research design of the quantitative phase includes three stages: (1) Survey design: developing measurement, designing questionnaire, and selecting modes of data collection (mail and face-to-face survey); (2) Survey pretest: conducting a pretest of mail and face-to-face survey and using the feedback to further refine the initial questionnaire; (3) Main survey: using the final version of survey instrument for data-gathering in order to evaluate the hypotheses and conceptual framework.

5.5.1. Survey design

The findings of the qualitative study assisted the researcher in refining the survey instrument initially developed from the literature. The questionnaire was developed in English and then translated into Vietnamese following back-translation procedures with the help of two experts in order to ensure that the meanings of statements remained same after the translation (*see Appendix C, D*). Almost constructs employed in this research were measured by using a reliable 5-point Likert scale which had been widely used by many previous social science researchers. This aims to minimize various types of response bias, ultimately provide sufficient internal consistency reliability. The outcome of this stage was the draft survey instrument that was ready for pretesting.

5.5.1.1. Measures

All concepts discussed in Chapter 4 (Conceptual Framework) were measured using a five-point Likert scale of 1 = "strongly disagree" and 5= "strongly agree," except for the measure of the concept "RBP activities" with 1 = "never" and 5 = "always or almost always", and respondent's demographics which were measured on simple checkboxes. A detailed list of measures is given below (*see Table 5.2, 5.3, 5.4*). As suggested by Churchill (1979), the previously validated scale items from existing literature were used as much as possible. However, this technique was only used for a few constructs in the framework (e.g., leadership styles, commitment to RBP, organizational culture) and the existing measures were considerably adjusted to fit the context of the research.

- RBP practices (RBPP)

RBP practice relates to the actual use and application of RBP within the agency. The measurement of this construct has not existed in the previous studies. Based on the literature and conceptualization in Chapter 4, and results from the qualitative phase 1 of this study, RBP practices are operationalized on the frequent use of RBP activities which is explicitly reflected to what extent RBP is actually put into action, as well as the output and outcomes of these activities within the agency. To be specific, we developed a new measure for RBP practice through the following steps.

First, we examined the literature of results-based management and RBP and created a list of 22 items measuring RBP activities, RBP results (RBP outputs, RBP outcomes). The scale was based on results-based management applications and characteristics obtained from the existing performance management research (e.g., Binnendijk, 2000; Cambridge Systematic et al., 2010; Middleton & Regan, 2015; Asia Pacific CoP-MfDR, 2011). Also, this scale was built on the conceptualization of RBP through distinguishing the traditional planning and results-based planning approach. For instance, the measure of RBP activities was developed based on the RBP definition and six key performance-based elements from Cambridge Systematic et al.'s (2010) and Middleton & Regan' s (2015) works (e.g., (1) setting goals and objectives, (2)

selecting performance measures, (3) setting performance targets, (4) allocating resources, (5) monitoring and reporting results, (6) data and analysis tools)

Second, based on the findings of the qualitative phase, we added, eliminated, merged or adjusted some items. For example, the original item RBPact1 “Identifying goals and objectives” was changed to “Identifying goals and objectives, *aided by logical frameworks*” as it is better reflected the feature of results-based approach. The following quote is an illustration of the insight obtained from pre-survey interview data and utilized in the development of the scale.

Under the guidance of Planning and finance unit, each unit within the department holds meetings to announce the planning guidelines and discuss how to fill in the forms provided. Regularly, we provide some forms like the annual development plan log frame at unit/division, the M&E framework, the structure of plans in text, and the estimate of a budget. Each unit needs to fill in the forms. So, they have to start with collecting statistical data and socio-economic data and then identifying the key remaining problems in their subsectors, setting development subsector objectives with specific indicators and targets. They are suggested to use new planning tools such as SWOT analysis, Problem and Objectives trees, Logical framework.... (Interviewee B)

As a result, a final list of 18 items measuring RBP practice is included in the questionnaire using a five-point Likert scale with anchors strongly disagree (=1) to strongly agree (=5). Example items are ‘Identifying goals and objectives, aided by logical frameworks’ and “As a result of using RBP in our unit, we increased the clarity of our objectives” (*see Table 5.2*).

- Combined leadership styles (LS)

The initial scale for combined leadership styles (LS) included 23 items on a five-point Likert scale in which nine items measure transactional leadership, eight items measure transformational leadership, and the rest of items measure autocratic leadership. Based on the literature and findings from the qualitative phase 1, LS is operationalized as a higher construct with three independent scales. We measured this construct with an instrument based on Bass (1999), Van Vugt (2004), Trottier, Van Wart, & Wang

(2008), and De Cremer (2006) with some adaptations to fit the context of the study. After integrating the results obtained from pre-survey interviews in Phase 1, some items were removed, added, or modified. For example, the item “[My unit leader] uses information collected on my work unit's performance to improve my work unit's performance" used to measure transactional leadership was removed as this leadership behavior was not mentioned in any interviews while the interviewees were being asked to describe themselves or their superiors. We finally arrived at a 19 items scale measuring these three dimensions of combined leadership styles (*see Table 5.3*)

Specifically, the measure of transactional leadership style consists of six items covering different perspectives such as contingent rewards, management by exception (active, passive), which is based on Bass's (1999), Van Vugt's (2004), and Trottier et al.'s (2008) works. Example items are ‘gives individual employees positive feedback when they perform well' and ‘Supports and helps followers to ensure tasks related to new planning adoption are undertaken’. The measure of transformational leadership style with seven items was adapted from Bass (1999), and Trottier, Van Wart, and Wang's (2008) with five-point Likert scale. This measure consists of the following dimensions: individualized consideration, intellectual stimulation, and inspirational motivation. Example items are ‘[My unit leader] spends time teaching and coaching subordinates in implementing new approach’ and “[My unit leader] reassures subordinates that obstacles to the implementation of the new approach will be overcome." The dimension of "autocratic leadership style" is measured mainly based on De Cremer's (2006) work. Example items are “[My unit leader] tells subordinates what has to be done and how to do it during planning process” and “[My unit leader] closely monitors subordinates to ensure they are performing all steps of new planning process correctly.”

[Insert Table 5.2 About Here]

Table 5.2. *RBP practice items*

Construct	Dimensions		Sources	Items	Codes	
RBP practices (RBPP)	RBP activities (RBPact)		Developed for this study but based on Binnendijk (2000), Cambridge Systematic et al., (2010) Middleton & Regan (2015)	1. Identifying goals and objectives, aided by logical frameworks	RBPact1	
	Thinking about your unit, how often are the following activities used in its results-based planning?			2. Selecting performance indicators for each objective	RBPact2	
				3. Setting targets for each performance indicator	RBPact3	
				4. Allocating resources based on specific performance targets	RBPact4	
				5. Monitoring and reporting results (performance)	RBPact5	
				6. Evaluating performance processes and outcomes	RBPact6	
	RBP results (RBPR)	RBP outputs (RBPpop)	Developed for this study based on Asia Pacific CoP-MfDr (2011), MPI-UNICEF (2013)	1. Increased participation of different stakeholders in our planning	RBPpop1	
		As a result of using results-based planning in my unit, we ...		2. Increased participation of different agencies and jurisdictions in our planning	RBPpop2	
				3. Increased efforts to achieve output targets	RBPpop3	
				4. Link performance targets, indicators and objectives	RBPpop4	
				5. Increased the linkage between planning and budgets	RBPpop5	
				6. Increased understanding of how inputs, activities and outputs are linked	RBPpop6	
		RBP outcomes (RBPoc)	As a result of using results-based planning in my unit, we ...	Developed for this study but based on Asia Pacific CoP-MfDr (2011), MPI-UNICEF (2013)	1. Increased the clarity of our objectives	RBPoc1
					2. Increased quality of our plans	RBPoc2
					3. Increased logic of our plans	RBPoc3
					4. Increased the feasibility of plans	RBPoc4
					5. Increased accountability and transparency in our planning	RBPoc5
					6. Improved the evaluation of outcomes against desired objectives	RBPoc6
Likert Scale 1 = "Never" and 5= "Always or almost always."						

Table 5.3. *Leadership style items*

Construct	Dimensions	Sources	Items	Codes
Combined leadership styles (LS) <i>Likert Scale 1 = “strongly disagree” and 5= “strongly agree”</i>	<i>During the application of new planning approach, my unit leader ...</i>			
	Transformational leadership style (TFLS)	Developed for this study based on Trottier, Van Wart, and Wang (2008), De Voet, (2013), Ladegaard et al. (2014)	1. Shows the trust and confidence in employees	TFLS1
			2. Seeks different perspectives when solving problems	TFLS2
			3. Talks enthusiastically about what needs to be accomplished by the new process	TFLS3
			4. Spends time teaching and coaching subordinates in implementing the new approach	TFLS4
			5. Gives followers real opportunities to improve their skills and abilities	TFLS5
			6. Reassures subordinates that obstacles to the implementation of the new approach will be overcome	TFLS6
			7. Leads by "doing" rather than simply by "telling."	TFLS7
	Transactional leadership style (TALS)	Developed for this study based on Trottier, Van Wart, and Wang (2008), De	1. Gives followers positive feedback when they perform tasks related to new planning well	TALS1
			2. Supports and helps followers to ensure tasks related to new planning adoption are undertaken	TALS2
			3. Makes sure that it has consequences for the employees if they do not consistently perform tasks related to new planning as required	TALS3

Table 5.3. *Leadership style items*

Construct	Dimensions	Sources	Items	Codes
		Voet (2013), Den Hartog et al., (1997), Ladegaard et al. (2014)	4. Monitors follower performance and tracks errors during the new planning process	TALS4
			5. Takes corrective action where tasks related to new planning adoption are not achieved	TALS5
			6. Avoids making mistakes	TALS6
	<i>Autocratic leadership style (ALS)</i>	Developed for this study based on Geer et al. (2008), De Cremer, (2006), Buisman (2009)	1. Tells subordinates what has to be done and how to do it during the planning process	ALS1
			2. When someone makes a mistake during the planning process, tells her or him not ever to do that again and make a note of it.	ALS2
			3. When something goes wrong during the planning process, tells subordinates that a procedure is not working correctly, and he/she establishes a new one	ALS3
			4. Closely monitors subordinates to ensure they are performing all steps of new planning process correctly	ALS4
			5. Controls over all decisions related to the application of new planning within my organization/unit	ALS5
			6. Directs employees with punishment in order to get them to achieve the organizational objectives	ALS6

- Employee commitment to RBP (EC)

Commitment to change is defined as "a force (mindset) that binds an individual to a course of action deemed necessary for the successful implementation of a change initiative" (Hercovitch & Meyer, 2002. p.475). According to their argument, there are three forms of commitment: (1) desire (affective commitment), (2) perceived cost (continuance commitment), and (3) obligation (normative commitment). It is widely accepted in change management theory that leadership is a crucial factor influencing commitment to change (Rowland & Higgs, 2005, 2010; Karp & Helgo, 2008).

Similarly, as discussed in the prior chapter, RBP is seen as change, employee commitment to RBP is also influenced by leadership. However, in the context of such a developing country as Vietnam, where traditional leaders using transactional and autocratic leadership behaviors are still predominant, all types of commitment are considered in measuring employee commitment in this research. Therefore, in order to measure employee commitment to RBP, Commitment to Change scales developed by Hercovitch and Meyer (2002) were used with a minor adaptation to fit the context of the study. In the items, the word 'change' was replaced by 'RBP'. This measure includes four items using a five-point Likert scale. After merging the findings obtained from pre-interviews, the measure of this construct remained unchanged. The example item is "I believe in the value of results-based planning" (*see Table 5.4*).

- RBP-related training (RBPtrain)

As discussed in the prior chapter, in order to ensure clarity and common understanding of RBP, and then use RBP successfully, training needs to be effective. Effective training was measured based on criteria given by Green et al. (2000) and Hung et al. (2015). RBP- related training involves a newly developed set of six items with a five-point Likert scale which captures the extent to which respondents agree on the statements related to the content of training courses, the experience of trainers, the duration, and the ability of trainees to apply obtained knowledge and skills in their work. After integrating the results obtained from the first qualitative phase, no revision

was made to the initial scale. Example items are "I was provided by training courses with basic knowledge and skills of results-based planning" and "After receiving training, I can apply knowledge and skills of results-based planning in my work" (*see Table 5.4*).

- Funding for RBP deployment (FUND)

As discussed in Chapter IV, sufficient funding is critical for a successful implementation of performance management approach such as RBP. This means that the implementation of all necessary RBP activities is sufficiently funded. Hence, the measure of this concept focused on the sufficiency of funding for RBP deployment. The single item of this construct is "We have sufficient funding for conducting results-based planning" using a five-point Likert scale. However, the results from interviews in phase 1 show that interviewees were inclined to use the term "lack of funding" rather than "sufficient funding", an adjustment was made to this construct. The reversion to the negatively worded statement was used to address acquiescence in which respondents tend to agree with statements in general. The reversed item is "We have insufficient funding for conducting RBP" (*see Table 5.4*).

- Bureaucratic culture (BC)

Bureaucratic culture is a type of organizational culture popular in the Vietnamese public sector. We measured this construct with the instrument used by Ogbonna and Harris (2000) which combines some aspects such as the emphasis on formal rules and procedures, formalization and structure, as well as the permanence and stability of organizations. This measure consists of four scale items. Example items are "My organization emphasizes permanence and stability. Efficient, smooth operation is important" and "Formal rules and policies. Maintaining a smooth -running organization is important" (*see Table 5.4*).

- Top-leadership support (TLS)

A measure for this concept was developed using a five-point Likert scale with 1= “strongly disagree” and 5= “strongly agree” by combining some aspects analyzed in the prior chapter including their awareness of the importance of RBP, the close involvement in the process, the encouragement to subordinates to implement RBP, and provision of necessary help and resources. This instrument was developed mainly based on Thompson and Fulla’s (2001) and Fernandez and Rainey’s (2006) works. No change was made to the instrument after integrating with the data from the first qualitative phase. The lead-in of the question is ‘In my organization, my top leaders...’. Example items are “Are very much aware of the importance of results-based planning” and “Provide most of the necessary help and resources to enable subordinates to implement results-based planning” (*see Table 5.4*).

- External support (ES)

Based on the discussion in the previous chapter, external support was measured with four items. A measure for this concept was developed using a five-point Likert scale with 1= "strongly disagree" and 5= "strongly agree". This instrument was purposively developed for this study based on the studies of The Auditor General of Canada (1996), Fernandez and Rainey (2006), and Abramson and Lawrence (2001) and further refined by the findings obtained from pre-survey interviews which led to a five scale items with one item added. Example items are "My agency receives support from other stakeholders (e.g., enterprises, community, mass organization, etc.) for implementing results-based planning" and "Funding from international donors is important for our continued use of RBP" (*see Table 5.4*).

[Insert Table 5.4 About Here]

Table 5.4. *Mediating and control variables measures*

Constructs *	Sources	Items	Codes
<i>Employee commitment to RBP (EC)</i>	Adapted from Hercovitch and Meyer (2002)	1. I believe in the value of RBP	EC1
		2. I think that management is making the right decision by introducing RBP	EC2
		3. I feel a sense of duty to work toward results-based planning	EC3
		4. I do not think it would be right of me to oppose of RBP	EC4
<i>RBP-related training (RBPtrain)</i>	Developed for this study but based on Green et al. (2000) and Hung et al. (2015).	1. I was provided by training courses with basic knowledge and skills of RBP (e.g., definition, benefits of RBP, problem tree analysis, objective tree analysis, logic models for planning).	RBPtrain1
		2. During our training, we were able to ask questions about how we could use RBP	RBPtrain2
		3. Our trainers provided many excellent and real-life examples of RBP	RBPtrain3
		4. Our training was mostly classroom lectures, only	RBPtrain4
		5. We had training over several months dealing with RBP	RBPtrain5
		6. After receiving training, I can apply knowledge and skills of results-based planning in my works	RBPtrain6
<i>Bureaucratic culture (BC)</i>	Adapted from Ogbonna and Harris (2000)	1. My organization emphasizes permanence and stability. Efficient, smooth operation is important.	BC1
		2. My organization is very formalized and structured. Established procedures generally govern what people do	BC2
		3. Formal rules and policies. Maintaining a smooth-running organization is important	BC3

Constructs *	Sources	Items	Codes
		4. In my organization, the best managers are considered as coordinators, organizers or administrators	BC4
Top-leadership support (TLS)	Developed for this study but based on Thompson and Fulla (2001) and Fernandez and Rainey (2006), The Auditor General of Canada (1996)	<i>In my organization, top leaders</i>	
		1. Are very much aware of the importance of RBP	TLS1
		2. Are strongly involved in the new planning process	TLS2
		3. Keep the pressure on operating units to work with RBP	TLS3
		4. Always support and encourage subordinates to implement RBP	TLS4
		5. Provide most of the necessary help and resources to enable subordinates to implement results-based planning	TLS5
Funding for RBP deployment (FUND)	Self-developed	1. We have insufficient funding for conducting RBP	FUND
External support (ES)	Developed for this study but based on The Auditor General of Canada (1996), Fernandez and Rainey (2006), and Abramson and Lawrence (2001)	1. My agency receives support from other government agencies/organization for implementing RBP	ES1
		2. My agency receives support from other stakeholders (e.g., enterprises, community, mass organization, etc.) for implementing RBP	ES2
		3. International donors helped us to become familiar with RBP	ES3
		4. International donors funded our initial efforts in RBP	ES4
		5. Funding from international donors is important for our continued use of RBP	ES5

Note. All constructs (*) were measured using a five-point Likert scale with 1= "strongly disagree" and 5= "strongly agree."

- Demographic items about respondents

Several demographic variables including gender, age, qualification, prior experience with RBP, years of working experience, position were used in this research as control variables which are expected to provide further interpretation of the relationship between independent variable (leadership styles) and dependent variables (RBP practice). For example, age could affect RBP practice as older employees and managers are more resistant to new working methods and may seek not to become familiar with RBP. Anecdotally, gender could affect the extent of change leadership. All measures for demographic information were developed using checkboxes with multiple-item indicators, except the measure for the familiarity with RBP which uses a four-point scale with 1= "not familiar" and 4= "very familiar" (*see Appendix C*).

5.5.1.2. Questionnaire design

To collect data, the survey including both pilot and main surveys used a paper questionnaire. It includes several parts: introduction, measures of constructs, information on demographics, and conclusion. The introduction section presents the aim of the research and how survey data will be used, instructions on how to answer the survey, and information on ethics approval. The main section of the survey consists of measures of the dependent variable (RBP practices), mediator variable (commitment to RBP), independent variable (leadership styles), and control variables (organizational culture, top leadership support, external support, financial resource, and training, and other additional organizational factors). In the final part of the survey, respondents are requested to provide information on demographics such as age, gender, job position, working tenure, and qualification which are also considered as control variables. In the conclusion section, respondents are thanked for their cooperation and asked to provide their personal contacts (phone number, email address) if they are willing to participate in the next round of the research.

5.5.1.3. Modes of data collection

The survey used multiple modes of data collection including mail and face-to-face surveys. This was because of the following reasons. First, mixing modes may reduce costs. Second, it helps to maximize response rates (Dillman et al., 2014).

There are several advantages of using a mail survey, a traditional mode in conducting research. First, it is easy and cost-efficient. Second, with no interviewers, respondents may be more willing to share information (Berman & Wang, 2011). Notably, it is viewed best mode for sensitive information. Nevertheless, this mode also has some disadvantages in conducting surveys. Specifically, as researchers are not present while respondents answer the survey questions, respondents cannot be probed. Also, combining with some risk that the respondent may not believe his/her responses have been kept confidential the response rate may be low.

A face-to-face survey is likely to be considered most appropriate to the context and working culture of Vietnamese public agencies as in Vietnam more value is placed on person-to-person contact (Laverack & Dap, 2003). There are some notable advantages in conducting in-person surveys. It is proven to obtain good response rates and a possibility of observing respondent's attitude. However, its disadvantages are the high cost and time-consuming, and the possibility that a non-representative sample may be produced (Berman & Wang, 2011)

To overcome the drawbacks of both mail and face-to-face surveys, the combination of these two methods was used in this study. These modes were utilized for different stages of the survey. The face-to-face survey was used for initial contacts because they have been found to increase response rates and to encourage the respondents to provide accurate information in later rounds (Dillman et al., 2014). In following stages, the mail survey was used. However, instead of delivering survey questions to and requesting respondents to return filled-questionnaires by post, the researcher did it in person with the help of some assistants at the respondent's workplaces.

5.5.2. Survey pretesting and pilot survey

A pilot survey or field trial is of great necessity as it helps to avoid errors, which partly ensures the success of the main survey (Polit & Hungler, 1994; van Teijlingen & Hundley, 2001; Foddy, 1998). Though that success is not always guaranteed the likelihood of which the main survey is still enhanced to provide results that will lead to sound conclusions (van Teijlingen & Hundley, 2001). Moreover, due to the specificity of this research to the organization's RBP in the context of a developing country as Vietnam, no pre-established questionnaire could be utilized in this study. As a result, scale items in the survey had either been adapted or newly developed based on a variety of previous studies. Hence, the pilot survey was significantly necessary to conduct in order to ensure the robustness of measures across all scales in the survey. First, to guarantee the understanding of questions or instructions, ease of completion, and the consistence of the items and construct definitions, a pretesting of the questionnaire was conducted. Then, the pilot test was followed to identify any issues with the scale items, distribution methods, length of the survey, and survey access before the main survey. The detailed explanation of this process is as follows.

5.5.2.1. Pretesting of questionnaire

The major objective of this step is to gauge the face validity and initial reliability of each item in the survey (Judd, Smith, & Kidder 1991; Hunt et al., 1982; Cavana et al., 2001). The questionnaire was pretested with five participants who were chosen from the sample frame. This selection was based on the convenience of location and availability. They were asked to step through the survey questionnaires with the researcher and identify whether the instruction and questions were clear and understandable, or easy to respond. The survey was also sent to two experts in RBP as reviewers. They were chosen by the experience with survey methods and knowledge of RBP. The experts were required to provide their evaluation of the consistence of the items and construct definitions, the relevance of the items, and the clarity of survey questions.

As expected, they provided particularly detailed feedback and comments on the issues of phrasing, word alignment, and clarification of questions that could lead to the confusion of potential survey participants. In total, 76 problems were raised that required minor change (e.g., tense, word alignment) and major change (e.g., rewording, phrasing, removing) to 21 measurement items. Additionally, two suggestions on additional open-ended questions were given by two experts. Based on these comments and feedback, some revisions were made to the survey questions. For example, the items from the RBP outputs dimension of RBP practices were reworded for a better flow. Two additional open-ended questions asking respondents to express their views on the best benefit of RBP and the most challenge their agencies are facing when implementing RBP were added.

5.5.2.2. Procedures and administration of pilot survey

After the finalization of the questionnaire and before the main fieldwork, a pilot test was conducted. This step aims to identify any issues with the scale items, methods of questionnaire distribution, length of the survey, and survey access prior to the main survey. Especially, for newly developed scale items, the refinement of these items during this process is of particular importance. The data was then analyzed, and final revisions were made before conducting the main survey.

The field trial was conducted from June to July 2016. During the test, the amended survey (after questionnaire pretest) was distributed to a group of 75 participants randomly selected from the sample frame. This delivery was conducted by the researcher herself and the representatives from the selected agencies. A representative from each agency was contacted and asked to help the researcher distribute the questionnaires to all unit managers and employees in the list, collecting the forms, and sealing them in an envelope with provided stamps and researcher's address and returning them to the researcher. To increase the response and completion rate, a reminder was sent to the representative via phone or email. Of the 75 respondents, 53 responded giving a response rate of 70.66 %. Further, of the 53 qualified respondents, 41 completed, representing a 77.36 % completion rate.

5.5.2.3. Pilot survey data analysis and results

The pilot survey data was run through a trial Partial Least Squares- Structure Equation Modeling (PLS-SEM) analysis using SmartPLS 3 software. During the data analysis, missing data and suspicious response patterns and outliers were identified and treated. As suggested by Hair et al. (2006), Schumacker and Lomax (2004), Osborne (2014), Exploratory Factor Analysis (EFA) should be performed for newly developed scales. EFA considers the correlated factor loadings of all items related to a construct simultaneously to determine relevant independent factor components (Nunnally & Bernstein, 1994; Hair et al., 2006). The main purpose of EFA in this research was to prepare the data for subsequent analysis using PLS (Hair et al., 2006). SPSS 23 software was used to conduct the EFA. EFA aims to identify, reduce and validate the sub-constructs of RBP practices, RBP outputs, RBP outcomes, and RBP-related training, top leadership support, external support constructs which are specifically developed for this study. It is noteworthy that only latent reflective measures are included in the EFA. Therefore, "RBP activities"- a formative latent variable, the sub-construct of RBP practices is discussed in the separate section.

In order to retain individual items measuring specific constructs the items have to meet the following criteria: (1) a communality greater than 0.50, (2) a factor loading greater than 0.60 on a single factor, and (3) for EFA, cross-loading less than 0.45 on any other factor (Nunnally & Bernstein, 1994; Hair et al., 2006). The following sections present the results of the EFA conducted to assess the newly developed scales for this study.

- RBP practices

Table 5.5 shows all the items of RBP results RBPR (RBP outputs, RBP outcomes) used in the EFA. An examination of the RBPR correlation matrix showed that (1) a number of correlations exceeded 0.30, (2) the Bartlett test of sphericity ($\chi^2 = 6,241.072$, $p < .000$) was significant, (3) the measurement system analysis MSA = 0.925, well above 0.70, was adequate, and thus factor analysis was relevant (Hair et al., 2006). Although

the original RBPP conceptualization comprised three sub-constructs in which two sub-constructs (RBP outputs, RBP outcomes) were put into EFA, as indicated from the EFA, all items measuring RBP outputs, RBP outcomes load on one factor. This factor extracted, measured by 12 items, reflected the benefits or results the organizations obtain from RBP, thus is labelled RBP results. As shown in Table 5.5, the communalities of the items are all greater than 0.50, the factor loadings all exceed 0.70. Subsequent confirmatory factor analysis CFA indicated that the average variance extracted AVE is well above the 0.50 thresholds, composite reliability and Cronbach's Alpha are greater than the minimum 0.70 criteria. This construct RBPR and related items are utilized for further analysis using PLS with main survey data.

Table 5.5. RBP results RBPR: Factor Analysis Results

<i>RBPR (12 items)</i>	<i>Loading</i>	<i>Communality</i>	<i>Cronbach's Alpha</i>	<i>AVE</i>	<i>Composite Reliability</i>
RBPpop1	.769	.581	.979	.812	.981
RBPpop2	.974	.751			
RBPpop3	.878	.768			
RBPpop4	.898	.808			
RBPpop5	.887	.787			
RBPpop6	.915	.833			
RBPoc1	.886	.804			
RBPoc2	.904	.809			
RBPoc3	.864	.739			
RBPoc4	.874	.774			
RBPoc5	.907	.830			
RBPoc6	.898	.831			

RBP activity is identified as a formative construct since each indicator captures a specific facet of RBP process, or in other words, if an important item is omitted, the nature of the construct may be changed (Diamantopoulos et al., 2008; Hair et al., 2014). This newly developed construct's content validity was evaluated using expert assessment. Content validity assesses to what extent the indicators capture the major aspects of the construct (Diamantopoulos et al., 2008). This six-item construct is used for the subsequent analysis using PLS with main survey data.

- Other new scales

The similar factor analysis procedure was conducted with the other new scales. Tables 5.6, 5.7, and 5.8 show the results of factor analysis for RBP-related training (RBPtrain), top leadership support (TLS), and external support (ES). The communalities of all items are greater than 0.50, the factor loadings exceed the minimum criteria of 0.7 except two items of RBPtrain construct (RBPtrain4, RBPtrain5) and one item of ES construct (ES2). RBPtrain4, RBPtrain5, and ES2 have very low loadings (0.376, 0.135, and 0.192 respectively) and their communalities are well lower than 0.5 thresholds (0.233, 0.105, and 0.091 respectively). These items were removed from the model as this removal does not affect the theoretical basis and definition of the construct. The following CFA indicated that AVE values of three constructs are above the minimum value of 0.50, Cronbach's Alpha and composite reliability are greater than 0.70. These constructs are used in the subsequent PLS analysis using main survey data.

Table 5.6. *RBP related training RBPtrain: Factor Analysis Results*

<i>RBP-related training (4 items)</i>	<i>Loading</i>	<i>Communality</i>	<i>Cronbach's Alpha</i>	<i>AVE</i>	<i>Composite Reliability</i>
RBPtrain1	.853	.715	.883	.732	.916
RBPtrain2	.888	.842			
RBPtrain3	.817	.744			
RBPtrain6	.791	.585			

Table 5.7. *Top leadership support TLS: Factor Analysis Results*

<i>Top leadership support (5 items)</i>	<i>Loading</i>	<i>Communality</i>	<i>Cronbach's Alpha</i>	<i>AVE</i>	<i>Composite Reliability</i>
TLS1	.808	.666	.849	.629	.893
TLS2	.903	.828			
TLS3	.752	.534			
TLS4	.839	.717			
TLS5	.846	.772			

Table 5.8. *External support ES: Factor Analysis Results*

<i>External support (4 items)</i>	<i>Loading</i>	<i>Communality</i>	<i>Cronbach's Alpha</i>	<i>AVE</i>	<i>Composite Reliability</i>
ES1	.830	.628	.835	.654	.883
ES3	.909	.890			
ES4	.912	.882			
ES5	.831	.727			

In summary, though the response and completion rate were rather high, showing the feasible methods of survey distribution, the different degrees at which the completion and response rates decreased indicated that the length and clarity of survey were necessarily reviewed. In other words, the survey should be shortened and clearer in order to reach higher completion rate for the main survey. The findings of EFA and CFA showed that all constructs adequately offered evidence of validity and reliability except one item of the construct "external support", and two items of the construct "RBP-related training." As a result, three items were eliminated from the questionnaire. Also, several minor changes were made to the wording used in the questions that were most frequently skipped by respondents. The final version of the questionnaire was available for the main survey.

5.5.3. *Main survey*

5.5.3.1. Procedures and administration

The seven-page questionnaire was sent to the participants at the beginning of August 2016 with a cover letter and a return envelope. All the selected agencies were contacted, and a list of respondents was determined. Similar to the field trial, the questionnaires were delivered to managers and employees in the list by the researcher herself and a representative from each agency in the sample frame. A further four weeks after that the researcher phoned the representatives to remind them as an effort to increase the response and completion rates. This survey was made available for two months to provide respondents flexibility and time for survey completion. By the end of September 2016, of the 343 participants, 272 completed responses were returned,

giving a response rate of 79.3%. Of the 272 surveys, there were 256 usable responses, including 159 responses that completed all questions, 97 responses completed all measurement items, but did not answer all of the demographic questions or provide text in the optional comment box. 16 responses that completed less than 50 % of the questions were excluded from the study.

5.5.3.2. Methods of data analysis

The main survey data was analysed through a PLS-SEM analysis. Structural Equation Modeling (SEM) is a powerful statistical technique that can test multiple measurement and structural models simultaneously. It is widely recommended to use as an appropriate method in the social science (Wang & Staver, 2001; Hair et al., 2011). There are two approaches to estimate the relationships in a structural equation model (Hair et al., 2011; Hair et al., 2012). One is the more popular applied covariance-based SEM (CB-SEM) approach; the other is partial least squares SEM (PLS-SEM). These two approaches differ from a statistical perspective, thus neither of them is superior to the other as well as suits all situations. According to Hair et al. (2014), in order to select the most appropriate approach for a study, researchers should consider the characteristics and objectives of the two SEM methods. Table 5.9 exhibits the key differences between these two approaches, which enables the researchers to decide whether to use CB-SEM or PLS-SEM.

[Insert Table 5.9 About Here]

Table 5.9. A comparison of PLS-SEM and CB-SEM

	<i>PLS-SEM</i>	<i>CB-SEM</i>
<i>Objectives</i>		
	<ul style="list-style-type: none"> • Theory development and explanation of variance (prediction of the constructs) 	<ul style="list-style-type: none"> • Theory testing and confirmation, or the comparison of alternative theories
<i>Characteristics</i>		
Data	<ul style="list-style-type: none"> • Small sample size ³ • Non-normal data distribution is not an issue 	<ul style="list-style-type: none"> • Larger sample size (N=250+) • Normal data distribution is required
Models	<ul style="list-style-type: none"> • Handles constructs measured with single and multi-item measures • Handles complex models (many constructs and indicators), • Easily incorporates reflective and formative measurement models 	<ul style="list-style-type: none"> • Can handle constructs measured with single-item measures, but with a specification concern. • Formative constructs can be used but construct specification modifications are required
Additional analyses	<ul style="list-style-type: none"> • Importance-performance matrix analysis • Mediating effects • Moderator effects • Hierarchical component models 	

Source: Adapted from Hair et al. (2014)

³ $N > 50 + 8m$, where N is sample size, m is predictor variables (Tabachnick & Fidell, 2007, p.123)

PLS-SEM was applied for this study because of the following reasons. *First*, as this research's goal is predicting key "driver" constructs, PLS-SEM is a more appropriate option than CB-SEM. Indeed, there is little a priori knowledge on the relationships between leadership styles and other organizational factors and RBP practices, as well as the measurement of the constructs used in the research model (Hair et al., 2011). *Second*, our theoretical model considers the indirect relationship between variables via mediators which can be easily disregarded in standard regression techniques, whereas PLS-SEM provides a useful analysis tool for mediating effects (Moynihan et al., 2011; Hair et al., 2014). *Third*, the model contains two layers of constructs (higher-order models) and formative measures that are usually considered in the context of PLS-SEM (Hair et al., 2014). *Fourth*, compared to other SEM techniques such as CB-SEM, PLS does not require large sample sizes and residual distributions, especially, it suits for explaining complex models with a large number of constructs (Chin et al., 2003, Hair et al., 2014). Basically, PLS-SEM is similar to regression techniques, but simultaneously tests the measurement model (relationships between a latent variable and its indicator) and structural model (relationships among latent variables) (Verbeeten, 2008).

The PLS-SEM analysis used in this study included following steps. Firstly, obtained data was entered into the statistics program SPSS 23, and then missing data, suspicious response patterns, and outliers were identified and treated. Ringle et al. (2005, 2012) and Hair et al. (2014) offer two ways of dealing with missing values. Mean value replacement is suggested to use when less than 5 % of values per indicator are missing, whereas case wise deletion is used when missing data for an observation exceed 15%. The following step was gaining knowledge about the data by producing descriptive statistics (e.g., means, standard-deviations for each variable) or graphics (e.g., histograms or box plot). Subsequently, the assessment of measurement models (the relationships between the indicators and the constructs) and structural models (the predictive capabilities and the relationships between constructs), for both reflective and formative models, was made. Finally, several additional analyses such as mediating and moderating effects, hierarchical component models, and importance-performance

matrix analysis in PLS-SEM were also conducted to enrich the understanding of the relationships between constructs within the research model. A further justification about the quantitative data analysis is provided in Chapter 6.

5.6. Phase 3: Qualitative methods: Follow-up interviews

The final phase of our data collection involved the follow-up interviews aiming at verifying the survey results and supplementing the significance of the study findings (Wang, 2001; Pandey, Coursey, & Moynihan, 2007).

5.6.1. Interview questions

The participants were asked to provide evidence of their statements (e.g., specific examples, cases, and documents), thereby adding an evaluation of the reliability of survey results and further qualitative information on leadership styles, and RBP processes and outcomes as well. For instance, in the case of a respondent who indicated that his or her top leaders strongly supported RBP adoption, we asked him or her to give some more specific instances describing that support in detail, how it affected RBP implementation and use in his or her agency, and how to maintain that support to and involvement in RBP among top leaders. Another example is that, when an employee claimed that his or her manager practiced different leadership styles during RBP adoption, more detailed description of those leadership styles and the identification of the leadership behaviors undertaken by the manager that was important to the success of RBP, and the solutions for having such more managers were asked.

5.6.2. Interview process

5.6.2.1. Sampling

Of 23 survey respondents, those agreed to participate in the next round with the researchers by providing their personal contacts in the questionnaire, five unit/department heads to whom the question on leadership styles is not applicable and five subordinates (supervisors and employees) were selected and contacted by email and cellphone. Once connected to these candidates, the researcher briefly explained the purpose of the research and requested their participation in the new stage of the study.

When accepted, an email with more details about the research and interview questions was sent to them and time was scheduled for the interview. Some difficulties emerged during the selection of participants for the follow-up interviews. First, of 10 selected interviewees, four had changed contact details or had left their agency and therefore the researcher could not reach. Second, two of those contacted declined the invitation indicating that they felt no longer interested in the research. For the rest, it took much longer than expected to conduct initial dialogue requesting the participation. These challenges resulted in the reselection of interviewees who had participated in the first-round interviews. Of those, three managers and one non-managerial employee accepted the invitation, with whom the researcher has still maintained good relationships since commencing the data collection. Ultimately, eight participants were chosen for this phase.

5.6.2.2. Procedure

The interviews were undertaken several months following the quantitative study and took much longer time than the first qualitative phase (from December 2016 to February 2018) due to the frequent postponements of appointments because of the participants' busy schedules and the geographic constraint (the researcher contacted respondents from New Zealand). During the conversation via phone, there were five questions related to the study results and one question asking for additional comments. The interviews were approximately twenty minutes in duration and were recorded with the agreement of the interviewees. Similar to the first-round interviews, only four of those accepted to have interviews audio recorded. These recordings were later transcribed and put together with notes taken by the researcher during the talks. All interviewees from the last round of interviews provided examples of different leadership styles among middle managers as well as different processes, outputs, and outcomes of RBP which are discussed in more detail in the result section.

5.6.3. *Use of data analysis*

Taking the same approach as done in the first qualitative phase, the data obtained from the follow-up interviews were analyzed focusing on the thematic analysis with the

deductive approach in order to confirm or provide further explanation to the quantitative findings. The interview transcripts were reviewed line-by-line by the researcher to identify evidence supporting the findings obtained from the survey. The main themes were then created based on the research model and follow-up interview questions. A set of codes/sub-themes were categorized against each theme and then all the data from the interviews including quotes were gathered to each code and then collated into the relevant themes. The findings of this phase were integrated into results obtained from surveys to answer the research questions. A more detailed explanation of the results is presented in Chapter 6 of the thesis.

5.7. Ethical issues

Prior to interviews and surveys (pilot and main surveys) being undertaken, ethical approval from the Victoria University of Wellington's Human Ethics Committee (HEC) was obtained to ensure that the privacy and safety of respondents are protected. Within the scope of the research, the process of conducting interviews and surveys were strictly followed the University's standards. Survey respondents were anonymous, and interviewees' information was kept confidentially.

Chapter summary

This chapter examines the methodology and research design used in the research. The first section discusses the adoption of a mixed methods design as being appropriate for this study. Subsequently, the study phases are discussed. A more detailed explanation of qualitative and quantitative data analysis conducted for this research, followed by some findings are presented in the next chapter- Chapter 6.

Chapter 6. Data Analysis and Results

Introduction

This chapter discusses analysis methods for the data obtained from the main survey and qualitative interviews, with foci on the former. As discussed in Chapter 5, the main survey data were analysed through a PLS-SEM analysis using Smart PLS 3 software. In this chapter, following Hair et al.'s (2014) guidance, we examine the measurement model and the structural model for discriminant and convergent validity and reliability. Next, the results of the analysis and hypotheses testing are presented.

6.1. Survey response analysis

6.1.1. Respondent's characteristics

All survey participants were selected from the targeted public agencies which are among not many agencies successfully moving from the pilot stage to the full adoption of RBP in Vietnam. Of the 256 useable survey records, 195 survey respondents (84.5 %) reported that their agencies had been adopting RBP for more than two years but less than five years, whereas the rest (15.2 %) indicated that their agencies had more than five-year experience in doing RBP. About 15 % of the respondents were from central government agencies, whereas the rest was from local government organizations. Middle managers accounted for almost 10 percent, while the rest consisted of supervisors and employees. Respondents have undergraduate degrees (76.6 %) and graduate degrees (16.6 %) and have been working for eight years in their organizations on average. 67 % respondents reported that they are familiar or very familiar with RBP, whereas only 11.3 % indicated their unfamiliarity. This result suggests that respondents have sufficient knowledge and ability to understand and thus respond the questionnaire appropriately. The 256 usable responses were exported to three text files: the whole sample (N = 256), middle manager sample (N = 25), and employee and line supervisor sample (N = 231), and the third file was used for the subsequent analysis. Table 6.1 provides a summary of the respondents' demographics and their familiarity with RBP.

Table 6.1. *Respondent's characteristics*

	<i>Frequency</i>	<i>Percentages (%)</i>
<i>Gender</i>		
Male	114	49.4
Female	116	50.6
<i>Age</i>		
Under 30 years	32	13.9
30-40 years	148	64.1
40-50 years	39	17.0
Over 50 years	10	4.3
<i>Qualification</i>		
High school certificate	0	0.0
Vocational degree	15	6.5
Undergraduate degree	181	78.4
Postgraduate degree	34	14.7
<i>Working experience</i>		
Less than one year	4	1.7
At least one year, but less than five years	67	29.0
At least five years, but less than ten years	106	45.9
At least ten years, but less than 15 years	42	18.2
More than 15 years	11	4.8
<i>Working place</i>		
Ministry (Department, Directorate, General Directorate)	34	14.7
Provincial government (People's Committee, Line department)	95	41.1
District government (People's Committee, Line division)	79	34.2
Commune People's Committee	22	9.5
<i>Familiarity with RBP</i>		
Not familiar	26	11.3
Somewhat familiar	50	21.6
Familiar	99	42.8
Very familiar	56	24.2

Table 6.2. *Descriptive Statistics*

	The whole sample (n=256)	The employee and supervisor sample (n=231)	The middle manager sample (n=25)
<i>Study variables</i>			
RBP activities	3.51 (1.19)	3.44 (1.23)	4.16 (0.46)
RBP results	4.00 (0.64)	3.97 (0.65)	4.34 (0.40)
Transformational leadership	3.88 (0.57)	3.88 (0.57)	
Transactional leadership	3.88 (0.58)	3.88 (0.58)	
Autocratic leadership	3.68 (0.53)	3.68 (0.53)	
Commitment to RBP	3.93 (0.62)	3.85 (0.62)	4.16 (0.58)
<i>Control variables</i>			
RBP- related training	3.56 (0.62)	3.51 (0.63)	3.70 (0.57)
Funding	3.24 (0.92)	3.30 (0.91)	3.03 (9.14)
Bureaucratic culture	4.13 (0.51)	4.10 (0.51)	4.20 (0.51)
Top-leadership support	4.12 (0.54)	4.08 (0.46)	4.22 (0.42)
External support	3.74 (0.60)	3.73 (0.61)	3.85 (0.41)
Age	2.15 (0.70)	2.03(0.67)	2.51 (0.68)
Qualification	3.10 (0.47)	3.04 (0.46)	3.32 (0.56)
Working time	3.00 (0.88)	2.95 (0.86)	3.52 (0.92)

Note: Means are shown with standard deviations in parentheses.

RBP = Results-based planning

6.1.2. *Descriptive statistics (mean, standard deviations)*

As shown in Table 6.2, almost the variable means were higher than the mid-point of the five-point Likert scale (2.50). This indicates that in general the respondents were inclined to agree with the statements. The table shows the slight difference in the perception between managers and employees about the frequent use of each element

of RBP process as well as its results (outputs and outcomes). Specifically, middle managers score more highly on the use of RBP activities, RBP results (4.16, 4.34, respectively) than employees and supervisors do (3.44, 3.97, respectively). The above descriptive statistics are provided to better describe the sample population and to provide additional context for the research model findings. However, the impact that any of the sample population demographics (e.g., gender or age) may have on the outcome of the research model is out of the scope of this study.

6.2. Data examination

6.2.1. Treatment of missing data, suspicious response patterns and outliers

Following the guidance of Hair et al. (2014), after entering data into SPSS data sheet, the researcher used -99 to indicate missing values. As the number of missing values in the data set per indicator is less than 5% (4.6%), the mean replacement was applied to these data. There were two cases those number of missing values per observation exceed 15 %; the corresponding observations were removed from the dataset (Hair et al., 2014). Before analyzing data with PLS-SEM, suspicious response patterns and outliers also need to be examined. There were two cases in which respondents selected only the middle response (3s) for almost questions, which later were eliminated. Outlier diagnostics by means of boxplots using SPSS indicated no outliers.

In addition, the kurtosis and skewness values of the indicators were within the acceptable range (-1, +1) and thus non-normality of data was not an issue. After the establishment of no missing data and treatment of any negatively worded questions, the dataset with 256 respondents was ready to be analyzed. Note that, the dataset contains two types of respondents. The first group is middle managers (n=25) and the second group is employees and line supervisors (n=231), but the data from employees and line supervisors (n=231) were mainly used in this study in order to minimize the subjectivity of data.

6.2.2. Common method variance (CMV)

Common method variance is considered as a major source of measurement error which can substantially influence the relationships between the measured variables (Podasakoff et al., 2012; Nunnally & Berstein, 1994). As the study collected data on both the independent and dependent variables from the same respondents (employees and line supervisors) at a point of time, the potential CMV may occur which creates significant artificial covariance (Podasakoff et al., 2012). In addition to this, the sociability of respondents who want to provide positive answers is also a common source of CMV (Chang et al., 2010). There was a possibility that though leadership styles of public managers were assessed by their subordinates, not by themselves, due to the existing relationship between managers and employees, employees for some reasons may be inclined to evaluate their superiors positively.

In order to address the issues of CMV, besides a carefully designed survey questionnaire (unambiguous concepts, no double-barreled items, etc.) (Podasakoff et al., 2012; Chang et al., 2010) and the use of employee perception that can minimize the subjectivity of data (see Ittner & Larcker, 2001; Pandey, 2017), additional statistical checks for CMV were used. CMV was first assessed using Harmon's one-factor test (Podsakoff et al., 2012). An un-rotated EFA resulted in the first factor explaining 47.16 % of the variance (*see Appendix E*), indicating that no single factor accounts for the majority of the covariance among all constructs in the survey. Another test for CMV in PLS was conducted with Lindel and Whitney's (2001) marker variable approach. The maximum shared variance with the other variables of marker variable is only 6.86 % ($.262^2$) (*see Appendix E*). These results show that CMV is not a significant concern in our data.

6.3. Evaluation of PLS-SEM measurement and structural models

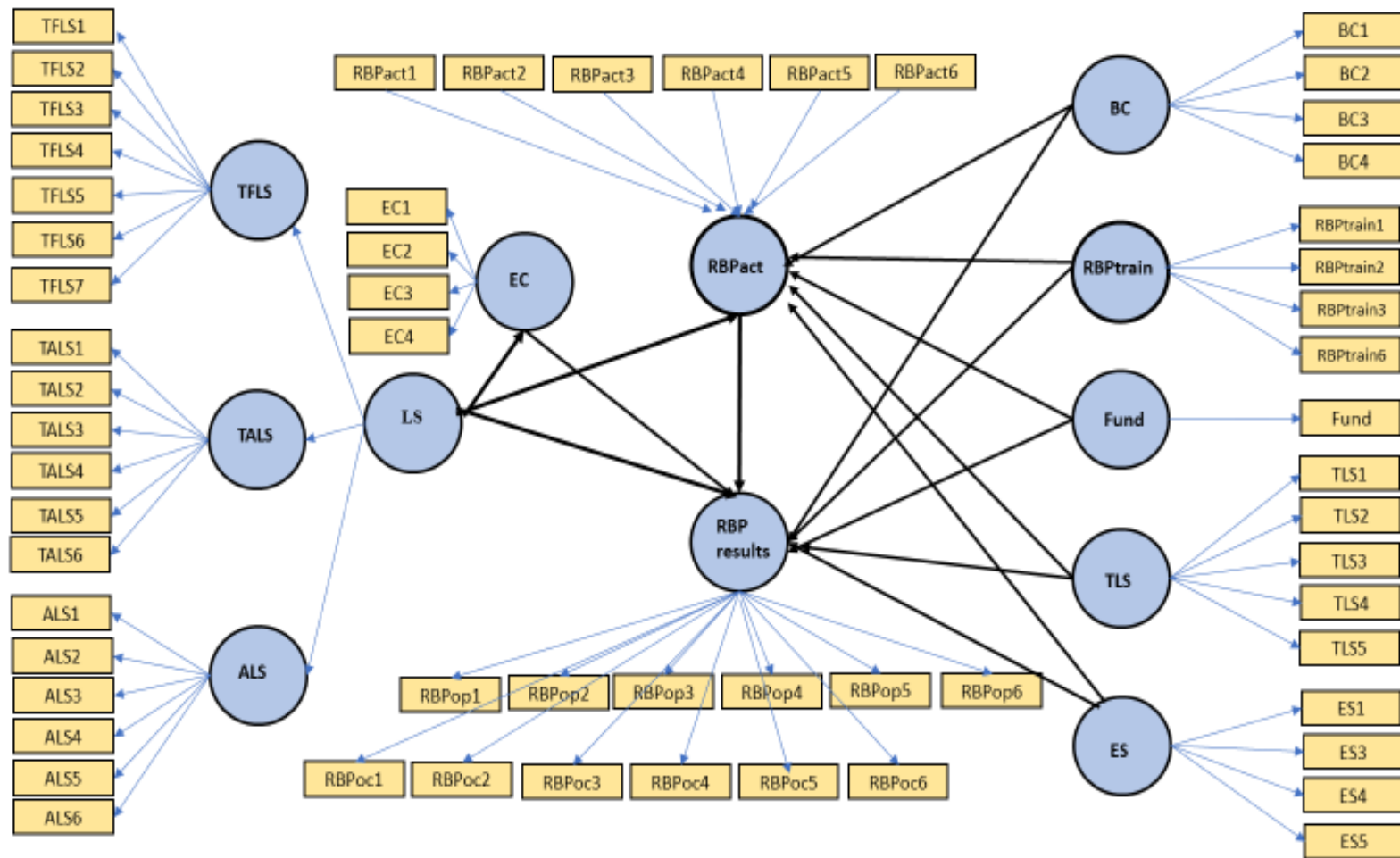
As PLS-SEM focuses on prediction, not on confirmation as CB-SEM does, the measurement- of- model- fit and goodness- of- fit indexes were not used to evaluate the overall model fit in this study. The two-step SEM analysis using Smart PLS3

software in this study starts with the evaluation of measurement models (the relationships between constructs and their corresponding indicator variables) which is a prerequisite for evaluating the relationships in the structural model (the relationships between constructs) (Hair et al., 2014). Following the guidance of Hair et al. (2014), as the initial research model contains both reflectively and formatively measured constructs, the evaluation of each measurement model should be conducted separately. The reflective measurement model has arrows (relationships) pointing from the construct to the observed indicators in the measurement model, or in other words, all indicator items are caused by the same construct. In contrast, the formative model has arrows pointing from the indicators in the measurement model to the constructs, and hence all indicators together form the construct (Hair et al., 2010, 2014). As shown in Figure 6.1, all latent variables in the research model are reflective and multiple item constructs except a single-item construct (funding for RBP deployment-FUND) and a formative construct (RBP activities-RBPact).

The measures of variables under study were explored during the pilot test, especially with the use of exploratory factor analysis (EFA). EFA was applied for untested new scales, aiming to identify and validate the underlying factors (Hair et al., 2006). Specifically, EFA was utilized for two dimensions of RBP results (RBP outputs and outcomes), top-leadership support (TLS), RBP-related training (RBPtrain), and external support (ES) constructs which were newly developed for this study. CFA was used for pre-existing validated scales (e.g., transformational, transactional, autocratic leadership styles; employee commitment; bureaucratic culture). PLS-SEM is used for CFA and the evaluation of the measures' reliability and validity before assessing the structural model (Fornell & Yi, 1992; Hair et al., 2011; Hair et al., 2014). Figure 6.1 illustrates the initial measurement model including all items related to each construct. The blue circles are latent variables, while the yellow boxes represent individual measurement items.

[Insert Figure 6.1 About Here]

Figure 6.1. *Original measurement model used for confirmatory factor analysis in PLS-SEM.*



6.3.1. Reflective measurement models

In the following, reflective measurement models are evaluated on their reliability (internal consistency and indicator) and validity (convergent and discriminant) by running the PLS-SEM algorithm (Hair et al., 2014). In addition to the single layer of the construct, the reflective higher component model (HCM) was created to represent transformational (TFLS), transactional (TALS) and autocratic (ALS) leadership styles as the lower-order components of the higher-order component combined leadership styles (LS). There are some main reasons for using an HCM in PLS-SEM in this study. Firstly, as the research model is quite complex with a large number of constructs, HCMs enable reducing the number of relationships in the structural model, making the PLS path model more parsimonious and easier to grasp (Hair et al., 2014). In addition, as three constructs (transformational, transactional, autocratic) are highly correlated and capture different attributes of leadership styles, HCMs prove valuable through increasing the bandwidth of content covered by the respective constructs and reducing possible collinearity issues.

HCMs consist of two components: the higher-order component (HOC) and the lower-order components (LOCs). HCMs are categorized into four types based on the relationship between the HOC and the LOCs and the constructs and their indicators. HCM in this study is the reflective-reflective type that indicates a reflective relationship between the LOCs (transformational, transactional, autocratic leadership style) and the HOC (Combined leadership styles), whereby each construct is measured by reflective indicators. All indicators of the reflective LOCs were assigned to the reflective measurement model of the HOC. Thereafter, the HOC representing leadership styles is related to its consequences (e.g., employee commitment to RBP, RBP activities, RBP results). The new HOC was also evaluated on its composite and indicator reliability, convergent validity, and discriminant validity.

6.3.1.1. Internal consistency reliability

Construct reliability evaluation focuses on composite reliability (CR) as an estimate of a construct's internal consistency which is more suitable for PLS-SEM than the traditional criterion Cronbach's alpha. Composite reliability values of above 0.7 are considered as satisfactory. The high values of composite reliability of all reflective variables (the lowest value is 0.904) demonstrate the high levels of internal consistency reliability (*see Table 6.5*).

Outer loading relevance testing was undertaken to estimate each indicator's reliability. All outer loadings of the reflective constructs are well above the minimum acceptable value of 0.70 except four indicators of the HOC construct "leadership styles" (ALS3, ALS4, ALS5, ALS6, TALS3), one item of top leadership support construct TLS3, and one item of bureaucratic culture BC4 (outer loadings: 0.636, 0.642, 0.603, 0.284, 0.638, 0.591, 0.075 respectively). The indicator EC2 of employee commitment construct (outer loading: 0.943) has the highest indicator reliability. The measurement items with low loadings (below 0.60) were considered for deletion (Fornell & Larcker, 1981; Nunnally & Bernstein, 1994). First, the loadings of three items, ALS6 and BC4, are well below the threshold value of 0.70 (0.248 and 0.075 respectively), therefore these items were removed from the model. After re-running the model, ALS5 and TLS3 were considered for deletion due to its low loading (0.593 and 0.591 respectively). Although loadings of four items ALS3, ALS4, TALS3 are less than 0.70, they were considered for retention as their loadings are greater than 0.60 and they are items of the newly established construct "leadership styles" which combines different leadership styles. In addition, the AVE of leadership styles construct remains above the 0.50 threshold with these loadings (0.635). As shown in Table 6.3, four indicators with low outer loadings were removed from PLS -SM model. Table 6.4 and 6.5 shows the results of reliability assessment of all reflective constructs in the model.

[Insert Table 6.3 About Here]

Table 6.3. *Items deleted due to loadings less than 0.60 on any single construct*

Items	Code	Loading
Controls over all decisions related to the application of new planning within my organization/unit	ALS5	0.593
Directs employees with punishment in order to get them to achieve the organizational objectives	ALS6	0.286
In my organization, the best managers are considered as coordinators, organizers or administrators	BC4	0.075
Keep the pressure on operating units to work with RBP	TLS3	0.591

Table 6.4. *Reliability and convergent validity assessment of the higher-order construct LS*

<i>Combined leadership styles (LS) 15 items</i>	<i>Loading</i>	<i>Cronbach's Alpha</i>	<i>AVE</i>	<i>Composite Reliability</i>
TFLS1	.854	.963	.635	.967
TFLS2	.878			
TFLS3	.836			
TFLS4	.833			
TFLS5	.855			
TFLS6	.779			
TFLS7	.877			
TALS1	.874			
TALS2	.829			
TALS3	.621			
TALS4	.811			
TALS5	.821			
TALS6	.801			
ALS1	.862			
ALS2	.704			
ALS3	.621			
ALS4	.615			

Table 6.5. *Reliability and convergent validity assessment of the lower-order reflective constructs*

Construct/ Factor		<i>Items</i>	<i>Loading</i>	<i>t- statistic</i>	<i>Sig</i>	<i>Alpha</i>	<i>CR</i>	<i>AVE</i>
RBP practices (RBPP) (16)	RBP activities (RBPact) (3) (FV)	RBPact1	NA	NA	NA	NA	NA	NA
		RBPact2						
		RBPact3						
		RBPact4						
		RBPact5						
		RBPact6						
	RBP results (RBPR) (12)	RBPpop1	.768	19.704	p < 0.001	.973	.976	.774
		RBPpop2	.874	36.595	p < 0.001			
		RBPpop3	.878	39.918	p < 0.001			
		RBPpop4	.898	48.171	p < 0.001			
		RBPpop5	.887	45.139	p < 0.001			
		RBPpop6	.915	60.641	p < 0.001			
		RBPoc1	.886	43.823	p < 0.001			
		RBPoc2	.904	51.207	p < 0.001			
		RBPoc3	.864	27.197	p < 0.001			
		RBPoc4	.874	32.668	p < 0.001			
		RBPoc5	.907	46.894	p < 0.001			
		RBPoc6	.898	42.463	p < 0.001			
	Transformational leadership styles (TFLS) (7)	TFLS1	.786	25.182	p < 0.001	.932	.945	.711
		TFLS2	.792	26.655	p < 0.001			
		TFLS3	.806	22.538	p < 0.001			
		TFLS4	.839	37.616	p < 0.001			
		TFLS5	.818	32.389	p < 0.001			
		TFLS6	.811	32.084	p < 0.001			
		TFLS7	.822	39.452	p < 0.001			
Transactional leadership styles TALS (6)		TALS1	.880	17.281	p < 0.001	.932	.945	.711
		TALS2	.861	17.289	p < 0.001			
		TALS3	.735	8.914	p < 0.001			

	TALS4	.832	19.193	p < 0.001			
	TALS5	.845	13.577	p < 0.001			
	TALS6	.832	16.754	p < 0.001			
Autocratic leadership styles (ALS) (4)	ALS1	.843	32.043	p < 0.001	.866	.918	.789
	ALS2	.774	22.136	p < 0.001			
	ALS3	.802	13.998	p < 0.001			
	ALS4	.776	23.751	p < 0.001			
Employee commitment (EC) (4)	EC1	.914	34.322	p < 0.001	.907	.941	.843
	EC2	.943	40.921	p < 0.001			
	EC3	.937	27.661	p < 0.001			
	EC4	.903	18.406	p < 0.001			
Bureaucratic culture (BC) (4)	BC1	.908	2.202	p < 0.001	.915	.944	.850
	BC2	.919	6.683	p < 0.001			
	BC3	.937	7.251	p < 0.001			
Top-leadership support (TLS) (4)	TLS1	.810	24.592	p < 0.001	.887	.918	.691
	TLS2	.903	48.265	p < 0.001			
	TLS4	.838	22.582	p < 0.001			
	TLS5	.845	27.375	p < 0.001			
External support (ES) (4)	ES1	.829	36.874	p < 0.001	.895	.927	.760
	ES3	.910	57.669	p < 0.001			
	ES4	.912	65.125	p < 0.001			
	ES5	.833	27.078	p < 0.001			
Funding (FUND)	FUND	1.000			1.000	1.000	1.000
RBP-related training (RBPtrain) (4)	RBPtrain1	.859	46.175	p < 0.001	.859	.904	.702
	RBPtrain2	.886	51.891	p < 0.001			
	RBPtrain3	.814	24.195	p < 0.001			
	RBPtrain6	.789	19.402	p < 0.001			

Note. NA = Not applicable; FV= Formative variable

6.3.1.2. Convergent and discriminant validity

Convergent validity evaluation builds on the average variance extracted (AVE) value (Hair et al., 2011, 2014). The results of PLS-SEM algorithm showed that the AVE values of all reflective constructs were well above the threshold value of 0.50 (*see Table 6.4*). Accordingly, bureaucratic culture (BC) has the highest value (0.850), and top leadership support construct (TLS) has the lowest value (0.691). Hence, the measures of all reflective constructs in the PLS model have high levels of convergent validity.

Discriminant validity is assessed using the Fornell-Larcker criterion (the square roots of the AVE) and the cross-loadings by running PLS-SEM algorithm (Hair et al., 2014). As shown in Table 6.6, the square roots of the AVEs for all reflective constructs in the model are all higher than the correlations of these constructs with other constructs in the path model. It is noteworthy that the results identified a number of constructs, showing evidence of strong correlations with other constructs. This apparent lack of discriminant validity was anticipated due to the nature of the higher component model. As first order constructs (LS) are unidimensional, this is not a serious issue (Bagozzi & Heatherton, 1994; Gerbing & Anderson, 1988). Specifically, combined leadership styles (LS) are expected to be highly correlated with autocratic leadership styles (ALS), transformational leadership styles (TFLS), and transactional leadership styles (TLS) as they are the dimensions of LS.

Another way of testing discriminant validity is the examination of the cross-loadings (Hair et al., 2011, 2014). Discriminant validity is set when an indicator's loading on a construct is higher than all of its cross-loadings with other constructs. Overall, the Fornell-Larcker criterion and cross-loadings offer evidence for the constructs' discriminant validity.

[Insert Table 6.6 About Here]

Table 6.6. *Results of discriminant validity assessment*

	ALS	BC	EC	FUND	LS	TLS	ES	RBPact	RBPR	RBPtrain	TALS	TFLS
AVE	.789	.850	.843	1.000	.675	.691	.760	na	.774	.702	.786	.711
Autocratic leadership style (ALS)	0.888											
Bureaucratic culture (BC)	0.281	0.922										
Employee commitment (EC)	0.645	0.327	0.918									
Funding (FUND)	0.244	0.205	0.242	1.000								
Combined leadership style (LS)	0.899	0.337	0.744	0.333	0.822							
Top leadership support (TLS)	0.413	0.286	0.575	0.190	0.420	0.831						
External support (ES)	0.528	0.258	0.700	0.436	0.601	0.569	0.872					
RBP activities (RBPact)	0.641	0.118	0.599	0.169	0.742	0.277	0.491	FV				
RBP results (RBPR)	0.685	0.283	0.710	0.135	0.799	0.379	0.524	0.737	0.880			
RBP-related training (RBPtrain)	0.584	0.244	0.603	0.278	0.662	0.335	0.540	0.721	0.638	0.838		
Transactional leadership style (TALS)	0.846	0.311	0.703	0.371	0.959	0.349	0.566	0.703	0.741	0.628	0.887	
Transformational leadership style (TFLS)	0.792	0.343	0.734	0.304	0.962	0.429	0.591	0.731	0.803	0.646	0.867	0.843

Note. 1. The square root of AVE values is shown on the diagonal and highlighted in bold (reflective constructs only)

2. RBP = Results-based planning; SIC = Single-item construct; FV = Formative variable.

3. LS is expected to be highly correlated with TFLS since TFLS is one of the dimensions of LS

LS is expected to be highly correlated with TALS since TALS is one of the dimensions of LS

LS is expected to be highly correlated with ALS since ALS is one of the dimensions of LS

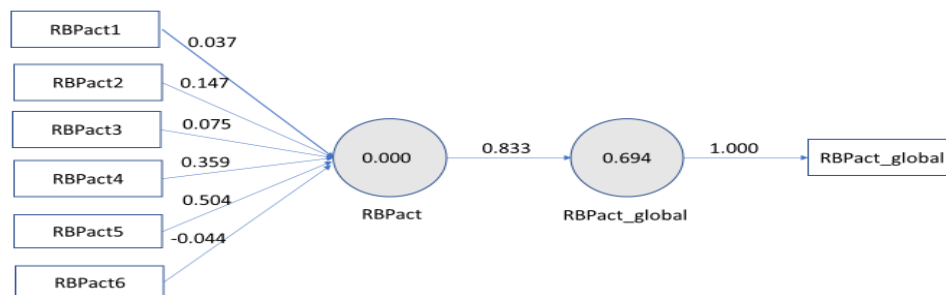
6.3.2. Formative measurement model

The research model consists of one formative construct (RBP activities-RBPact). Instead of employing measures such as composite reliability or AVE as used for reflective measurement models, in order to assess the quality of formative measurement models, the following criteria were applied: (1) convergent validity, (2) collinearity issues, and (3) significance and relevance of the formative indicators. (Hair et al., 2011, 2014)

6.3.2.1. Convergent validity

To examine convergent validity of the formative construct RBPact, a redundancy analysis for this construct was undertaken as suggested by Hair et al. (2014). As the original questionnaire consisted of a global single-item measure with a general assessment of the frequent use of RBP activities, it was used as the measure of the dependent construct in the redundancy analysis. Figure 6.2 shows the results of the redundancy analysis for the RBPact construct. The original formative construct was labelled with RBPact while the global assessment of the frequent use of RBP activities using a single-item construct was labelled with RBPact_global. As can be seen, the redundancy analysis of RBPact yields an estimate of 0.833, which is above the value of 0.80, therefore supporting convergent validity.

Figure 6.2. *Convergent Validity*



6.3.2.2. Collinearity issues

Collinearity issues of indicators were also tested. As Smart PLS3 does not provide users with the tolerance and the VIF values, IBM SPSS statistics was used to assess collinearity issues using their linear regression modules. Following the guidance of Hair et al. (2014), the indicator RBP_{Pop1} of the RBPR construct as the dependent variable and RBPact1-6 (RBP activities) as the independent variables in a regression model to obtain the tolerance and VIF value for the formative indicators of RBPact construct. The results indicate that RBPact5 and RBPact6 have high VIF values (9.459 and 9.854, respectively) which are well above the critical value of 5 (Hair et al., 2011). As suggested by Hair et al. (2014), in order to treat this collinearity problem, these two indicators, RBPact5 and RBPact6, were combined into a single composite indicator labelled as RBPact5-6 by using their average values. This combination is consistent with a number of studies on RBP that not separate monitoring and evaluation results into two independent steps (Middleton & Regan, 2015; OECD, 2011; Cambridge Systematic et al., 2010). The procedure to assess collinearity in the formative measurement model was recalculated and the results, as shown in Table 6.7, indicate that the formative measurement model is ready to be analyzed for its significance and relevance.

Table 6.7. *Collinearity statistics*

<i>Construct</i>	<i>Construct items</i>	<i>Tolerance</i>	<i>VIF</i>
RBP activities (RBPact)	RBPact1	.254	3.246
	RBPact2	.227	4.108
	RBPact3	.279	3.147
	RBPact4	.205	4.689
	RBPact5-6	.203	4.825

6.3.2.3. Significance and relevance

The final step to evaluate the formative measurement model is analyzing the outer weight for their significance and relevance by running bootstrapping. Table 6.8 illustrates the results of the formative measured construct RBPact including the original

outer weight estimates, the *t* values, and the corresponding significance levels, and the *p* values. As can be seen, all formative indicators of the RBPact construct are significant ($p < .05$) except RBPact3 and RBPact4. However, nonsignificant weights are not automatically considered as indicative of poor quality of measurement model; rather, the formative indicator's absolute contribution by assessing their outer loadings should be considered (i.e., outer loading is above 0.50) (Hair et al., 2014). Following this guidance, the results show that two nonsignificant indicators, RBPact3 and RBPact4, have high outer loadings (0.689 and 0.743, respectively), interpreting that they are absolutely important and should be retained in the PLS-SEM model. This is also supported by the construct's theoretical relevance and conceptualization. As a result, both RBPact3 and RBPact4 were kept in the formative measurement model.

Table 6.8. *Outer weights significance testing results*

<i>Formative constructs</i>	<i>Formative indicators</i>	<i>Outer weights</i>	<i>t value</i>	<i>p-value</i>
RBP activities (RBPact)	RBPact1	0.273	2.044	< 0.05
	RBPact2	0.159	1.027	< 0.05
	RBPact3	0.055	0.563	NS
	RBPact4	0.103	0.668	NS
	RBPact5-6	0.323	3.346	< 0.05

Note. NS = not significant

In summary, all measurement model assessment criteria are met, providing support for the measures' reliability and validity. Next, we proceed to the assessment of the structural model that involves examination of the model's predictive capabilities and the relationships between the constructs.

6.3.3. *Evaluation of structural models*

In order to assess the structural model, the following issues were taken into consideration: (1) Collinearity issues; (2) Significance and relevance of the structural model relationships and level of R^2 ; (3) Effect size (f^2), predictive relevance (Q^2 and q^2 effect size) (Hair et al., 2011, 2014)

6.3.3.1. Collinearity assessment

This criterion is of necessity as the estimation of path coefficients in the structural model is based on ordinary least squares (OLS) regressions of each endogenous construct on its predictor constructs, and in case this estimation involves collinearity issues among the predecessor variables, the path coefficients may be biased (Hair et al., 2014). Similar to the assessment of formative measurement models, IBM SPSS statistics were used to assess collinearity issues for the structural model through tolerance and the VIF values. According to the instruction of Hair et al. (2014) and Kock (2015), two sets of predictor constructs were examined separately for each subpart of the structural model. As shown in Table 6.9, all constructs in the model have tolerance levels above 0.20 and VIF below the critical value of 5. Hence, collinearity among the predictor constructs is not an issue in the structural model.

Table 6.9. *Collinearity in the structural model*

	<i>Predictor constructs</i>	<i>Tolerance</i>	<i>VIF</i>
<i>First set (RBPact)</i>	Leadership styles	.398	2.510
	Bureaucratic culture	.830	1.205
	RBP-related training	.626	1.597
	Top leadership support	.619	1.616
	External support	.405	2.472
	Funding	.714	1.400
	Employee commitment	.319	3.135
<i>Second set (RBPR)</i>	Leadership styles	.268	3.729
	Bureaucratic culture	.748	1.337
	Employee commitment	.302	3.309
	RBP-related training	.543	1.843
	Top leadership support	.592	1.688
	External support	.404	2.476
	Funding	.690	1.449
	RBP activities	.295	3.393

6.3.3.2. Structural model path coefficients and coefficients of determination (R^2)

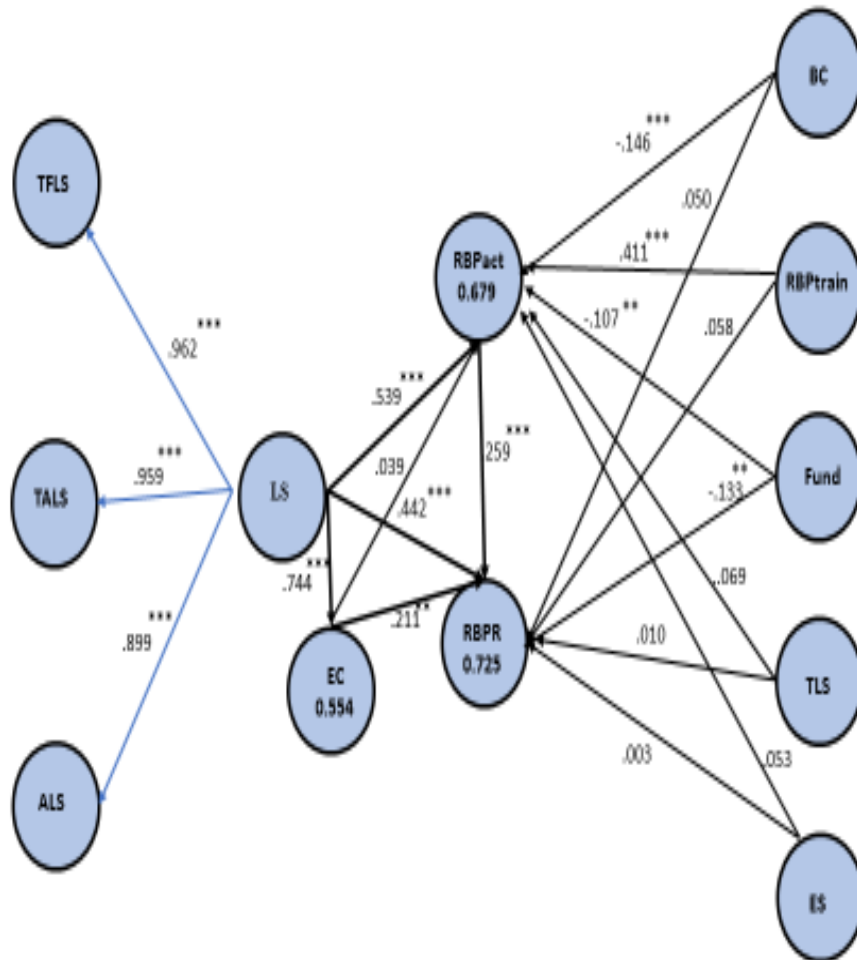
The most commonly used measures to assess the structural models are the level and significance of the path coefficients and the coefficient of determination (R^2). The path coefficients of the PLS structural model is interpreted similarly to standardized beta coefficients (β) of OLS (ordinary least squares regressions). According to Hair et al. (2014) and Kock (2015), the significance values (p values) determine whether the data support or reject the hypothesized relationships, whereas the path coefficients indicate the strength and direction of these relationships. The R^2 value which is considered as a criterion of predictive accuracy is interpreted, similar to regression analysis, as the proportion of variation in the variable that is explained by its relationship with the constructs assumed to influence it. The main aim of PLS-SEM is to maximize the R^2 values of the endogenous constructs in the path model, thus, the objective is high R^2 values (Hair et al., 2011, 2014; Kock, 2015).

The initial structural model was constructed based on the existing literature and conceptualization. The initial PLS structural model including path coefficients, t values, significance level, and variance explained (R^2) for each endogenous construct (dependent variable) from the bootstrap resampling procedure is shown in Figure 6.3 and Table 6.10. Bootstrapping is a nonparametric procedure that allows testing the statistical significance of various PLS-SEM results such as path coefficients, significance level, R^2 values (Ringle et al., 2015).

[Insert Figure 6.3 About Here]

Figure 6.3. *Initial PLS-SEM structural model*

Note. *** $p < .001$, ** $p < .05$



RBP = Results-based planning; BC = Bureaucratic culture; LS = Leadership styles; FUND = Funding for RBP deployment; RBPact = RBP activities; RBPR = RBP results; TFLS = Transformational leadership style; TALS = Transactional leadership style; ALS = Autocratic leadership style; EC = Employee commitment to RBP; RBPtrain = RBP-related training; TLS = Top leadership support; ES = External support.

Table 6.10. *Inner Model Path Coefficients and Significance Level*

	<i>Path coefficient</i>	<i>Standard Error</i>	<i>t Statistic</i>	<i>Sig</i>
LS → RBPact	0.523	0.063	8.515	p < 0.001
LS → RBPR	0.442	0.074	6.302	p < 0.001
LS → EC	0.744	0.035	21.056	p < 0.001
EC → RBPact	0.039	0.082	0.473	ns
EC → RBPR	0.211	0.086	2.642	p < 0.05
RBPtrain → RBPact	0.411	0.056	7.467	p < 0.001
RBPtrain → RBPR	0.058	0.100	0.587	ns
BC → RBPact	-0.146	0.041	3.580	p < 0.001
BC → RBPR	0.050	0.044	1.139	ns
FUND → RBPact	-0.107	0.046	2.448	p < 0.05
FUND → RBPR	-0.133	0.040	3.109	p < 0.05
TLS → RBPact	0.069	0.055	1.158	ns
TLS → RBPR	0.010	0.066	0.051	ns
ES → RBPact	0.053	0.058	1.098	ns
ES → RBPR	0.003	0.056	0.121	ns
RBPact → RBPR	0.259	0.077	3.347	p < 0.001
LS → TFLS	0.962	0.009	107.465	p < 0.001
LS → TALS	0.959	0.011	91.464	p < 0.001
LS → ALS	0.899	0.025	36.129	p < 0.001

Note. ns = not significant

RBP = Results-based planning; BC = Bureaucratic culture; LS = Combined leadership styles; FUND = Funding for RBP deployment; RBPact = RBP activities; RBPR = RBP results; TFLS = Transformational leadership style; TALS = Transactional leadership style; ALS = Autocratic leadership style; EC = Employee commitment to RBP; RBPtrain = RBP-related training; TLS = Top leadership support; ES = External support.

Looking at the path coefficients of the exogenous driver constructs for RBP activities (RBPact), as illustrated in Table 6.10, it is clear that combined leadership styles LS adopted by public managers is the most important ($\beta = 0.523$, $p < .001$), followed by RBP-related training RBPtrain ($\beta = 0.411$, $p < .001$) and bureaucratic culture BC ($\beta = -0.146$, $p < .001$). Similarly, the examination of the path coefficients of the driver constructs for RBP results (RBPR) shows that LS construct is also the most important ($\beta = 0.442$, $p < .001$), followed by RBPact ($\beta = 0.259$, $p < .001$), and funding for RBP deployment FUND ($\beta = -0.133$, $p < .05$). By contrast, the top leadership support TLS ($\beta = 0.069$, 0.010) and external support ES ($\beta = 0.053$, 0.003) have very little bearing on RBP activities (RBPact) and RBP results (RBPR).

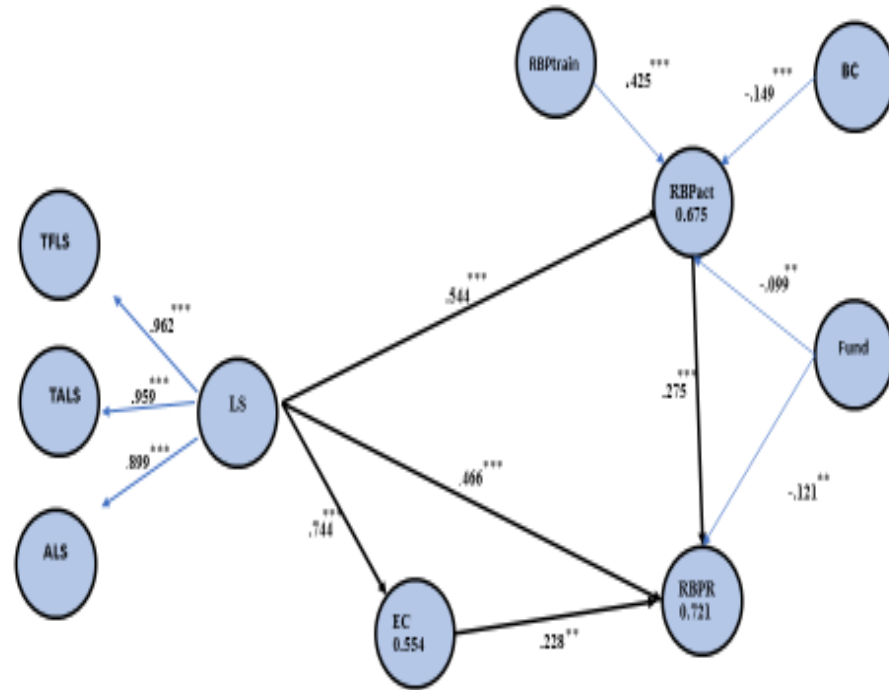
The LS construct- higher-order component has the strongest relationship with its lower-order components TFLS (0.962), followed by TALS which is as similar as TFLS (0.959), and ALS with the lower strength (0.899). Overall, transactional (TALS), transformational (TFLS), and autocratic (ALS) leadership styles are sufficiently highly correlated for the higher- order component (LS) to explain more than 50% of each LOC's variance.

The bootstrapping results show that the majority of path coefficients are significant. In any SEM modelling exercise, it is common to identify equivalent models that may fit the data and theory best (Johansson& Yip, 1994; Fornell, 1982). Hence, in order to re-specify the structural model, all insignificant relationships were eliminated from the PLS-SEM model. Also, the two constructs top leadership support (TLS) and external support (ES) were dropped out of the model as they did not show any direct influence on RBP activities, RBP results. Ultimately, we arrived at a final PLS-SEM model specification (*see Figure 6.4*).

[Insert Figure 6.4 About Here]

Figure 6.4. *Final PLS-SEM structural model*

Note. *** $p < .001$, ** $p < .05$



The examination of total effects, as shown in Table 6.11, brought more interesting results. To be specific, it shows the strength of each driver construct that ultimately influences the target construct RBPR (RBP results) via the mediating constructs EC (employee commitment) and RBP activities. As can be seen, among predictor constructs, combined leadership styles (LS) has the strongest total effect on RBP results (0.785), followed by RBP activities (0.275), and employee commitment (0.228). The results obtained from running bootstrapping showed the R^2 values of RBPact (0.744) and RBPR (0.727). The R^2 value (coefficient of determination) is

interpreted, analogous to regression analysis, as the amount of variance in the dependent variable explained by all of the independent variables believed to impact it. There are no rules of thumb for acceptable R^2 values as this is dependent on the research discipline and the complexity of research models. (Hair et al., 2011, 2014; Henseler et al., 2009). In this research model, 74.4 percent of the RBP activities (RBPact) variance is explained by combined leadership styles (LS), RBP-related training (RBPtrain), bureaucratic culture (BC), and funding for RBP deployment (FUND). Meanwhile, 72.7 percent of the RBP results (RBPR) variation is explained by its relationships with combined leadership styles (LS), RBP-related training (RBPtrain), bureaucratic culture (BC), funding for RBP deployment (FUND), employee commitment to RBP (EC), and RBP activities (RBPact).

Table 6.11. *Total effects*

	<i>RBP activities</i>	<i>RBP results</i>
Combined leadership styles	0.544 (8.581)	0.785(21.223)
Bureaucratic culture	-0.149 (3.398)	-0.041 (2.628)
Employee commitment		0.228 (3.340)
RBP-related training	0.425 (7.772)	0.117 (4.057)
Funding	-0.099 (2.401)	-0.149 (4.227)
RBP activities		0.275 (4.825)
R square (R^2)	0.744	0.727

Note. Path coefficients are shown with t-statistics in parentheses

Following the suggestions of Sarstedt et al. (2013) and Hair et al. (2014), the adjusted R^2 value (R^2_{adj}) was used for comparing PLS-SEM results involving models with different numbers of exogenous constructs. In order to test whether and how transformational leadership styles construct matters in the final PLS-SEM model, we compared the R^2_{adj} values of the two models with this construct included and excluded. As widely perceived, transactional and autocratic styles are common in Asian countries, including Vietnam, and are assumed characterize many employee-manager interactions. Also, as indicated in the final PLS-SEM model, the combined leadership styles that include traditional leadership (autocratic and transactional) and modern

leadership styles (transformational) have positive relationships with RBP practices. Hence, the examination of the effect of transformational leadership styles on RBP practices is of importance. The results show that the construct TFLS increases the R^2_{adj} of RBP activities (RBPact) from 0.722 to 0.723, and of RBP results (RBPR) from 0.685 to 0.704, implying that the final PLS-SEM model with the TFLS construct included should be selected.

6.3.3.3. Effect size (f^2), Predictive relevance (Q^2 and q^2 effect size)

In order to assess a predictor construct's contribution to an endogenous construct's R^2 value, the effect size f^2 values were used (Hair et al., 2014). The f^2 values measure the change in the R^2 value when a specified predictor construct is omitted from the model. Another evaluation criteria for the structural model involves the model's predictive relevance. The primary measure of predictive relevance is the Q^2 values which are obtained by using the blindfolding procedure for a certain omission distance D (Hair et al., 2011, 2014; Ringle et al., 2015). Analogous to the f^2 effect size approach for assessing R^2 , the q^2 effect size was used to analyze the predictive relevance for certain endogenous constructs. In other words, the q^2 values measure the change in the Q^2 value when a specified predictor construct is omitted from the model.

In the blinding process, the systematic pattern of data point deletion and prediction is dependent on the omission distance (D) (Ringle et al., 2015). As the omission distance value must not be an integer and suggested D value is between 5 and 12, an omission distance of $D=5^4$ was used in this study. The endogenous constructs in the model with reflective measurement models (RBP results) were analyzed in blindfolding separately. The Q^2 values measured by the blindfolding procedure represent a measure of how well the observed values can be predicted by the path model. Q^2 values larger than 0 indicate the model has predictive relevance, whereas a

⁴ Blindfolding is a sample reuse technique that omits every d th data point in the endogenous construct's indicators and estimates the parameters with the remaining data points. A value for the omission distance D between 5 and 12 is recommended, with a notice that the number of observations used in the model estimation divided by D is not an integer (Hair et al., 2017, Tenenhaus et al., 2005; Henseler et al., 2009)

value of 0 and below implies a lack of predictive relevance. The Q^2 value can be calculated by utilizing two types of estimates. The cross-validated redundancy uses both the structural model (construct scores estimated for the antecedent constructs) and the measurement model (target endogenous construct) of data prediction. Alternately, the cross-validated communality utilizes only the construct score estimated for the target endogenous construct to predict missing data points (Hair et al., 2014). As shown in Table 6.12, the resulting Q^2 values are above 0, indicating that the exogenous constructs have predictive relevance for the endogenous constructs under consideration.

Table 6.12. *Results of the Q^2 and R^2 values*

Endogenous constructs	R^2	Communality Q^2	Redundancy Q^2
<i>RBP activities</i>	0.675	NA	NA
<i>RBP results</i>	0.721	0.644	0.486

Note. NA = Not applicable

The following is the assessments of the f^2 and q^2 effect sizes. These two values are computed as follows:

$$f^2 = \frac{R^2_{\text{included}} - R^2_{\text{excluded}}}{1 - R^2_{\text{included}}} \quad ^5$$

$$q^2 = \frac{Q^2_{\text{included}} - Q^2_{\text{excluded}}}{1 - Q^2_{\text{included}}} \quad ^6$$

⁵ R^2_{included} and R^2_{excluded} are the R^2 values of the endogenous latent variable when a selected exogenous latent variable is included in or excluded from the model

⁶ Q^2_{included} and Q^2_{excluded} are the Q values of the endogenous latent variable when a selected exogenous latent variable is included in or excluded from the model

As recommended by Hair et al. (2014), the Q^2 values measured by using the cross-validated redundancy approach was used in this study to calculate q^2 values as it includes the key element of the structural model to predict the omitted data points. Table 6.13 summarizes the results of the f^2 and q^2 effect sizes involving all the relationships in the structural model. As can be seen, combined leadership styles have a large f^2 effect size of 0.458 (above 0.35) on RBP activities, medium f^2 effect size on RBP results (0.229), whereas the f^2 effect size of RBP related training on RBP activities (0.311) is medium. The f^2 value of bureaucratic culture BC (0.058) and funding (0.025) indicates its small effect on RBP activities. Analogously, funding (0.050) and RBP activities (0.122) have a small effect on RBP results. Significantly, all exogenous constructs in the model have a small predictive relevance for selected endogenous construct ($q^2 < 0.15$) (Hair et al., 2014).

Table 6.13. *Results of f^2 and q^2 effect sizes*

<i>Endogenous constructs</i>	<i>Predictor constructs</i>	<i>Path coefficients</i>	<i>f^2 effect size</i>	<i>q^2 effect size</i>
RBP activities (RBPact)	Combined leadership styles	0.544	0.458	NA
	Bureaucratic culture	-0.149	0.058	NA
	RBP-related training	0.425	0.311	NA
	Funding	-0.099	0.025	NA
RBP results (RBPR)	Combined leadership styles	0.466	0.229	0.086
	Funding	-0.121	0.050	0.018
	RBP activities	0.275	0.122	0.045

6.4. Other findings on the relationships between combined leadership styles and RBP practices from additional PLS-SEM analyses

In order to further examine findings of the relationship of combined leadership styles and RBP practices (RBPact and RBPresults), provided by standard PLS-SEM analyses, a number of advanced analyses were conducted including mediator analysis, moderator analysis, and importance-performance matrix analysis (IPMA).

6.4.1. Mediating analysis

Investigating mediating variables provides a better understanding of the relationships between dependent and predictor constructs (Hair et al., 2011, 2014). In the final structural model as shown in Figure 6.4, it is assumed that the relationship between the construct LS (leadership styles) and RBPR (RBP outputs and outcomes) is mediated by EC (employee commitment). In order to test whether this relationship exists, a necessary condition is the significance of the relationship between LS and EC (0.755), and between EC and RBPR (0.298) (Hair et al., 2014). The indirect effect's size is $0.755 * 0.298 = 0.225$ and the bootstrapping results show this significance ($p < 0.01$). Hence, EC mediates the relationship between LS and RBPR. To determine the strength of this meditation, the variance accounted for (VAF) analysis was used (Hair et al., 2014). VAF determines the size of indirect effect in relation to the total effect: $VAF = 0.755 * 0.298 / 0.745 * 0.298 + 0.387 = 0.330$. As a result, 33 % of combined leadership styles' effect on RBP results is explained via the employee commitment (EC) mediator. Since the VAF is larger than 20% but smaller than 80%, this situation is considered as partial mediation.

6.4.2. Moderator analysis

As the main aim of this study is exploring the relationship between combined leadership styles (LS) and RBP practices RBPP (RBP activities, RBP results), we conducted a moderator analysis to test whether these relationships are constant or depend on the values of a moderating variable. As conceptualized in Chapter 4, RBP-related training (RBPtrain), top-leadership support (TLS), external support (ES) are considered the potential moderators of the effect of public managers' leadership styles

on RBP practices. Specifically, these moderator variables can be assumed to negatively impact the combined leadership styles- RBP practices. The more quality of RBP training, the more support from top leadership and external actors received by RBP adopting agencies, the weaker the relationships between the main constructs.

As guided by Hair et al. (2014), as these potential moderator variables are reflective measurement models, the product indicator approach that involves multiplying each (mean-centered) indicator of the independent variables with each indicator of the moderator variable, was used. Accordingly, the following interaction terms were created in the final model: LS*RBPtrain, LS*TLS, LS*ES and assessed using reflective evaluation criteria (i.e., outer loading above 0.70, composite reliability above 0.70, AVE above 0.50). The results of the PLS-SEM algorithm using the path weighting scheme and mean value replacement for missing values show that the outer loadings of the moderator interacting variables in the measurement model, LS*RBPtrain, LS*TLS, LS*ES, are well below the 0.7 thresholds (below 0.3), indicating the interaction variables are not reliable. Therefore, we could not proceed to the next steps of the assessment of the validity and significance of the interaction terms, implying that no support for a significant moderating effect of these factors on the relationship between LS and RBPP was found.

6.4.3. Importance-Performance Matrix Analysis (IPMA)

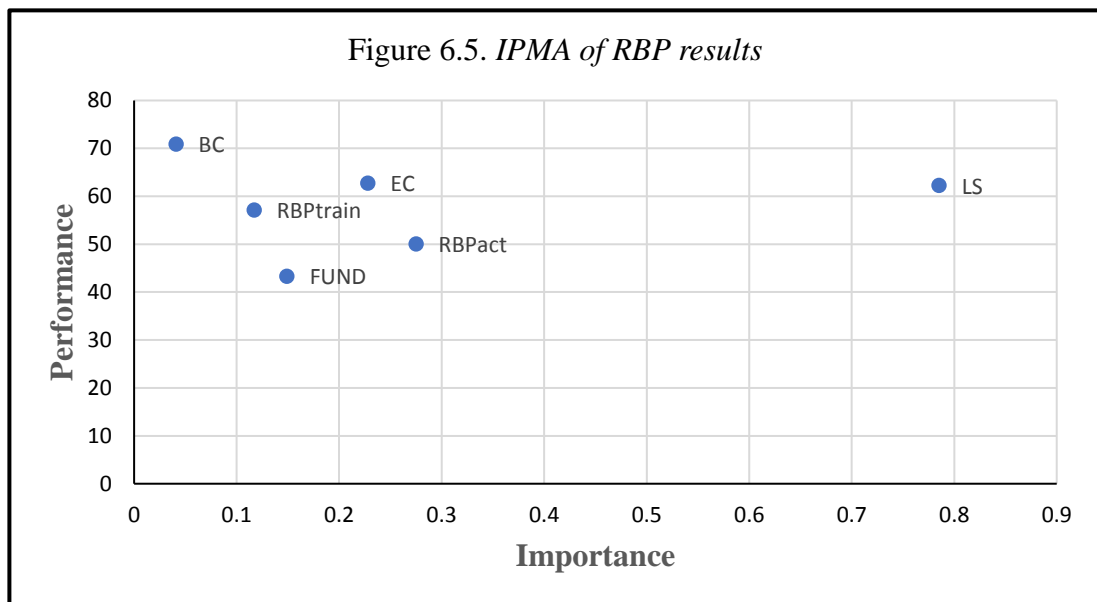
This analysis is used to extend the findings of PLS-SEM analyses (Fornel et al., 1996; Rigdon et al., 2011; Hair et al., 2014). While basic PLS-SEM analysis indicates the relative importance of constructs in the structural model through its total effect, the IPMA contrasts the importance of a construct and its actual performance (the average values of the latent variable score in order to highlight significant areas for the improvement of management activities. In this study, following the instruction of Hair et al. (2014) and Ringle et al. (2015), IPMA was used to highlight significant areas for the best improvement of RBP results.

6.4.3.1. The importance and performance of combined leadership styles (LS)

As shown in Table 6.14 and Figure 6.5, the IPMA of RBP results indicates that combined leadership styles (LS) are of primary importance for creating RBP results (RBPR). Its performance is also greater than the average value of all constructs. Thus, to improve RBP outcomes, the construct of combined leadership styles (LS) should be emphasized.

Table 6.14. *Importance (Total effects) and Performance (Index values) for the IPMA of RBP results*

	<i>Importance</i>	<i>Performance</i>
Combined leadership styles	0.785	62.254
RBP activities	0.275	50.071
Employee commitment	0.228	62.746
RBP-related training	0.117	57.163
Bureaucratic culture	-0.041	70.902
Funding	-0.149	43.333



6.4.3.2. The importance and performance of each component of combined leadership styles (LS)

Among the components of LS construct (i.e., TFLS, TALS, ALS), transformational leadership styles (TFLS) construct has the highest performance on RBP results (60.672) compared with the constructs of transactional leadership styles (58.700) and autocratic leadership styles (53.777). In addition, as discussed in 6.3.3.2 and shown in Table 6.10 and Figure 6.3, the combined leadership styles construct has the strongest relationship with its lower-order components TFLS (0.962). Hence, managerial action should focus on the TFLS construct.

The results of another IPMA of the indicators of combined leadership styles LS, as illustrated in Figure 6.6 and Table 6.15, indicate that TALS1 demonstrates the highest importance and performance, followed by TFLS7, TFLS5 (*orange circle and shade*). These indicators relate to the survey questions “[my unit leader] gives followers positive feedback when they perform tasks related to the new planning well” (TALS1); “[my unit leader] leads by “doing” rather than simply by “telling” (TFLS7); “[my unit leader] gives followers real opportunities to improve their skills and abilities” (TFLS5).

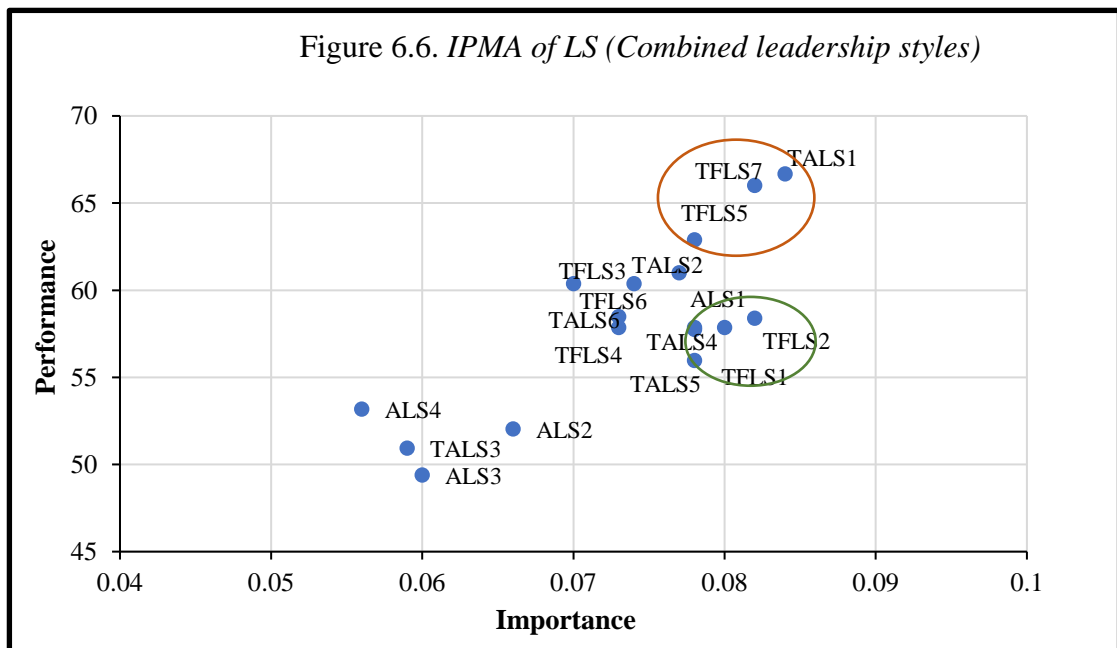
All indicators of the autocratic leadership ALS dimension of LS exhibit lower importance and performance compared with the other indicators, except the indicator ALS1. ALS1 has high importance, but its performance is slightly greater than the average value of all indicators. Significantly, TFLS2 and TFLS1 (*green circle and shade*) have high importance, but their performance is below the average when compared with the other indicators. Therefore, in order to best improve the performance of the combined leadership style (LS) construct the indicators TFLS2, TFLS1 should be paid more attention. These items relate to the survey questions “[my unit leader] shows the trust and confidence in employees”, “[my unit leader] seeks different perspectives when solving problems”, respectively.

[Insert Table 6.15 About Here]

[Insert Figure 6.6 About Here]

Table 6.15. *IPMA of Leadership styles (LS)*

<i>Indicators</i>	<i>Importance (outer weights)</i>	<i>Performance (mean values)</i>
<i>ALS1</i>	0.079	59.392
<i>ALS2</i>	0.066	52.050
<i>ALS3</i>	0.060	49.400.
<i>ALS4</i>	0.056	53.174
<i>TALS1</i>	0.084	66.667
<i>TALS2</i>	0.077	61.006
<i>TALS3</i>	0.059	50.943
<i>TALS4</i>	0.078	57.862
<i>TALS5</i>	0.078	55.975
<i>TALS6</i>	0.073	58.491
<i>TFLS1</i>	0.080	57.748
<i>TFLS2</i>	0.082	57.862
<i>TFLS3</i>	0.074	60.377
<i>TFLS4</i>	0.073	57.862
<i>TFLS5</i>	0.080	62.893
<i>TFLS6</i>	0.070	60.377
<i>TFLS7</i>	0.082	66.013



6.5. Hypothesis testing and significant results on the hypothesized relationships between combined leadership styles and RBP practices

This section discusses the results of hypothesis testing, with foci on the hypothesized relationships between combined leadership styles and RBP practices (H1, H7). According to Hair et al. (2014) and Kock (2015), the significance values (p values) determine whether the data support or reject the hypothesized relationships. In order to test the significance of such relationships which serves to test hypotheses, the bootstrapping procedure was conducted. Hypotheses with a significance value of $p < .05$ were considered as statistically supported (Hair et al., 2014, Kock, 2015). Table 6.16 below presents the results of hypotheses testing. The results indicate that seven out of 20 hypothesized relationships (i.e., H1a, H1b, H2a, H3a, H4a, H4b, H7b) were supported.

Specifically, hypotheses 1a and 1b are supported: the adoption of combined leadership styles (transformational, transactional, and autocratic) positively influences RBP practices (RBP activities and RBP results). H7b is also supported, implying that combined leadership styles (transformational, transactional, and autocratic) have a positively indirect effect on RBP results via employee commitment to RBP. More significantly, the path coefficients, effect size f^2 and q^2 (see Table 6.13) indicate that combined leadership styles have the greatest impact on RBP practices compared to other organizational factors (i.e. funding, bureaucratic culture, and training). Also, as discussed in 6.4.3, the IPMA of RBP results indicates that combined leadership styles (LS) are of primary importance for creating RBP results (RBPR). Among the components of LS construct (i.e., TFLS, TALS, ALS), transformational leadership styles (TFLS) construct has the highest impact on RBP results. The results of another IPMA of the indicators of combined leadership styles LS also confirm that in order to best improve the performance of this construct transformational leadership behaviors should be paid more attention.

In addition, as discussed in 6.3.3.2 and shown in Table 6.10 and Figure 6.3, this lower-order construct (TFLS) has the strongest relationship with its higher-order

construct (combined leadership styles_LS). Further, the assessment of the adjusted R^2 value (R^2_{adj}) used for comparing PLS-SEM results involving the two models with transformational leadership styles construct included and excluded shows that transformational leadership obviously increases the R^2 values of RBP activities and RBP results. These results imply that transformational leadership does matter for RBP practices and the use of a combination of traditional leadership styles (transactional and autocratic) and modern leadership (transformational) by public managers could lead to higher results of RBP practices rather than using only traditional leadership styles.

As expected, H2a is accepted, indicating the positive influence of RBP-related training on the frequent use of RBP activities. However, the effect of RBP-related training on RBP results in H3b is not significant, hence H2b is rejected. As predicted, the path coefficient and p-values show that bureaucratic culture has a direct and negative influence on the frequent use of RBP, providing evidence for supporting H3a. The relationship between bureaucratic culture and RBP results is not significant, thus H3b is not accepted. H4a and H4b, which insufficient funding has a direct and negative effect on RBP practices (activities and results), are supported as there is evidence of relationship strengths and significance. Interestingly, no statistical evidence from the data is found to support the direct relationships between top-leadership support as well as external support and RBP practices, hence H5 and H6 are rejected.

[Insert Table 6.16 About Here]

Table 6.16. *The results of hypotheses testing*

	<i>Hypotheses</i>	<i>Path coefficient</i>	<i>Sig</i>	<i>Supported</i>
$LS \rightarrow RBPact$	H1a	0.523	$p < 0.001$	Yes
$LS \rightarrow RBPR$	H1b	0.442	$p < 0.001$	Yes
$RBPtrain \rightarrow RBPact$	H2a	0.411	$p < 0.001$	Yes
$RBPtrain \rightarrow RBPR$	H2b	0.072	ns	No
$BC \rightarrow RBPact$	H3a	-0.146	$p < 0.001$	Yes
$BC \rightarrow RBPR$	H3b	0.050	ns	No
$FUND \rightarrow RBPact$	H4a	-0.107	$p < 0.05$	Yes
$FUND \rightarrow RBPR$	H4b	-0.133	$p < 0.005$	Yes
$TLS \rightarrow RBPact$	H5a	-0.069	ns	No
$TLS \rightarrow RBPR$	H5b	-0.010	ns	No
$ES \rightarrow RBPact$	H6a	0.053	ns	No
$ES \rightarrow RBPR$	H6b	0.003	ns	No
$EC \rightarrow RBPact$	H7a	0.039	ns	No
$EC \rightarrow RBPR$	H7b	0.211	$p < 0.05$	Yes
$LS * RBPtrain \rightarrow RBPact$	H2'a	na	na	No
$LS * RBPtrain \rightarrow RBPR$	H2'b	na	na	No
$LS * TLS \rightarrow RBPact$	H5'a	na	na	No
$LS * TLS \rightarrow RBPR$	H5'b	na	na	No
$LS * ES \rightarrow RBPact$	H6'a	na	na	No
$LS * ES \rightarrow RBPR$	H6'b	na	na	No

Note. ns = Not significant. Na= Not applicable.

6.6. Qualitative results

The 20 manager and employee interviews were analyzed, and the key insights obtained are as follows:

6.6.1. *The perceived most important benefits of RBP.*

Almost interviewees when asked “*What do you see as the most important benefits of results-based planning in your organization?*” and “*Please provide some specific examples of how RBP and having clear objectives have improved specific programs in your agency?*” simultaneously mentioned output and outcome aspects of RBP. Specifically, they agreed that the application of RBP has some direct effects (outputs) such as increasing “participation of different stakeholders and different agencies and jurisdictions”, enhancing “linkage of performance targets, indicators and objectives” and “the link between planning and budgets”, and improving “the clarity of development objectives”, “the quality of plans”, and “the transparency and accountability” (outcomes). For example, one interviewee who is working for a central agency stated:

With the traditional planning, making any agency plans was our main tasks, the involvement of other units and of course, other stakeholders as well, was very limited...but with RBP there has been more involvement among organizations, individuals inside and outside our agency in our planning process, unlike previous planning which includes few members of the agency involved. Also, we know how to set organizational goals and objectives, and targets that are linked together more closely than before. No doubt, the quality of our plans is improving..(Interviewee C)

Similarly, among 137 responses for the same open-ended questions in the paper questionnaire, the most frequent answers are "increased quality of plans" (24.8 percent), "increased efforts to achieve output targets" (19.7 percent), "increased participation" (16 percent), and "increased objective clarity" (10.2).

Notably, some interviewees who are working in the agency's planning unit that enables them to have a broader insight of RBP benefits provided specific examples of the long-term outcomes of RBP in their agencies. An interviewee from the Department of Construction confirmed the benefits of RBP in improving public service quality to citizens in the locality:

...after one year of RBP application, we realized that the new tool [RBP] improved the construction licensing service and ...helped us allocate sufficient support and resources to our programs. In 2015, the implemented activities met about 80% - 90% of objectives. It was clear that the achievements were more than expected. (Interviewee O)

In the same vein, a manager of planning unit in the Department of Natural resources and Environment explained:

It [RBP] helps increase public service quality of land use right certificates to people in our province and contribute to reform initiative and the realization of province's five-year socio-economic objectives. (Interviewee D)

A senior expert from the Planning Department shared his opinion about the significant advantage of RBP in improving programs that were under his supervision:

Once again from my personal experience and observation, having said that we really get benefits from this approach [RBP]. Let's me tell you about the most recent program that I was in charge of, namely "Marine resources protection and development program". This program was one of the programs in order to implement the sector objective [agriculture] "Infrastructure development, resilience to natural disasters increased, natural resources protected and effectively and sustainably exploited." I think the application of the logical framework method, with technical skills to identify contents for different components, enables us to develop a set of specific indicators and targets with all needed actions to perform, responsibilities and method for monitoring and evaluation. For example, for the indicator "Percentage of the areas of marine conservation vs areas of exclusive economic zone," we set the specific target "By 2015, the areas of marine conservation vs areas of exclusive economic zone are

0.08 %." Thanks to having such clearer set of targets, we could put sufficient effort and resources like money, human resource to successfully achieve that target.
(Interviewee C)

Table 6.17 presents other significant quotes as the results of post-survey interview data analysis.

Table 6.17. *Outputs and Outcomes of Results-based planning: Quotes from Interviews*

<i>Themes</i>	<i>Quotes</i>
<i>Increased participation</i>	<p>"One of the benefits we obtained from RBP is enhancing the coordination among units within the department, and between our department and other concerned agencies in the entire sector's management system at all levels." (Interviewee E)</p> <p>"With the traditional planning, making any agency plans was our main tasks, the involvement of other units and of course, other stakeholders as well, was very limited...but with this planning approach (RBP) there has been more involvement among organizations, individuals inside and outside our agency in our planning process, unlike previous planning which includes few members of the agency involved (Interviewee P)</p> <p>"As working in Planning department for over ten years, from my observation, this new planning method (RBP) helps ...strengthen the participation of the involved parties as well. But these connections are not as strong as we expected." (Interviewee B)</p>
<i>Increased objective clarity</i>	<p>"Surely, we have got some significant improvements in our planning work (with RBP) compared to the previous planning, even some of my colleagues still keep their scepticism. For example, department's objectives are set more clearly than before..." (Interviewee G)</p> <p>"...With RBP, our organizational objectives are logically divided into specific targets that help improve the quality of our plans compared with previous plans, the department functions and duties are better linked to the socio-economic development goal of the province." (Interviewee B)</p> <p>"...Also, we know how to set development goals and objectives in the area we are working on, and targets that are linked together more closely than before..." (Interviewee C)</p>

<i>Increased quality of plans</i>	<p>"As working in Planning department for over ten years, from my observation, this new planning method (RBP) helps increase the quality of development plans in general...." (Interviewee B)</p> <p>"...and of course, it helps increase the general quality of our plans." (Interviewee O)</p>
<i>Increased the linkage between planning and budgets</i>	<p>"...Moreover, planning is better connected to budgeting than earlier." (Interviewee C)</p> <p>"As working in Planning department for over ten years, from my observation, this new planning method (RBP) helps increase ...linkage between planning and budgeting since resources are allocated accordingly to the planned outputs and intended results..." (Interviewee B)</p>
<i>Increased accountability and transparency</i>	<p>"Since M&E [monitoring and evaluation] framework was introduced and then becomes a compulsory part of our department's plans, our monitoring and evaluation work becomes easier compared to that in the previous period although M&E [monitoring and evaluation] knowledge and capacity among our staff is still weak." (Interviewee D)</p> <p>"...Ensure accountability by reporting on performance. Our top department leaders have started to use performance information to evaluate the performance of units and individuals, though to a limited extent." (Interviewee P)</p> <p>"I think our work with new planning approach contributes to ..., and also to the increased transparency in public expenditure." (Interviewee G)</p> <p>It (RBP) helps our leaders easier monitor planning progress and identify weaknesses and responsibilities in the performance of construction licensing and construction management." (Interviewee E)</p>
<i>Improved agency programs and functions</i>	<p>"Thanks to this new management tool, people have more opportunity to access public services, increasing the awareness of law enforcement in construction and reduce unlicensed construction and construction violation" (Interviewee O)</p> <p>"It was recognized that this planning method [RBP] could have great influence on enhancing the quality of work performance and service delivery to the people within the field under our management [land management] (Interviewee N)</p>

6.6.2. *The leadership roles and corresponding leadership styles by public managers during RBP implementation*

One of the research sub-objectives is to identify the leadership roles and styles of public managers in RBP implementation. Table 6.18 shows the key quotes to illustrate these results.

Table 6.18. *Leadership roles and leadership styles by public managers in RBP implementation: Quotes from interviews*

<i>Roles</i>	<i>Leadership styles</i>
<i>Lead staff to do RBP</i>	<p>“...you need to assign tasks to your staff, surely. In my case, I assign skilled and competent staff to do some key tasks, say identifying problems and development objectives or synthesizing collected data, for others those are less skillful they are in charge of collecting data from different sources [<i>transformational</i>] and every meeting I check in with them by asking them “How is everything going? What challenges do you have? Do you need any help and we are working on the problem together after that” [<i>transactional</i>] (Interviewee D)</p> <p>"...In the beginning, this planning approach (RBP) was introduced in our Department as a new task imposed by agency leaders. I assigned my staff tasks and closely monitored them to make sure they perform those tasks well, especially when not all of my staff are well trained and professional..." [<i>transactional, autocratic</i>] (Interviewee C)</p> <p>“Frankly, I don’t want to give any punishment to my subordinates, but I need to do in some cases cause my job here is leading people to accomplish all the unit tasks.” [<i>autocratic</i>] (Interviewee E)</p> <p>‘In my unit, when I find the data collected for analyzing problems within our unit jurisdiction is insufficient and unreliable, I may ask my subordinates to review the data collection process [<i>autocratic</i>]...' (Interviewee C)</p> <p>"I think acting as role models is very important..." [<i>transformational</i>] (Interviewee G)</p>
<i>Get staff and stakeholder</i>	<p>"...As you know, cause this planning method [RBP] requires the participation of different stakeholders, I directly conducted analysis with staff and different stakeholders such as representatives of planning unit, farmer association, relevant enterprises and so on to</p>

<i>involvement in RBP</i>	<p>determine sub-sector development goals and objectives...At the meeting, I encouraged participants to share different opinions and showed the respect for these ideas [<i>transformational</i>]. We discussed until a consensus was reached... (Interviewee G)</p> <p>"I always try to encourage my staff to share their opinion and think critically about ways that things can be done better [<i>transformational</i>]. By doing this, I think I can get their involvement more..." (Interviewee C)</p>
<i>Provide staff with the tools necessary to implement RBP</i>	<p>"I remind them to use different tools when doing their assigned tasks like objective trees, problem trees, SWOT analysis and so on I work with them in identifying areas that they feel need help, I coached them to get through it..." [<i>transactional</i>] (Interviewee D)</p> <p>"...Of course, I also gave him the good feedback [<i>transactional</i>] and provided good opportunities, for example, nominated him to participate in the conference or training courses oversea [<i>transformational</i>]" (Interviewee H)</p> <p>"...and ask the support from other units for my subordinate to complete the tasks" [<i>transactional</i>] (Interviewee E)</p> <p>"... I also ask my employees that do not hesitate to ask me for help if they have any difficulty during the implementation process..." [<i>transactional</i>] (Interviewee G)</p> <p>"I am always willing to help my subordinates whenever they ask, sending them to training courses and other provinces to learn about RBP implementation from their actual experiences, enable them to participate in various reform projects in order to improve their skills and working capability" [<i>transformational</i>] (Interviewee B)</p>
<i>Build broad support for using RBP to ensure its continuity</i>	<p>"I think you really see making sustainable RBP is difficult. For me, every year since we started using RBP I have kept giving different examples of benefits from RBP application not only in our department but also from other government agencies to get them continued use of RBP" [<i>transformational</i>] (Interviewee B)</p> <p>"...so, in order to sustain it (RBP) once it is in place, I allow my staff to coordinate with each other on ways to carry out RBP related tasks and leave them to do their task. In my own view, once you trust your staff, give them more freedom, they will perform their tasks more effectively [<i>transformational</i>] (Interviewee H)</p> <p>"we not only use knowledge and skills on RBP in making plans but also can use in doing our other daily work. Let's try and you can see" [<i>transformational</i>] (Interviewee G)</p>

As presented in Table 6.18, the qualitative results indicated four key downward roles of public managers in deploying RBP, along with corresponding leadership styles. Specifically, in order to lead their staff to do all RBP activities within their authorities, public managers can use a wide range of leadership styles such as setting out a list of performance and achievement guidelines for followers and rewards in terms of money, praise, and promotion can be expected for successful accomplishment; telling subordinates what has to be done or how to do; assigning tasks based on individual ability and needs; acting as role models, etc. Second, public managers get their staff and stakeholder involvement in the RBP process by giving followers positive feedbacks when they perform the assigned tasks well; giving followers a sense of empowerment and ownership; valuing the intellectual ability of followers. Third, they give staff the tools necessary to implement RBP via supporting and helping followers to ensure tasks are undertaken, providing feedback, advice, support, encouragement, and real opportunities to improve their followers' skills and abilities. Fourth, they need to build broad support for national plans using RBP to ensure its continuity and sustainability through demonstrating enthusiasm and optimism in creating a vision of the future, thus stimulating similar feelings with followers; showing dedication, trust, and confidence in the purpose.

The qualitative results also revealed that all these leadership styles (transformational, transactional, and autocratic) are demonstrated in the same individual public managers during RBP implementation, but to different extent and intensities.

6.6.3. The support for the positive relationship between combined leadership styles (transformational, transactional, and autocratic) and RBP practices

Most of the interviewees when being asked of the identification of the specific leadership behaviors that their superiors or themselves enacted that were important to the success of RBP commonly agreed that managers be effective in RBP deployment when they adopt flexible leadership styles and focus more on encouraging subordinates rather than forcing them. One interviewee as a deputy's head confirmed the need of

using a combination of different leadership styles, with the focus on transformational leadership styles in order to get better results of RBP:

This planning method [RBP] is still new for some employees though it has been applied to my agency for almost five years and many staff, even managers, see it as extra tasks, so that to get all staff involved in new planning approach and its better outcomes, from our unit's experience, managers need to change their leadership styles flexibly and should *encourage and motivate (transactional or transformational)* them rather than just *force (autocratic)* them to do it. (Interviewee E)

Supporting this view, an interviewee provided her explanation for the adoption of certain leadership styles while practicing her role as a unit head:

...as you may clearly know, according to the Decree of Provincial People's committee this planning method [RBP] is one of the tasks required to implement the department functions, and not any pecuniary rewards are used to encourage its application, but I try to encourage my staff by giving compliments if they do their assigned tasks well in our regular meetings (*transactional*) because as I observe almost employees see it as extra work and by doing so, they are more motivated to do it [RBP] and become more engaged in the planning process... I always try to encourage my staff to share their opinion and think critically about ways that things can be done better (*transformational*), but I think most importantly, I never just ask my subordinates implement RBP without doing nothing. I mean I do it with them...how to say, I try to be a good example for them (*transformational*) (Interviewee C)

Several interviewees in the process of this study firmly stated that though transactional and autocratic leadership styles are still common in Vietnam, autocratic style can no longer be based on, especially during the period of implementing reform initiatives such as RBP. Instead, the use of flexible leadership styles with more transformational behaviors is more relevant. For example, a non-managerial employee described his superior's leadership behaviors as follows:

...Hmm... I don't know how exactly I should describe leadership styles used by my superior when new planning method being implemented in my department. In fact, I feel that he does not display the same style. ...Say, during the first year of the new method [RBP]'s adoption maybe he thought we didn't have the competence needed to carry out it effectively, that's why he kept a watchful eye on us or to tell us exactly what or how to do it to avoid any mistakes (*autocratic*). But later on, he gave us more room to do this [RBP] (*transformational*) and encouraged participants to share different opinions and showed the respect for these ideas (*transformational*), *and* only intervened in our job whenever one unexpected thing happened (*transactional*)... I can consider my superior to be effective in new planning [RBP] deployment. (Interviewee N)

In the same vein, a unit head confirmed the importance of providing necessary support and real opportunities for subordinates to improve their skills (*transactional*) as well as giving them more freedom to act during RBP process (*transformational*) as he believes that “*this will enable staff to have more knowledge and skills and then, they become more confident, and the more confident they are, the more active and proactive they participate in RBP, and certainly RBP will be successful*” (Interviewee D)

6.6.4. Other qualitative results

Supporting the results obtained from quantitative analysis pertaining funding variable, one of interviewee as a planning expert who is from a provincial Department of Planning and Investment stressed that the lack of funding can be an explanation for the lack of needed data or low quality of such data used for identifying objectives which may lead to the negative influence on RBP outcomes:

You must clearly know, if there isn't enough funding to collect needed data, no one can make sure the quality and feasibility of plan objectives...For example, the unit managers and employees who are responsible for identifying the specific targets for the indicator “percent of householders in the province apply advanced technology in rice production” need to conduct surveys of farmers in the locality as well as meetings with stakeholders. If they don't have sufficient funding to do these activities, they may rely on the data of the previous years, and in that case, the targets are set using RBP may be not useful. (Interviewee B)

As predicted, bureaucratic culture leads to the decreased use of RBP activities. A unit head from a central agency explained this result as below:

I think this result reflects the reality of RBP implementation in many agencies now cause most employees tend to prefer to do what they are familiar with, even you and me may be not exceptional cases as well, all of us afraid of change, and it can be understandable if employees sometimes find a way to skip some certain necessary activities of RBP. (Interviewee C)

Inconsistent with expectation, statistic results do not provide evidence supporting the effect of top management support and external support on RBP practices. One of our interviewees, a planning expert, provided an explanation for this fact as follows:

This result did not surprise me. Very usual, most of the top leaders do not know much about RBP and they normally send their lower managers, mostly at unit or department level to training programs on RBP and after putting many efforts to get RBP adopted in the agency, they let their subordinates implement it mostly by themselves. (Interviewee G)

However, most interviewees reported the crucial role of top managers and external stakeholders such as international donors in introducing and getting RBP adopted in their agencies. One senior expert from a planning department shared that *“As for top leaders, they mainly demonstrate their strong support and high commitment to this new planning approach [RBP] publicly through their speeches in meetings or conferences, especially in front of international donors and higher management level...even one of our top manager used to strongly stress that "we should have adopted results-based planning 10-15 years ago", to be frank, thanks to these supports, this planning method has been adopted in our Directorate until now".* (Interviewee C)

With regards to training, all of our interviewees stressed the importance of training in improving the results of RBP. However, a senior planning manager shared his concern:

To date, all related training courses have been provided to civil servants through internationally funded projects, but the fact that the number of trained staff in each

agency is limited associating with frequent staff rotation. I am afraid one day, there is not enough competent staff to implement RBP...if so it is hard to maintain RBP for a long time. (Interviewee B)

Chapter summary

This chapter has presented in detail the qualitative and quantitative analysis and results of phase 2 and 3 of the study, with the focus on quantitative analysis techniques. For qualitative analysis, thematic analysis techniques were conducted, whereas Partial Least Squares Structural Equation Modeling (PLS-SEM) was used as the preferred analysis technique for the survey dataset. The PLS-SEM analysis started with the measurement model, followed by the structural models. These analyses assisted the researcher to reach the study's objectives:

- The identification of public managers' leadership roles and leadership styles adopted in RBP implementation. Specifically, in order to implement four key leadership roles of public managers during RBP practices, a combination of leadership behaviors can be adopted ranging from autocratic to transactional, and transformational leadership. Moreover, seven hypothesized relationships are significant, in which construct of combined leadership style (transformational, transactional, autocratic) has the strongest positive effect on RBP practices, followed by employee commitment to RBP, and training. In contrast, bureaucratic culture and funding constructs show their negative effects on RBP activities and RBP results, respectively.
- The examination of specific leadership behaviors that are most associated with the increased RBP results. These leadership behaviors include giving followers positive feedback when they perform tasks related to RBP well (*transactional*), acting as role models (*transformational*), giving followers real opportunities to improve their skills and abilities (*transformational*), etc. More significantly, among three components of combined leadership styles, transformational leadership has the greatest contribution to RBP outcomes.

The implications of these results are further discussed in the next chapter, Chapter 7: Discussion.

Chapter 7. Discussion and Conclusion

Introduction

This research discusses managerial leadership in the public sector or administrative leadership, specifically public managers' leadership styles during RBP processes. The main purpose of this study is to answer the key study question: *What is the impact of leadership styles by public managers on the practices of RBP?* and examine the specific hypotheses stated in Chapter 4. This study aims to (1) identify the leadership roles and styles of public managers in RBP implementation, (2) examine their specific leadership behaviors that are associated with the increased RBP. A framework from the literature review and empirical observations of current RBP in the Vietnamese context was developed and tested using mixed methods with foci on the survey. Quantitative data were analyzed using PLS-SEM technique, whereas qualitative data obtained from in-depth interviews were thematically analyzed and used to confirm or provide further explanation to the quantitative findings. In this chapter, the main research results, relating to the objectives outlined above are in-depth discussed, followed by theoretical and practical contributions, study's limitations, and future research suggestions.

7.1. Main findings

7.1.1. Objective 1: To identify the leadership roles and styles of public managers in RBP implementation

7.1.1.1. Leadership roles of public managers and their corresponding leadership styles in RBP implementation

The study finds support from the qualitative results for the identification of four key downward roles of public managers in deploying RBP, including leading, getting staff involvement, providing necessary tools, building broad support for RBP, along with corresponding leadership behaviors. Significantly, the study results confirm the coexistence of all these leadership styles (transformational, transactional, and autocratic) in the same individual public managers during RBP implementation, but to

different extent and intensities. This finding is consistent with many previous studies pioneered by Bass (1985) indicating that a leader can exhibit transactional and transformational leadership styles as both forms of leadership can be effective, even though these types of leadership will display in front of an individual in different results (Bass, 1985; 1998; Hemsworth et al., 2013; Newman, 2012; Nadler & Tushman, 1989; Simons, 1999, 2002). However, this study furthers the existing research by adding autocratic leadership besides examining transformational and transactional styles since this study takes into consideration the context where RBP is undertaken, and leadership styles are practiced by public managers.

It is widely perceived that autocratic leadership style is predominant in such a developing and communist country as Vietnam (Dao & Han, 2013; Ho, 2013; Pham, 2016). However, in fact, it is unarguable that the transformation of Vietnamese management system is gradually taking place and faces many challenges that require the transformation of both leaders and followers. Thus, this autocratic style can no longer be relied on, especially during the reform process, but it cannot be replaced completely and immediately by other leadership styles such as transactional and transformational. Instead, all that is required is a gradual shift in leadership styles among managers regarding autocratic leadership. The research findings find that during RBP implementation autocratic is used by public managers less frequently than both transformational and transactional leadership styles. This result therefore supports recent studies of Asian leadership styles (Jayasingam & Cheng, 2009; Jogulu, 2010), where the authors revealed that with the emergence of knowledge economy and the transformation of workforce, managers tend to lead in a transactional fashion (setting clear limits and expectations, more considerate) to their followers rather than more directive and commanding.

7.1.1.2. The relationship between leadership styles and RBP practices

The relationships between leadership styles and RBP practices find considerable support from quantitative evidence (H1a, b, H7b), supplemented by qualitative interviews. The quantitative results showed that combined leadership styles

(transformational, transactional, and autocratic) by public managers have direct, positive, and strongest relationships with RBP practices compared to the other organizational factors. These results are supported by some qualitative evidence, for instance, the confirmation among most of the interviewees of the connection between the perceived benefits of RBP such as improved quality of development plans, increased transparency and accountability, and improved agency programs and the role as well as certain combined leadership styles used by public managers. This research finding implies that in order to get the higher performance of RBP outcomes, the RBP adopting public agency should put more emphasis on the practice of leadership styles by its public managers, especially on the use of a combination of leadership styles ranging from transactional, autocratic to transformational rather than merely an individual style.

This current research supports Baesu and Bejinaru's (2013) and James's (2005) studies discussing the necessary leadership styles each manager should possess during the change process in order to face any challenge of change, and that though each manager is mainly characterized by a particular leadership style, they need to be aware of other style's opportunities as a crucial step towards applying what is best for each phase of change. This result is also consistent with the study's findings of Nadler and Tushman (1989), Simons (1999, 2002), Chen & Chen, (2005), Bass (1985), and Shamir and Howell (1999) indicating that both transformational and transactional leadership styles have positive relations with change and reforms.

More interestingly, even though less critical than that of transformational and transactional leadership styles, autocratic leadership styles still play a particular role in the successful implementation of RBP. However, this positive contribution of autocratic behaviors to RBP practices found in this study disagrees with the common perception that autocratic style is not suitable for change or reforms or even it has a negative relation with making change (Willey & Pepper, 2005). The explanation for the inconsistency is that the past studies maybe evaluate this leadership style separately, whereas this study considers it as a dimension of possible leadership styles adopted by

public managers during RBP processes. Another explanation comes from most of our interviewees who perceive their managers effective in deploying reforms such as RBP if they use a combination of different leadership styles flexibly. Also, most interviewees support the use of directive and commanding style by their superiors (autocratic styles), particularly during the initial years of RBP adoption, when not all employees are familiar with the new planning method and lack of competence. However, once the use of RBP is sustained, autocratic leadership style is not crucial in order to maintain the continuing use of RBP, and the managers can change to their preferable styles.

It is also apparent from the findings that employee commitment to RBP plays a mediating role between leadership styles and RBP results, demonstrating the importance of combined leadership styles (transformational, transactional, autocratic) in creating the commitment to RBP among employees, which in turn creates a positive influence on RBP outcomes. Indeed, in addition to the direct involvement in RBP implementation with their subordinates, by practicing these leadership styles, managers make their subordinate believe in the value of RBP and find the need of supporting RBP and feel a sense of duty to work toward RBP, which lead to the compliance with RBP and more participation in RBP processes, resulting in the increased RBP. In other words, leadership styles have not only direct effects on RBP activities and outcomes but also an indirect effect on RBP results via employee commitment to RBP.

This result is consistent with Nadler and Tushman's (1989) finding indicating that during change, both transformational and transactional leadership styles are complementary. Accordingly, transformational leadership provides a psychological focal point for followers which helps increase follower's commitment to change, whereas transactional leadership ensures compliance and consistency with the commitment generated by the transformational leadership behavior (Nadler and Tushman, 1989). Moreover, this result corresponds with Cheng et al.'s (2003) study revealing the positive effects of authoritarian or autocratic leadership on employee loyalty and commitment to the organization.

7.1.1.3. Control variables

Regarding control variables, there are several findings worth noting. RBP-related training has a direct and positive influence on the frequent use of RBP activities (H2a). This finding agrees with results from previous studies indicating the importance of training in developing and using results-based initiatives successfully (The Auditor General of Canada, 1996; Schraeder et al., 2005; Ohemeng, 2009; De Waal & Counet, 2009; Dzimbiri, 2008; Hung, 2015). H2b is not supported, implying that RBP-related training does not directly impact RBP outcomes. The direct influence of RBP-related training on RBP practices may be only limited to the improvement in implementing the necessary RBP activities, but not to the increased participation in RBP processes or increased accountability and transparency.

Bureaucratic culture has a direct and negative influence on the frequent use of RBP (H3a), indicating that bureaucratic culture may create the resistance to RBP that leads to the decreased use of RBP. This finding is consistent with the result from a study on organizational culture (Obgonna & Harris, 2000) discussing that an innovative culture supports and commits to innovation and development rather than bureaucratic culture. However, the very small total effect of bureaucratic culture on RBP outcomes (-0.028) implies that it is not an issue to RBP practices.

Funding has a direct and negative influence on RBP activities and outcomes (H4a,b). This negative relationship implies that the lack of funding for RBP deployment leads to less robust data which may weaken the linkages of objectives, performance indicators, and targets, as well as a decrease of stakeholder participation in the planning process, and quality of plans in general. The finding of this relationship is consistent with the study results from Chackerian and Mavima (2000), Fernandez and Rainey (2006), Cambridge Systematic et al. (2010), and Middleton and Regan (2015).

Our study predicted positive relationships between top leadership support and external support and RBP practices (RBP activities, RBP outputs, RBP outcomes).

Surprisingly, top-leadership support and external support have no direct relationships with all dimensions of RBP practices. The results disagree with findings from Ariyachandaras and Frolick (2008), Perrin (2002); Auditor General of Canada (2000), Tan and Zhao (2003), and Khan (2013) which suggest that top-management support and commitment, and external support play an essential role in successful implementation of results-based reforms in the public sector. This divergence may be due to these previous studies evaluating this relationship qualitatively, whereas this study assessed them quantitatively.

However, the finding regarding top leadership support is consistent with the fact that very often, top or senior managers are clearly and visibly involved mostly in RBP initiation, but not in its implementation. Some qualitative evidence in this study confirms that senior managers often empower their lower level management to work independently once RBP is officially adopted or in use, which enables lower managers to have more freedom of choosing leadership styles which can lead to effective implementation of RBP. This study is congruent with studies revealing that the role of senior managers is often demonstrated in the initiation of change, whereas their lower management level plays a crucial role during the implementation of change (Van de Voet et al., 2016; Van Dam et al., 2007; Allen et al., 2007; James, 2005).

It is noteworthy that such fading of the top and senior managers' leadership role in the implementation of reform such as RBP over time may lead to the decrease of long-term sustainability and effectiveness of reform. After a lot of attempts to make RBP adopted in their agencies, top managers' leadership seems to fade, even shifts to laissez-faire style, an extremely passive type of leadership (Den Hartog et al., 1996). This may lead to the similar adoption of leadership style among public managers, as it is of popularity that within the organization, managers tend to adopt leadership styles used by their superiors (Stefanovic, 2007).

With regards to external support, an explanation for its insignificant relationships with RBP practices is given by a planning expert "*In my own view, it may be because*

that the role of international support is limited to the initiation phase, this means that once RBP has been adopted in a certain agency, they are no longer involved.”

Also, our study predicted that RBP-related training, top leadership support, and external support as potential moderating variables of the leadership styles-RBP practices relationship. However, no support for a significant moderating effect of these factors on the relationship between LS and RBPP was found, implying that these relationships are constant and not dependent on the values of a moderating variable. This finding is understandable as these potential moderating effects have never been examined in the previous studies.

7.1.2. Objective 2: To identify the specific leadership behaviors by public managers that are associated with the increased RBP

A closer examination of each component of combined leadership styles in the final research model identifies certain leadership behaviors practiced by public managers that are most associated with the increased RBP outcomes. The results of path coefficients, IPMA of the indicators of combined leadership style construct, the assessment of the adjusted R^2 value (R^2_{adj}) used for comparing PLS-SEM results involving the two models with transformational leadership styles construct included and excluded show that transformational leadership styles increase RBP results. This finding also implies that the use of a combination of traditional leadership styles (transactional and autocratic) and modern leadership (transformational) by public managers could lead to higher results of RBP practices rather than using only conventional leadership styles.

Specifically, the specific leadership behaviors that are most associated with the increased RBP outcomes include giving followers positive feedback when they perform tasks related to RBP well (*transactional_contingent reward*), acting as role models (*transformational_idealized influence*), giving followers real opportunities to improve their skills and abilities (*transformational_individualized consideration*). The results are supported by qualitative findings. In addition to these leadership behaviors,

another leadership behaviors were frequently mentioned in most interviews that include telling employees precisely what and how to do (*autocratic*), showing the trust and confidence in employees (*transformational*), monitoring follower performance and tracks errors during the planning process (*transactional*), intervening in employee's job whenever one unexpected thing happened (*transactional*). Interestingly, the importance-performance matrix analysis (IPMA) suggests that in order to enhance the performance of leadership styles construct, the following leadership behaviors should be paid more attention: showing the trust and confidence in employees when assigning tasks to them in RBP processes (*transformational_inspirational motivation*), seeking different perspectives when solving problems (*transformational_intellectual stimulation*). This finding is supplemented by evidence from post-survey interviews that the RBP adopting agencies can obtain real benefits of RBP through the flexible use of different leadership styles by its managers, with more focus on transformational and transactional rather than autocratic leadership behaviors.

This result is consistent with the study's findings of Nadler and Tushman (1989), Simons (1999, 2002), Chen & Chen, (2005), Bass (1985), and Shamir and Howell (1999) as it suggests that both transformational and transactional leadership styles have positive relation with change and reforms. More importantly, this research has taken those studies further by identifying which specific leadership behaviors by public managers that are most relevant to the successful implementation of reforms such as RBP in a developing country context, and which leadership behaviors should be focused more in order to get higher results of reform. Interestingly, the leadership behaviors suggested to be more emphasized mostly are transformational, strongly supporting the suggestions of many recent studies on the increased use of transformational leadership styles as it is widely considered as an appropriate leadership style for dealing with organizational changes or reforms (e.g., Van Wart , 2013; Van de Voet , 2014; Bass & Riggio, 2006; Moynihan et al., 2011). However, the research findings also indicate that certain traditional leadership behaviors such as providing followers positive feedback when they perform assigned well (*transactional*) or telling subordinates what has to be done and how to do it (*autocratic*) are still

commonly used by almost public managers and regarded as effective in RBP implementation.

7.2. Contributions to theory

7.2.1. Contributions to performance management theory

This study contributes to performance management literature by examining and providing empirical evidence of the positive relationships between leadership styles of public managers and RBP practices in a context of a developing country. As well documented in the literature on performance management implementation, leadership is identified as one among the most critical factors affecting the implementation and use of performance management (Wang & Berman, 2001; Neely et al., 2002; Verbeeten, 2008; De Waal, 2007; De Waal & Counet, 2009; Moynihan, Pandey, & Wright, 2011; Alnaboldi et al., 2015). The present study supports such growing consensus but extends those findings by adding a thorough analysis of the effects of leadership styles on performance reforms. Notably, this study provides empirical support to the Moynihan, Pandey and Wright's (2011) finding, perhaps one among very few studies examining the influence of leadership styles on reforms such as performance management. However, while Moynihan et al.'s (2011) study only investigates the indirect effects of transformational leadership styles on performance reforms, the current research furthers this study by identifying a combination of leadership styles (transformational, transactional, autocratic) by public managers that are positively, both directly and indirectly, associated with the successful implementation of performance reforms in a developing country context.

This study also contributes to the public management literature by providing evidence that RBP- an element of NPM - is in use with positive results in a developing nation, supporting literature that advocates results-based reforms (Spann, 1981; Osborne & Gaebler, 1992; Moynihan & Pandey, 2005, 2011; Politt, 2001; World Bank, 2011; OECD, 2013; Berman, 2011; Gao, 2015). Indeed, this study examines the use of RBP in national planning processes- a common results-based management technique

that has been widely adopted in many developing countries with an expectation that it will help improve the effectiveness of national development planning (NDP). While NPM has been declared to be dead many times in the West (Dunleavy et al., 2006), and skepticism remains about NPM's relevance for developing countries, many of its core features are alive in both developed and developing countries and its impact and adoption are still strong in many developing settings (Brinkerhoff et al., 2015; Torneo et al., 2017). In such a developing country as Vietnam, where NDP is still a vital instrument of policy-making, furthering outcomes, and accountability for outcomes and transparency is essential to on-going results-based public sector reforms. Despite initial promising results of RBP, much still needs to be done to overcome the remaining challenges to RBP. Much still needs to learn about why NPM and its elements achieve success in some developing countries, but less so in others (Mongkol, 2011). We think that leadership, while not a panacea for all problems, is a contributing factor.

Additionally, this research offers a framework of how different leadership styles practiced by public managers (transactional, transformational, autocratic) and other organizational factors (i.e., organizational culture, training, financial resource, and employee commitment) simultaneously affect RBP practices. By offering public organizations insight into the specific factors as a mean of furthering RBP with leadership concentration, this study has the potential to help increase the chance on successful implementation and widespread use of results-based reforms in developing countries.

7.2.2. Contributions to public leadership theory

Another significance of this study lies in focus on the role and leadership styles of public managers in deploying reforms such as RBP. As predominantly discussed in the literature, top leadership support and involvement is considered as one among key variables most certainly related to the successful implementation of performance management reforms (GAO, 2002; Perrin, 2002; Binnendijk, 2000; Auditor General of Canada, 2000; Mayne, 2007; Wholey, 1997, 1999; Curristine, 2005). This study advances studies of public leadership in developing countries by clarifying leadership

roles of non-senior public managers, who commonly possess potential capacity to make reform initiatives work effectively and providing a piece of evidence that transformational and traditional leadership (transactional and autocratic) do coexist in the public organizations during RBP implementation.

Significantly, the study enriches public leadership literature by focusing on specific leadership styles by public managers during RBP implementation. We argue that conventional leadership involves providing directions and asking for compliance (autocratic) and providing followers positive feedback when they perform assigned tasks well (transactional) that are necessary but insufficient. Our findings find that acting as role models, giving followers real opportunities to improve their skills and abilities, showing the trust and confidence in employees, and seeking different perspectives when solving problems (transformational) are also needed which make RBP effective and realize the real benefits of RBP. By these findings, the study also offers empirical support to the theory of leadership behavior (Yukl & Van Fleet, 1992; Stewart, 1976, 1982; Bass, 1985, 1990; Yukl, 1989; Podsakoff et al., 1984) and the theory of situational leadership (Hershey & Blanchard, 1988; Fiedler, 1970; House et al., 1971), suggesting that different leadership styles can be adopted by the same leader in different situations.

In a broader context, this study supports increasing research about the nature and transformation of leadership in developing countries (Jayasingam & Cheng, 2009; Jogulu, 2010). First, the study shows that as most of developing countries including Vietnam are in the transformation period of both their management system and public managers' leadership, the incorporation of modern approaches such as transformational leadership with traditional leadership is more appropriate for furthering reforms such as RBP. Although autocratic leadership is no longer mainly relied upon by public managers in these countries, it still plays a certain role in the success of reform implementation. In other words, traditional leadership is not to be replaced, but complemented by modern styles. Second, our results indicate that public agencies need for more leadership by lower-level managers- non-senior public

managers due to their primary importance in the success of RBP compared to the other organizational factors.

7.3. Contributions to practice

Given the uneven RBP implementation and adoption, many public organizations and practitioners are concerned about the real benefits obtained from the use of RBP in national development planning processes. This study provides evidence that the adoption of certain combined leadership styles among public managers most effects RBP implementation and its outcomes. Indeed, implementing RBP will not by itself bring benefits as expected, but the actual use of it by management. The extent to which public managers facilitate and support employees in RBP implementation is vital in achieving better results. Therefore, public organizations should pay more focus on leadership styles by their managers in order to get better outcomes of reforms such as RBP.

Besides, this research provides public organizations with knowledge of necessary leadership styles of public managers for implementing reforms such as RBP. By evaluating the three leadership elements separately, this study offers more specific suggestions to public organizations and their managers regarding the adoption of leadership styles during RBP implementation. Accordingly, the following leadership styles public managers should practice in order to achieve better results of RBP: acting as role models, giving followers real opportunities to improve their skills and abilities, showing the trust and confidence in employees (*transformational*); giving followers positive feedback when they perform tasks related to RBP well, monitoring follower performance and tracks errors during the planning process, taking corrections whenever one unexpected thing happened (*transactional*); telling employees exactly what and how to do (*autocratic*). Note that public managers themselves should adopt these leadership styles flexibly, with a more focus on transformational leadership behaviors to maximize the chance of success of RBP.

Another significant practical implication relates to the recruitment or development (e.g., training) of public managers with more transformational leadership styles. Managerial evaluation exercise and screening selection programs and strategies for recruitment of potential managers should include elements of transformational leadership. It is evident that transformational leadership can be trainable (Barling et al., 1996; Kelloway et al., 2000). Thus, transformational leadership elements should be focal in the public leadership training programs. Based on the findings of this research, the following transformational elements can be put more focus: acting as role models (*idealized influence*), giving followers real opportunities to improve their skills and abilities (*inspirational motivation*) showing the trust and confidence in employees (*inspirational motivation*), seeking different perspectives when solving problems (*intellectual stimulation*). In addition, as study results indicate the common use of some certain traditional leadership behaviors such as providing followers positive feedback when they perform assigned well (*transactional*) or telling followers what has to be undertaken and how to accomplish it (*autocratic*) among public managers that are perceived as effective in RBP implementation, public managers should be taught how to shift leadership style flexibly. In other words, they should be aware of how to choose leadership styles for a certain situation to benefit from context characteristics.

The research also offers public organizations some useful suggestions on how to get a better result of RBP besides paying attention to public managers' leadership styles. The findings of this study can be very helpful in developing certain training programs to increase the awareness among managers and employees in the public sector of RBP. To be specific, their capacity is needed to develop through providing more training, and more importantly, the quality of provided training should be ensured. In doing so, courses on results-based management with fundamental knowledge and skills of this approach, a considerable amount of time, and the participation of knowledgeable, skillful, and experienced instructors should be part of training or re-training programs for civil servants at all levels. Also, some key actors who are responsible for public servant training and development (e.g., in Vietnam,

Vietnam National Academy of Public administration) should be the pioneer in reforming the training system for public servants.

As an additional confirmatory component, respondents were asked to comment on the ways they considered important to ensure top leadership support to RBP. Most of the interviewees confirmed the importance of increasing top managers' awareness of RBP. One of the comments suggests that:

... Top leaders should seriously participate in training courses on RBP even though it is tough to get them taken such training. However, if RBP is put into the national curriculum in the training and re-training of civil servants, it will be easy to persuade leaders to adopt RBP even though they don't receive any financial support from international donors.

In addition, the continuity of active and proactive leadership from both the top and lower levels at all stages of results-based reforms is needed to ensure the sustainability of reform. Vietnamese public agencies also need to consider more seriously their capacity to devote resources to RBP as lack of funding for its implementation often leads to the decrease or failure in achieving desired RBP outputs as well as outcomes.

Last but not least, towards a “whole-of-government managing for results”, each government in the developing world should start with improving its national development planning through the use of RBP with more involvement of non-senior public managers in this process, and then integrating into all other stages of the public sector management (programming, budgeting, implementation, and monitoring and evaluation).

7.4. Study Limitations

All studies have limitations. These are categorized into: (1) the limitations of the research instrument, (2) the limitations of data, and (3) the limitations of the conceptual model.

First, as our study uses questionnaire methodology, the issue of common method bias should be considered. "Hard Measures" are not available for our study topic and this study relies on perceptual data. Most of the measures were developed for the purpose of this study based on the previous research coupled with observations of existing contexts of RBP. Therefore, there remains much to be done to have more refined measures. For example, though the newly-developed measures of RBP practices were validated through pre-interviews, pilot test, and factor analysis, opportunities for further refinement exist. Having said that it is crucial to include the measures of different dimensions of RBP to better represent the reality of how RBP is implemented in practice. However, the survey instruments for RBP practices asking respondents to evaluate the frequency and benefits of RBP in their organizations could be biased.

To minimize the possibility of measurement errors, this research conducted a careful research design with pre-survey interviews and questionnaire testing and pilot survey. Importantly, in the context of this study, our analysis uses employee perception that can minimize the subjectivity of data (see Ittner & Larcker, 2001; Pandey, 2017). Also, we conducted a test for common method bias in PLS using Lindel and Whitney's (2001) marker variable approach. The maximum shared variance with the other variables of marker variable is only 6.86 % ($.262^2$), that shows CMV is not a significant concern in our data. Overall, almost possible limitations involving surveys which have been discussed recently (see Moser & Kalton, 2017; Coughlan et al., 2009; Stern et al., 2014) were considered and addressed in our research.

Second, our data were collected in Vietnam- a one-party and centralized state with its unique and complex planning system, therefore the findings may not be transferable to other countries. It also includes in its scope the public agencies which are involved in development planning processes and have been operating RBP for at least two years (go-live phase). In other words, the study focuses on the implementation stage of RBP, but not initiation stage. Also, it mainly examines middle managers' leadership styles, but not to that of the top or senior managers. In addition, the analysis

of “combined leadership style” does not seek to determine which style is most determining, but only that all leadership styles are (however, statistical results do show the relative importance of each). Also, that analysis of “combined leadership style” does not seek to determine which mix is most determining as different tasks in RBP may require different emphases, even though the results suggest specific leadership behaviors public managers can use to get higher outcomes of RBP. Another limitation is that the researcher takes the stand as a protagonist of NPM-type reforms when studying RBP, the evaluation of RBP practices may not be comprehensive.

Another source of concern may be the selection of snowball sampling methods. This choice may limit the generalizability of the findings towards all the public sector due to the absence of random selection of samples (Brewer & Miller, 2003; Atkinson, 2001; Dudovskiy, 2016). However, this research was carefully designed and followed strictly sampling procedures suggested by the previous researchers (Heckathorn, 1997; Atkinson, 2001). More significantly, the RBP adopting agencies selected for this study represent various types of public organizations (line department, general-purpose local government) and different government levels (central, local). In addition, it is noteworthy that all Vietnamese public agencies operate in a bureaucratic structure with highly formalized processes and procedures, and strict reporting requirements. Therefore, it can be said that the snowball sampling method selected for this study might approximate to random sampling, thus yielding unbiased samples.

Third, the research model of this study could be considered as complex as it includes a large number of constructs with both reflective and formative constructs and mediating variables. Given modern PLS-SEM technique is relevant to deal with such complex model, additional constructs such as the competence of planning unit that may affect RBP practices and the extent to which RBP activities are implemented that may provide a better insight into RBP in practice. Further, the possible dimension of RBP practices, RBP impacts, was also not included in the research model. This study focuses on outputs and short-term outcomes of RBP (i.e., improved planning function), but not on RBP impacts (e.g., increased organizational performance; achievements of local and

sector development objectives) due to the universal difficulties in evaluating long-term outcomes of reform.

7.5. Future research suggestions

Despite the limitations, the study offers several interesting and promising findings, and it does provide several opportunities for subsequent research: (1) the opportunities for further refinement of measures, (2) the opportunities for conducting more specific and longitudinal study on the practices of RBP with the use of a larger sample size and the focus on the role and styles of both senior and lower managers, (3) the applicability of the findings from this study to the whole Vietnamese public sector as well as other developing settings which have the same conditions as Vietnam.

Firstly, since some measures of study constructs were newly developed, significantly RBP practices-key dependent variable based on the literature review and practical observations in the context of Vietnam, it would be of interest if the validity and reliability of these measurements are more rigorously tested in the future studies. For example, future research should develop the measures that differentiate RBP outputs and RBP outcomes. Moreover, as this research did not evaluate the degree to which RBP activities are implemented in practice as well as long-term outcomes of RBP (impacts), future research could add these dimensions to the existing measures of RBP's two dimensions (the frequency of RBP activities, RBP results) in their assessment of RBP practices. In other words, this avenue of future research could focus on the development and refinement of constructs that better represent the actual implementation and use of RBP.

Secondly, as this study consisted of the evaluation of the leadership roles and styles adopted by non-senior public managers, future research could include the similar assessment of senior managers. In addition, as the primary objective of this research is to investigate the relationship between leadership styles and RBP practices with foci on the implementation stage of RBP, even though this study conducted qualitative research (pre- and post-survey interviews) as a supplement to quantitative research

(surveys), neither of these two key variables was examined in very depth and breadth. Hence, more specific and longitudinal research on the practices of RBP in developing settings will provide us with a deeper understanding of RBP itself and the determinants of RBP practices including leadership styles.

For example, future research could examine the application of RBP including all stages (initiation, implementation, sustaining) in specific public agencies that have experienced RBP (go-live phase) for more than five years instead of at least two years as discussed in this research, and then identify which leadership styles are adopted by both senior and lower managers corresponding to each stage and make comparisons, if possible. Furthermore, another future research avenue could take the stand as a detractor of NPM-type reforms to research RBP practices and its relationships with organizational factors including leadership and then compare the results with this study's findings. Also, a study that seeks to determine the mix of leadership styles that is most determining during RBP implementation would be of great interest.

Thirdly, there are several possibilities for the application of this study's findings. One obvious possibility is these findings can be applied in other developing settings which have the same conditions as that in this study and then a comparison of the findings across contexts can be conducted. In addition, future studies could include a larger number of Vietnamese public agencies in their sample to empirically test the generalizability towards the whole public sector of the study's findings.

Conclusion and closing remarks

Despite the mixed and varied assessment of the success of results-based reforms such as RBP, public organizations in developing countries including Vietnam continue to implement RBP as an attempt to improve their planning functions as well as organizational performance, and transparency. Indeed, results-oriented reform is introduced over and over again regardless of the fact that it never seems to perform remotely as originally expected and stated (Politt & Bouckaert, 2017). Also, there is no systematic and official review of results of the reforms such as RBP in Vietnam, as

often in many countries (Wong, 2013). Undeniably, the long-term outcomes of such reforms can be mixed, but each country is somewhere on the spectrum of these results. The fact this does not change the theoretical promise of results-based reforms, especially when we are living in the era of globalization that poses increasing pressure to adopt such new management approach, as well as growing demands for greater accountability, transparency, and efficiency in the allocation and use of public resources (Chittoo et al., 2009; Garcia Moreno & Lopez, 2010).

In this study, we started with a premise of the critical role of managerial leadership in the practice of RBP-type planning. This research explores the relationship between leadership styles by non-senior public managers and RBP practices with an expectation that the study results could enrich the literature as well as improve the way of RBP adoption currently used in practice. This study used mixed methods (surveys and in-depth interviews), with foci on the use of a survey and hypotheses. The survey data collected from 15 Vietnamese public agencies which have been implementing RBP since the mid-2000s, were analyzed using PLS-SEM.

The research addressed the question on the impact of leadership styles by public managers on the practices of RBP. Specifically, two major objectives of the research set in Chapter 1 were met:

- *Identify the leadership roles and leadership styles of public managers in RBP implementation.* Four key downward roles of public managers in deploying RBP were identified, including leading, getting staff involvement, providing necessary tools, building broad support for RBP, along with corresponding leadership behaviors. The study results indicate the coexistence of all three leadership styles (transformational, transactional, and autocratic) in the same individual public managers during RBP implementation, but to different extent and intensities. More importantly, the results show that combined leadership styles (transformational, transactional, and autocratic) by public managers have direct, positive, and strongest relationships with RBP practices compared to the other organizational factors.

- *Identify the specific leadership behaviors that are associated with the increased RBP outcomes.* Both quantitative and qualitative results show certain specific leadership behaviors practiced by public managers that are most associated with the increased RBP outcomes, which mostly are transformational and transactional behaviors.

The primary theoretical contribution of this study is the provision and examination of empirical evidence of the relationships between leadership styles of public managers and RBP practices in a context of a developing country. Meanwhile, it makes a significant contribution to practice by offering public organizations with knowledge of necessary leadership styles of public managers for implementing reforms such as RBP.

To sum up, the Vietnamese public sector is in the transformation of its planning system, from input-oriented toward results-based planning that also requires the transformation of leader-follower interactions. This research provides an insight into how leadership styles adopted by Vietnamese public managers affect the implementation and use of reform initiatives such as RBP. Meanwhile, the Western literature mostly discusses transformational leadership as a critical element of the successful implementation of reforms; this study shows that in a context of a developing country as Vietnam, autocratic leadership still plays a particular role in the success of reform implementation, even though it is no longer predominant as in the past. Particularly, since the transformation is gradually taking place and faces many challenges, the incorporation of modern approaches such as transformational leadership with traditional leadership (transactional, autocratic) is more appropriate for furthering reforms such as RBP.

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Appendixes

Appendix A. Interview protocols and lists of interviewees



Project title: The impact of public managers' leadership styles on results-based planning practices in Vietnam

INFORMATION SHEET FOR PARTICIPANTS⁷

Thank you for your interest in this project. Please read this information before deciding whether or not to take part. If you decide to participate, thank you. If you decide not to take part, thank you for considering my request.

Who am I?

My name is Pham Ngoc Ha and I am a PhD student in Public policy at Victoria University of Wellington. This research project is work towards my thesis

What is the aim of the project?

This project aims at investigating the impact of leadership styles by public managers on the implementation and use of results-based planning in the Vietnamese public sector. Based on this study finding, the research expects to contribute to the development of results-based reforms in Vietnam.

This research has been approved by the Victoria University of Wellington Human Ethics Committee.

⁷ Retrieved from <https://www.victoria.ac.nz/research/support/research-office/ethics-approval/human-ethics/template-documents/information-sheet-and-consent-form-templates-for-interviews.docx>

How can you help?

If you agree to take part I will interview you in a public place, such as a café. I will ask you questions about your experiences. The interview will take around 45 minutes. I will record the interview and write it up later. You can stop the interview at any time, without giving a reason. You can withdraw from the study up to four weeks after the interview. If you withdraw, the information you provided will be destroyed or returned to you.

What will happen to the information you give?

This research is confidential. I will not name you in any reports, and I will not include any information that would identify you. Only my supervisors and I will read the notes or transcript of the interview. The interview transcripts, summaries and any recordings will be kept securely and destroyed three years after the research ends.

[OR]:

I understand that the research is not confidential and I agree to be named in the final report.

[OR]:

I am aware that I will not be named in the final report, but my organisation will be named (and I have the authority to agree to this on behalf of the organisation).

What will the project produce?

The information from my research will be used in my PhD thesis. You will not be identified in my report. I may also use the results of my research for conference presentations, and academic reports. I will take care not to identify you in any presentation or report.

If you accept this invitation, what are your rights as a research participant?

You do not have to accept this invitation if you don't want to. If you do decide to participate, you have the right to:

- choose not to answer any question;
- ask for the recorder to be turned off at any time during the interview;

- withdraw from the study up until four weeks after your interview;
- ask any questions about the study at any time;
- receive a copy of your interview recording (if it is recorded);
- read over and comment on a written summary of your interview;
- agree on another name for me to use rather than your real name;
- be able to read any reports of this research by mailing the researcher to request a copy.

If you have any questions or problems, who can you contact?

If you have any questions, either now or in the future, please feel free to contact either:

Student:

Name: Pham Ngoc Ha

University email address:

Ha.ngocpham@vuw.ac.nz

Supervisor:

Name: Prof. Evan Berman

Role: Primary supervisor

School: Government

Phone: +64-4-463-5044

Evan.Berman [@vuw.ac.nz](mailto:Evan.Berman@vuw.ac.nz)

Human Ethics Committee information

If you have any concerns about the ethical conduct of the research you may contact the Victoria University HEC Convener: Associate Professor Susan Corbett. Email susan.corbett@vuw.ac.nz or telephone +64-4-463 5480.



Project title: The impact of public managers' leadership styles on results-based planning practices in Vietnam.

CONSENT TO INTERVIEW⁸

This consent form will be held for five years.

Researcher: Pham Ngoc Ha, School of Government, Victoria University of Wellington

- I have read the Information Sheet and the project has been explained to me. My questions have been answered to my satisfaction. I understand that I can ask further questions at any time.
- I agree to take part in a (video/audio) recorded interview.

I understand that:

- I may withdraw from this study up to 4 weeks after the interview and any information that I have provided will be returned to me or destroyed.
- The information I have provided will be destroyed three years after the research is finished.

⁸ Retrieved from <https://www.victoria.ac.nz/research/support/research-office/ethics-approval/human-ethics/template-documents/information-sheet-and-consent-form-templates-for-interviews.docx>

- Any information I provide will be kept confidential to the researcher and the supervisor. I understand that the results will be used for a PhD report and a summary of the results may be used in academic reports and/or presented at conferences.
- My name will not be used in reports, nor will any information that would identify me.

Or I wish

- I consent to information or opinions which I have given being attributed to me in any reports on this research: Yes ☐ No ☐
- I would like a copy of the transcript of my interview: Yes ☐ No ☐
- I would like a summary of my interview: Yes ☐ No ☐
- I would like to receive a copy of the final report and have added my email address below. Yes ☐ No ☐

Participant's signature: _____

Participant's name: _____

Date: _____

Contact address: _____

PRE-SURVEY INTERVIEWS - PHASE 1

List of interviewees

Table A1. *List of interviewees for phase 1*

	<i>Interviewees</i>	<i>Positions</i>	<i>Organizations (Codes)</i>
1	Mr A	Employee	Department of Natural Resources and Environment, Lao Cai province (DL2)
2	Mrs B	Planning expert	Department of Planning and Investment, Thua Thien-Hue province (DH4)
3	Mr C	Division Head	Directorate of Fisheries, Ministry of Agriculture and Rural development (DFA1)
4	Mr D	Division head	Department of Agriculture and Rural Development, Hoa Binh province (DHB1)
5	Mrs E	Division Head	Department of Livestock production, Ministry of Agriculture and Rural Development (DLA2)
6	Ms F	Planning expert	Department of Planning and Finance, Ministry of Agriculture and Rural Development (DPA3)
7	Mrs G	Division Head	Department of Planning and Investment, Hoa Binh province (DPHB6)
8	Mr H	Division Head	Department of Planning and Investment, Lao Cai Province (DPL6)
9	Mr I	Employee	Department of Livestock production, Ministry of Agriculture and Rural Development (DLA2)
10	Mr K	Employee	Department of Agriculture and Rural Development, Hoa Binh province (DHB1)
11	Ms J	Employee	Directorate of Fisheries, Ministry of Agriculture and Rural Development (DFA1)
12	Mr M	Employee	Department of Education and Training, Thua Thien- Hue province (DH1)

Interview questions

The following interview questions were used in phase 1. The interviews seek to verify existing proposed relationship between leadership and RBP practices in the conceptual framework and identify any additional relationships.

The 12 participants were asked to answer the following questions.

[General questions]

1. What is your current role/position?
2. How long have you been working for your current agency?
3. How long have you been familiar with the RBP?

[Main questions]

RBP practices

4. What did your unit/department actually implement RBP?
5. What did you actually do during planning processes? Please give a specific example;
6. From your own view, what do you see as benefits of results-based planning in your organization?

Leadership styles

7. How was leadership done? Please describe specifically.
8. Did you communicate RBP as a new opportunity for your organization or unit to your subordinates? If yes, how did you do?
9. How did you engage your staff or colleagues to make them practice RBP?

10. Did you use rewards to make your subordinate implement RBP? For example, compliments, giving positive feedback, wage bonuses, education, and promotions. If so, which kind of rewards do you usually use?

11. Did you use sanctions to make your subordinate implement PMS? For example, informal or formal reprimands?

Other factors affecting RBP adoption

12. How did your employee see RBP?

13. What are the main factors affecting RBP adoption in your agency?

[Wrap-up]

14. Can you suggest me if there is anyone else I can talk in this area?

15. Would you like to add anything to our conversation?

Thank you for your participation. All your responses are kept confidentially. A copy of the report will be sent to you if requested.

FOLLOW- UP INTERVIEWS - PHASE 3

List of interviewees

Table A2. *List of interviewees for phase 3*

	<i>Interviewees</i>	<i>Positions</i>	<i>Organizations (Codes)</i>
1	Mrs B	Planning expert	Department of Planning and Investment, Thua Thien-Hue province (DH4)
2	Mr C	Division Head	Directorate of Fisheries, Ministry of Agriculture and Rural Development (DFA1)
3	Mr D	Division head	Department of Agriculture and Rural Development, Hoa Binh province (DHB1)
4	Mrs E	Division Head	Department of Livestock Production, Ministry of Agriculture and Rural Development (DLA2)
5	Mrs G	Division Head	Department of Planning and Investment, Hoa Binh province (DHB6)
6	Mr N	Employee	Department of Natural Resources and Environment, Lao Cai province (DL2)
7	Mr O	Employee	Department of Construction, Lao Cai province (DL1)
8	Mr P	Employee	Quang Dien district's People committee, Thua Thien-Hue province (PCH3)

Interview questions

The following interview questions were used in phase 3. The interviews seek to provide further explanation for the quantitative results.

RBP practices

1. What do you see as the most important benefits of results-based planning in your organization?
2. Please provide some specific examples of how RBP and having clear objectives have improved specific programs in your agency?

Leadership styles- RBP practices

3. Which tasks of leadership or leadership behaviors did you undertake that were important to the success of RBP? Please provide more detailed description of those tasks/behaviors and explain why you chose them?
4. In your own view, what are requirements for public leaders/managers to implement RBP successfully?

Other factors affecting RBP adoption

5. What are the main barriers to the application of RBP in your agency? Please describe how to address these barriers?
6. Do you believe that top leadership affects RBP implementation? If so, what do you think about the study finding that there is no direct relationship found between top-leadership support and RBP practices?
7. Do you think that external support (e.g., international donor support) is important to the successful implementation of RBP? If so, what do you think about the study finding that there is no direct relationship found between external support and RBP practices?

[Wrap-up]

8. Would you like to add anything to our conversation?

Thank you for your participation. All your responses are kept confidentially.

Appendix B. Pre-survey interview data summary

Table B1. *Pre-survey interview data summary*

Themes	Questions	Interviewees' quotes (Examples)
RBP activities	<p>Q4. What did your unit/department actually implement RBP?</p> <p>Q5. What did you actually do during planning processes? Please give a specific example</p>	<ul style="list-style-type: none"> Planning procedure (A, C, G, K, J) <p><i>"It [RBP] is used in planning work in the agency including strategic planning [sectoral development plans] and operational planning [agency and unit plans]. (A)</i></p> <p><i>"Each unit follows basic steps described in planning manual provided by planning unit of the agency such as identifying objectives, targets associated with resources. (C)</i></p> <p><i>"a planning core group including representatives from all units within the department was established". (K)</i></p> <p><i>"use some forms like the annual development plan log frame at unit/division, the M&E [monitoring and evaluation] framework, the structure of plans in text, and the estimate of budget" (J)</i></p> <ul style="list-style-type: none"> Set objectives, indicators, targets (A, B, C, D, E, G, H, K, J) <p><i>"start with collecting statistical data and socio-economic data and then identifying the key remaining problems in their subsectors, setting development subsector objectives with specific indicators and targets." (A)</i></p> <p><i>"some basic planning steps such as identifying objectives using problem and objective analysis and selecting indicators and targets" (C)</i></p> <p><i>"directly undertake a problem tree analysis to define the causes and effects of the problem and identify unit objectives, specific targets and solutions for obtaining these objectives'. (D)</i></p> <p><i>"developing a set of objectives and targets, solutions, allocating budget" (G)</i></p> <p><i>"For example, one of the main identified objectives was "Maintain and increase transparency and accessibility of land information". Some indicators and targets for this objectives were "Sufficiently and consistently provided information system of land management" (Land information management software is fully developed by the year of...) and " Land information is updated and timely provided to land users" (100% of land information is updated and posted on Provincial website, 80% of land information changes are updated)." (J)</i></p>

		<ul style="list-style-type: none"> • Use new planning tools (C, D, E, G, H) <p><i>“use new planning tools such as SWOT analysis, Problem and Objectives trees, Logical framework...” (D)</i></p> <p><i>“using logic framework for our plans” (E)</i></p> <p><i>“The monitoring and evaluation plans are also formulated and a monitoring and evaluation framework is established” (G)</i></p> <p><i>“Some activities are often undertaken during planning process such as analyzing the implementation of the previous plans, building problem trees, building an evaluation log frame” (G)</i></p> <p><i>“Yes, we did use results matrix” (H)</i></p> <p><i>“applied all knowledge and techniques on RBP received from training courses provided by internationally funded projects.” (C)</i></p> <ul style="list-style-type: none"> • Estimate budget (A, D, E, G, J) <p><i>“allocating funding to achieve specific targets” (A)</i></p> <p><i>“we estimate the necessary budget for each indicator” (J)</i></p> <ul style="list-style-type: none"> • Monitor and evaluate results (A, D, H) <p><i>“we evaluate the results obtained based on comparing to the targets set in the previous plans” (A)</i></p> <p><i>“analyzing the implementation of the previous plans” (D)</i></p> <p><i>“there are two main parts in our development plans: evaluation of the results obtained in the previous plans and development of a new set of objectives, targets, programs for the next period” (H)</i></p>
RBP benefits (outputs, outcomes)	Q6. From your own view, what do you see as benefits of results-based planning in your organization?	<ul style="list-style-type: none"> • improve the quality of planning (A, C, D, G, H, I, K) • more scientific and logical plans (A, B, E, H, M) • improve the participation of stakeholders in planning processes (B, C, D, G, H, I, J, M) • improve the clarity of development objectives (A, B, C, D, E, I, J, M) • better understanding of the link between objectives, indicators and targets (A, D, M) • improve the effort toward performance outputs (B, H, I) • increase the transparency and accountability (A, D, G, J)

		<ul style="list-style-type: none"> • increase the monitoring and evaluation toward results (B, D, H) • improve the coordination among units and the departments • create opportunity to access public services (A, C) <p>E.g.1 <i>“One of the benefits we obtained from RBP is enhancing the coordination among units within the department, and between our department and other concerned agencies in the entire sector’s management system at all levels, improving the common effort toward outputs.For sure, it [RBP] helps us to achieve intended objectives” (D)</i></p> <p>E.g.2 <i>“Since M&E [monitoring and evaluation] framework was introduced and then becomes a compulsory part of our department’s plans, our monitoring and evaluation work becomes easier compared to that in the previous period although M&E [monitoring and evaluation] knowledge and capacity among our staff is still weak.” (A)</i></p>
Leadership roles	Q7. How was leadership done? Please describe specifically	<ul style="list-style-type: none"> • Assign tasks (A, C, D, E, G, H, K) • Provide support (A, B, C, D, E, G, H, I, K, J, M) • Get staff involvement (B, C, D, E, G, J, K) • Monitor/lead the implementation (A-M) <p>E.g.1. <i>“I ask my subordinates to review the data collection process and ask the support from other units for her subordinate to complete the tasks” (C)</i></p> <p>E.g. 2. <i>“closely monitor the RBP implementation and decide on the draft plans and submit to higher management level for approval.” (D)</i></p>
Leadership styles	Q8. How did you engage your staff or colleagues to make them practice RBP?	<ul style="list-style-type: none"> • Encourage subordinates to complete the tasks (C, D, E, H) • Authorize power to subordinates (D, H, G) • Trust employees (C, H) • Be a good example (C, D, G) • Provide support and help when requested (C, D, G, H) <p>E.g.1. <i>“providing planning manual, trusting employees when assigning related tasks, spending time to train employees when asked” (C)</i></p> <p>E.g. 2. <i>“ask my employees that do not hesitate to ask me for help” (G)</i></p>

		E.g.3. <i>“of course, I always try to be a good example for them.”</i> (D)
	Q9. Did you communicate RBP as a new opportunity for your organization or unit to your subordinates? If yes, how did you do?	<ul style="list-style-type: none"> • No (D, E) • Yes (C, G, H) <p>E.g.1. <i>“persuade them that this approach is useful and scientific.”</i> (G)</p> <p>E.g.2. <i>“we not only use knowledge and skills on RBP in making plans but also can use in doing our other daily work. Let’s try and you can see.”</i> (H)</p>
	Q10. Did you use rewards to make your subordinate implement RBP? For example, compliments, giving positive feedback, wage bonuses, education, and promotions. If so, which kind of rewards do you usually use?	<ul style="list-style-type: none"> • No (D, E) • Yes (C, G, H) <p>E.g.1. <i>“no rewards or sanctions my leader used to make the subordinate implement new planning approach”</i> (E)</p> <p>E.g..2. <i>“sending them to training courses and other provinces to learn about RBP implementation from their actual experiences”</i> (G)</p> <p>E.g. 3. <i>“enable them to participate in various reform projects in order to improve their skills and working capability, spending time to train or give guidance to my subordinates...”</i> (C)</p>
	Q11. Did you use sanctions to make your subordinate implement PMS? For example, informal or formal reprimands?	<ul style="list-style-type: none"> • No (E, C, G, H) • Yes (D) <p>E.g.1 <i>“No sanctions at all”</i> (H)</p> <p>E.g.2. <i>“when my staff implement RBP incorrectly or refuse to do it I give them a reminder in our meetings”</i> (D)</p>
Employee commitment	Q12. How did your employee see RBP?	<ul style="list-style-type: none"> • RBP as a new task and need to follow as it may bring benefits (G, E) • RBP as a good planning approach should apply though it is hard to implement (G, H) • Implementing RBP is an obligation (C, D, E) <p>E.g.1. <i>“almost employees in my unit see it [RBP] as extra work, but it is considered as one of the tasks required to implement the department functions, and implementing it [RBP] is our obligation.”</i> (D)</p> <p>E.g. 2. <i>“they think it [RBP] is a good approach to planning, but it is harder to implement”</i> (H)</p>

Other factors	Q13. What are the main factors affecting RBP adoption in your agency?	<ul style="list-style-type: none"> • Leadership involvement (A-M) • Knowledge and skills of civil servants (A, B, C, G, H, I, J) • Funding (A-M) • Top leadership support and commitment (A-M) • RBP-related training (A-M) • Organizational culture (B, C, D, G, H, K, M) • Quality of data system (E, J, M) • Legal system (E, M) <p>E.g.1. <i>“the results of RBP implementation under the leadership of his previous department leader who was interested in and enthusiastic with new planning approach are very different from those under the leadership of the current top leader who has no idea about results-based management as she just came from other agency not applying RBP.” (B)</i></p> <p>E.g.2. <i>“our organizational is rather bureaucratic, I think, and people are more familiar with the traditional one and seem not to be enthusiastic with new approach [RBP]” (K)</i></p> <p>E.g.3. <i>“the frequent staff rotation leads to the lack of RBP trained staff who ensure the practice of RBP, the low quality of data for planning, the weakness of legal system may be our concern” (E)</i></p> <p>E.g.4. <i>“the implementers find difficult to implement this new approach [RBP] when they lack necessary financial resources because it’s [RBP]costly and time-consuming to consult all stakeholders to identify problems.” (I)</i></p>
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Appendix C. Final survey instrument-Phase 2

QUESTIONNAIRE

Thank you for participating in this survey. Your view is important.

In the questionnaire, you will be asked a series of questions concerning leadership and related issues to planning reforms/renovations (the application of results-based planning) in your unit/agency.

Please answer all items on this answer sheet. Place an "X" mark in the box of your answer. If an item is irrelevant or you are unsure or do not know the answer, leave the answer blank. The survey takes about 25 minutes to complete.

Please note that your responses are confidential and your name and any information that would identify you will not be put in any reports.

I. Job-related questions

Q1. Where do you work?

1. Ministry (Department, Directorate, General Directorate)
2. Provincial government (People's Committee, Line department)
3. District government (People's Committee, Line division)
4. Commune People's Committee
5. Others

Q2. What position do you hold presently?

1. Civil servant holding leading and managerial post
2. Civil servant not holding leading and managerial post

Q3. How long have you been working for your current agency?

1. Less than one year
2. At least one year, but less than five years
3. At least five years, but less than ten years
4. At least ten years, but less than 15 years

5. At least 15 years, but less than 20 years
6. More than 20 years

Q4. To what extent do you agree or disagree with each of the following statements about results-based planning related training?

Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
1	2	3	4	5

1. I was provided by training courses with basic knowledge and skills of results-based planning (e.g., definition, benefits of results-based planning, problem tree analysis, objective tree analysis, logic model framework for planning).
2. During our training, we were able to ask questions about how we could use RBP
3. Our trainers provided many excellent and real-life examples of RBP
4. Our training was mostly classroom lectures, only
5. We had training over several months dealing with RBP
6. After receiving training, I can apply knowledge and skills of results-based planning in my work

Q5. How familiar are you with results-based planning in your organization/agency?

Not Familiar	Somewhat Familiar	Familiar	Very Familiar
1	2	3	4

Q6. How often does your unit use results-based planning?

By unit, we mean a constituent of an agency responsible for making plans which are integrated into agency plans

Never	Rarely	Sometimes	Often	Always or Almost Always
1	2	3	4	5

Q7. How long has your agency been using results-based planning?

1. Less than two years
2. At least two years, but less than five years
3. At least five years, but less than ten years

II. Results-based planning practices (Dependent variable)

[Developed for this study but based on UNICEF 2013, Hung et al., 2015; Cambridge Systematics, 2010]

Q8. Thinking about your unit, how often are the following activities used in its results-based planning? [Activity]

Never	Rarely	Sometimes	Often	Always or almost always
1	2	3	4	5

1. Identifying goals and objectives, aided by logical frameworks
2. Selecting performance indicators for each objective
3. Setting targets for each performance measure/indicator
4. Allocating resources based on specific performance targets
5. Monitoring and reporting results (performance)
6. Evaluating performance processes and outcomes

Q9. To what extent do you agree or disagree with each of the following statements:

Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
1	2	3	4	5

As a result of using results-based planning in my unit, we ...

[Outputs]

1. increased participation of different stakeholders (citizens, enterprises, mass organizations) in our planning
2. increased participation of different agencies and jurisdictions in our planning
3. increased efforts to achieve output targets
4. link performance targets, indicators and objectives
5. increased the linkage between planning and budgets
6. increased understanding of how inputs, activities and outputs are linked

[Outcomes]

1. increased the clarity of our objectives
2. increased quality of our plans
3. increased logic of our plans
4. increased the feasibility of plans
5. increased accountability and transparency in our planning
6. improved the evaluation of outcomes against desired objectives

III. Leadership styles *(Independent variable)*

[Developed for this study but based on Trottier, Van Wart, and Wang, 2008; De Voet, 2013; Den Hartog et al., 1997; Ladegaard et al., 2014; Podsakoff et al., 1996; Geer et al., 2008; Buisman, 2009; Oates, 2010]

Q10. To what extent do you agree or disagree with the following statement about your unit leaders:

Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
1	2	3	4	5

During the application of new planning approach, my unit leader,

[Transformational leadership].

1. Shows the trust and confidence in employees
2. Seeks different perspectives when solving problems
3. Talks enthusiastically about what needs to be accomplished by the new process
4. Spends time teaching and coaching subordinates in implementing new approach
5. Gives followers real opportunities to improve their skills and abilities (e.g., sending them to relevant training courses)
6. Reassures subordinates that obstacles to the implementation of new approach will be overcome
7. Leads by “doing” rather than simply by “telling”

[Transactional leadership]

8. Gives followers positive feedback when they perform tasks related to new planning well
9. Supports and helps followers to ensure tasks related to new planning adoption are undertaken.
10. Makes sure that it has consequences for the employees if they do not consistently perform tasks related to new planning as required
11. Monitors follower performance and tracks errors during new planning process
12. Takes corrective action where tasks related to new planning adoption are not achieved

13. Avoids making mistakes

[Autocratic leadership]

14. Tells subordinates what has to be done and how to do it during planning process
15. When someone makes a mistake during planning process, tells them not ever to do that again and make a note of it.
16. When something goes wrong during planning process, tells subordinates that a procedure is not working correctly, and he/she establishes a new one.
17. Closely monitors subordinates to ensure they are performing all steps of new planning process correctly.
18. Controls over all decisions related to the application of new planning within my organization/unit
19. Directs employees with punishment in order to get them to achieve the organizational objectives.

IV. Commitment to new planning approach (Mediating variable)

[Developed for this study but based on Hercovitch and Meyer (2002)]

Q11. To what extent do you agree or disagree with each of the following statements:

Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
1	2	3	4	5

1. I believe in the value of results-based planning
2. I think that management is making right decision by introducing results-based planning
3. I feel a sense of duty to work toward results-based planning
4. I do not think it would be right of me to oppose of results-based planning

V. Other factors affecting RBP practices

Organizational culture [Adapted from Ogbonna and Harris (2000)]

Q12. To what extent do you agree or disagree with each of the following statements:

Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
1	2	3	4	5

Bureaucratic culture

1. My organization emphasizes permanence and stability. Efficient, smooth operation is important.
2. My organization is very formalized and structured. Established procedures generally govern what people do.
3. Formal rules and policies. Maintaining a smooth- running organization is important
4. In my organization, the best managers are considered as coordinators, organizers or administrators

Top management support [Developed for this study but based on Fernandez and Rainey, 2006; The Auditor General of Canada, 1996; Tan and Zhao, 2003; Khan, 2013]

Q13. To what extent do you agree or disagree with each of the following statements:

Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
1	2	3	4	5

In my organization, top leaders

1. Are very much aware of the importance of results-based planning
2. Are strongly involved in new planning process
3. Keep the pressure on operating units to work with results-based planning
4. Always support and encourage subordinates to implement results-based planning approach
5. Provide most of the necessary help and resources to enable subordinates to implement results-based planning

External support (Developed for this study but based on *The Auditor General of Canada, 1996; Fernandez and Rainey, 2006*)

Q14. To what extent do you agree or disagree with each of the following statements:

Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
1	2	3	4	5

1. My agency receives support from other government agencies/organization for implementing results-based planning
2. My agency receives support from other stakeholders (e.g., enterprises, community, mass organization, etc) for implementing results-based planning
3. International donors helped us to become familiar with RBP
4. International donors funded our initial efforts in RBP
5. Funding from international donors is important for our continued use of RBP

Additional items

Q15. To what extent do you agree or disagree with each of the following statements:

Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree
1	2	3	4	5

1. I have implemented other reforms and innovations
2. We have adequate database and information for results-based planning
3. In our agency, almost staff involved in planning role received RBP-related training
4. The timeframe for conducting our result-based planning is appropriate
5. Most staff involved in planning role have adequate skills for conducting result-based planning
6. We have insufficient funding for conducting results-based planning
7. My top leaders are concerned about anti-corruption

Q16. In your own words, what do you see as the most important benefits of results-based planning in your organization? Please write in the box below.

Q17. In your own words, what do you see as the most important barriers of doing results-based planning in your organization? Please write in the box below.

VI. Demographics

The next questions are about you. These details help us to see whether particular groups of public leaders and employees/servants share the same views. Please note that all of your responses are completely confidential.

Q18. In which of the following age groups do you belong?

1. Under 30 years
2. 30-40 years
3. 40-50 years
4. Over 50 years

Q19. Are you?

1. Male
2. Female

Q20. What is your highest educational qualification?

1. High school certificate
2. Vocational degree
3. Undergraduate degree
4. Postgraduate degree

Q21. May we contact you to talk about some of your experiences? If so, please provide with your name and contact information. THANKS!

Name:

Email address:

Phone number:

Thank you for participating in this important survey!

Appendix D. Vietnamese version of questionnaire form



PHIẾU KHẢO SÁT

Đề tài nghiên cứu

**Ảnh hưởng của kiểu lãnh đạo của nhà quản lý công
tới việc thực hiện lập kế hoạch theo kết quả
trong khu vực công ở Việt Nam**

Nghiên cứu sinh: *Phạm Ngọc Hà*

Trường Chính phủ

Đại học Victoria, Wellington, New Zealand

Địa chỉ email: hangoc.pham@vuw.ac.nz

Tháng 8 năm 2016

PHIẾU KHẢO SÁT

Cảm ơn Anh/Chị đã tham gia cuộc khảo sát này. Ý kiến của Anh/Chị có ý nghĩa rất quan trọng đối với nghiên cứu của chúng tôi.

Trong phiếu khảo sát, Anh/Chị sẽ được đề nghị trả lời các câu hỏi liên quan tới thực tế việc thực hiện cải cách/đổi mới công tác lập kế hoạch (lập kế hoạch dựa vào kết quả/đầu ra, lập kế hoạch có sự tham gia) trong cơ quan/đơn vị của Anh/Chị.

Rất mong Anh/Chị vui lòng trả lời tất cả các câu hỏi trong phiếu khảo sát. Nếu có câu nào không phù hợp hoặc Anh/Chị không biết câu trả lời, xin vui lòng để trống. Thời gian để Anh/chị hoàn thiện phiếu khảo sát là khoảng 20 phút.

Chúng tôi xin cam kết với các Anh/Chị rằng thông tin Anh/Chị cung cấp sẽ được bảo mật và chỉ phục vụ cho mục đích nghiên cứu. Các thông tin có thể nhận diện Anh/Chị và cơ quan Anh/Chị công tác sẽ không được đưa vào bất kỳ báo cáo nào.

Anh/chị hiện đang công tác tại cơ quan nào?

- ☐ Các đơn vị trực thuộc Bộ (Tổng cục, Cục, Vụ và tương đương)
- ☐ UBND cấp tỉnh, cơ quan chuyên môn cấp tỉnh (Sở, ngành)
- ☐ UBND cấp huyện, cơ quan chuyên môn cấp huyện (Phòng, Ban)
- ☐ UBND cấp xã
- ☐ Khác

Vị trí công tác hiện tại của anh/chị là gì?

- ☐ Công chức/viên chức nắm giữ chức vụ lãnh đạo, quản lý
- ☐ Công chức/viên chức không nắm giữ chức vụ lãnh đạo, quản lý

Anh/chị đã công tác tại cơ quan hiện tại được bao nhiêu năm?

- ☐ Dưới 1 năm
- ☐ Từ 1-5 năm
- ☐ Từ 5-10 năm
- ☐ Từ 10-15 năm

☐ Trên 15 năm

Anh/chị quen thuộc với việc lập kế hoạch theo phương pháp mới (lập kế hoạch dựa vào kết quả, có sự tham gia) trong cơ quan anh/chị ở mức độ nào?

- ☐ Không quen thuộc
☐ Khá quen thuộc
☐ Quen thuộc
☐ Rất quen thuộc

Đơn vị anh/chị có thường xuyên sử dụng lập kế hoạch theo phương pháp mới (dựa vào kết quả, có sự tham gia) không? (“Đơn vị” ở đây được hiểu là bộ phận cấu thành của cơ quan, có nhiệm vụ lập và nộp kế hoạch của bộ phận đó tới bộ phận lập kế hoạch chuyên trách của cơ quan để tổng hợp thành kế hoạch chung trình Lãnh đạo cơ quan quyết định)

- ☐ Không bao giờ
☐ Hiếm khi
☐ thỉnh thoảng
☐ Thường xuyên
☐ Luôn luôn

Cơ quan anh/chị đã áp dụng lập kế hoạch theo phương pháp mới (lập kế hoạch dựa vào kết quả, có sự tham gia) được bao lâu?

- ☐ Dưới 2 năm
☐ Từ 2-5 năm
☐ Từ 5-10 năm

Anh/chị đồng ý hoặc không đồng ý ở mức độ nào với các khẳng định sau liên quan tới tập huấn lập kế hoạch theo phương pháp mới (lập kế hoạch dựa vào kết quả, có sự tham gia)?

	Hoàn toàn không đồng ý	Cơ bản không đồng ý	Không đồng ý cũng không phản đối	Cơ bản đồng ý	Hoàn toàn đồng ý
Tôi đã được tập huấn về khái niệm và kỹ năng cơ bản của lập kế hoạch dựa vào kết quả có sự tham gia(vd: định nghĩa, lợi ích của lập kế hoạch dựa vào kết quả, kỹ thuật cây vấn đề, cây mục tiêu và khung logic trong lập kế hoạch)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Các khóa tập huấn về lập kế hoạch theo phương pháp mới (dựa vào kết quả, có sự tham gia) mà tôi tham gia rất chuyên sâu và toàn diện	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Việc tập huấn đã giúp tôi áp dụng các kiến thức và kỹ năng của lập kế hoạch dựa vào kết quả/có sự tham gia vào công việc của mình	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Xin vui lòng suy nghĩ về đơn vị công tác của mình, anh/chị hãy xác định mức độ thường xuyên của việc áp dụng các hoạt động dưới đây trong quá trình lập kế hoạch theo phương pháp mới?

	Không bao giờ	Hiếm khi	Thỉnh thoảng	Thường xuyên	Luôn luôn
Xác định mục đích và mục tiêu	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Lựa chọn chỉ số thực hiện cho mỗi mục tiêu	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Thiết lập chỉ tiêu cho mỗi chỉ số thực hiện	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Bố trí/đề xuất nguồn lực cần thiết căn cứ vào những chỉ tiêu cụ thể	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Theo dõi và báo cáo các kết quả đạt được	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Đánh giá quá trình thực hiện và kết quả đạt được	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Anh/chị đồng ý hay không đồng ý ở mức độ nào với các câu khẳng định dưới đây?

Với việc đổi mới việc thực hiện lập kế hoạch (lập kế hoạch dựa vào kết quả, có sự tham gia), chúng tôi đã...

	Hoàn toàn không đồng ý	Cơ bản không đồng ý	Không đồng ý cũng không phản đối	Cơ bản đồng ý	Hoàn toàn đồng ý
Thúc đẩy sự tham gia của các tổ chức, cá nhân liên quan (công dân, doanh nghiệp, tổ chức xã hội, tổ chức chính trị - xã hội) vào việc lập kế hoạch	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Thúc đẩy sự tham gia của các cơ quan, đơn vị khác trong bộ máy nhà nước trong việc lập kế hoạch	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tăng cường các nỗ lực để đạt được các mục tiêu đầu ra	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Gắn kết giữa chỉ tiêu, chỉ số thực hiện và mục tiêu	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tăng cường sự gắn kết giữa việc lập kế hoạch và ngân sách	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Hiểu rõ hơn sự gắn kết logic giữa đầu vào, hoạt động và đầu ra	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tăng cường sự rõ ràng trong việc xác định mục tiêu của cơ quan/đơn vị	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Nâng cao chất lượng của bản kế hoạch	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Nâng cao tính logic của bản kế hoạch	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Giúp cho việc thực hiện kế hoạch dễ dàng hơn	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Nâng cao trách nhiệm giải trình và minh bạch trong công tác lập kế hoạch	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Thúc đẩy việc theo dõi thực hiện kế hoạch hướng tới mục tiêu mong đợi	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Thúc đẩy việc đánh giá kết quả so với mục tiêu mong đợi	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Câu hỏi dành riêng cho chuyên viên đơn vị trực thuộc cơ quan

Anh/chị đồng ý hoặc không đồng ý ở mức độ nào với các khẳng định sau?

Trong quá trình đổi mới công tác lập kế hoạch (lập kế hoạch dựa vào kết quả, có sự tham gia), lãnh đạo đơn vị của tôi,

	Hoàn toàn không đồng	Cơ bản không đồng ý	Không đồng ý cũng không phản đối	Cơ bản đồng ý	Hoàn toàn đồng ý
Thể hiện sự tin tưởng vào khả năng của cấp dưới trong việc thực hiện lập kế hoạch theo phương pháp mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tìm kiếm các cách thức khác nhau để giải quyết các vấn đề phát sinh trong các khâu của quy trình lập kế hoạch	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Truyền đạt một cách tâm huyết và nhiệt tình đối với cấp dưới về những gì cần phải hoàn thành trong quá trình lập kế hoạch theo phương pháp mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Dành thời gian để chỉ dẫn và huấn luyện cấp dưới cách thức thực hiện lập kế hoạch theo phương pháp mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cung cấp cho cấp dưới những cơ hội thực tế để nâng cao kỹ năng và năng lực lập kế hoạch (ví dụ, cử họ tham gia các khóa tập huấn có liên quan)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Khẳng định với cấp dưới rằng mọi khó khăn, trở ngại trong việc thực hiện lập kế hoạch theo phương pháp mới sẽ được vượt qua	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Lãnh đạo bằng "hành động" hơn là bằng "lời nói"	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Phản hồi tích cực đối với cấp dưới khi họ thực hiện tốt nhiệm vụ liên quan tới phương pháp lập kế hoạch mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Hỗ trợ và giúp đỡ cấp dưới để đảm bảo chắc chắn các nhiệm vụ liên quan tới phương pháp lập kế hoạch mới được thực hiện.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Đảm bảo rằng cấp dưới sẽ nhận được những hậu quả nhất định nếu họ không thực hiện một cách thường xuyên các nhiệm vụ liên quan tới phương pháp lập kế hoạch mới như được yêu cầu.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Theo dõi kết quả thực hiện và những sai sót của cấp dưới trong suốt quá trình lập kế hoạch	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tiến hành khắc phục sai sót ở những nơi chưa thực hiện đúng các nhiệm vụ liên quan tới việc lập kế hoạch dựa vào kết quả.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cố gắng tránh mắc sai sót trong quá trình lập kế hoạch	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Yêu cầu cấp dưới thực hiện những việc phải làm và cách thức tiến hành trong suốt quá trình lập kế hoạch dựa vào kết quả	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Khi cấp dưới mắc sai sót trong quá trình lập kế hoạch dựa vào kết quả, yêu cầu cấp dưới không được phép lập lại sai sót và ghi chú lại sai sót đó.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Khi có vấn đề xảy ra trong quá trình lập kế hoạch, nói với cấp dưới rằng một thủ tục nào đó thực hiện không đúng và tự mình thiết lập một thủ tục mới.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Giám sát chặt chẽ cấp dưới để đảm bảo rằng họ tuân thủ đúng tất cả các bước của quy trình lập kế hoạch theo phương pháp mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Kiểm soát tất cả các quyết định liên quan tới việc áp dụng phương pháp lập kế hoạch mới trong đơn vị.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Chỉ đạo cấp dưới kèm với những hình thức phạt nhằm khiến họ thực hiện các nhiệm vụ liên quan tới việc áp dụng phương pháp lập kế hoạch mới trong đơn vị.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Anh/chị đồng ý hay không đồng ý ở mức độ nào với các khẳng định dưới đây về động lực thực thi công vụ.

	Hoàn toàn không đồng ý	Cơ bản không đồng ý	Không đồng ý cũng không phản đối	Cơ bản đồng ý	Hoàn toàn đồng ý
Một nền công vụ hữu ích có ý nghĩa quan trọng đối với tôi	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tôi thường được nhắc nhở về sự phụ thuộc lẫn nhau giữa các thành viên của xã hội thông qua các sự kiện hàng ngày	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Đối với tôi, đem lại sự khác biệt cho xã hội có ý nghĩa hơn việc đạt được thành tựu mang tính cá nhân	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tôi được chuẩn bị cho một sự hi sinh lớn lao vì sự tốt đẹp của xã hội	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tôi không ngại đấu tranh cho quyền lợi của người khác, dù rằng điều đó có thể khiến tôi bị chế nhạo.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tôi rất cảm thương đối với những hoàn cảnh nghèo khó	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tôi cảm thấy rất thất vọng khi chứng kiến người khác bị đối xử bất công	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Anh/chị đồng ý hay không đồng ý ở mức độ nào với các câu khẳng định dưới đây về văn hóa tổ chức của cơ quan anh/chị?

	Hoàn toàn không đồng ý	Cơ bản không đồng ý	Không đồng ý cũng không phản đối	Cơ bản đồng ý	Hoàn toàn đồng ý
Mối quan tâm chính của chúng tôi là sự hoạt động thường xuyên, liên tục và ổn định của tổ chức	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tất cả các hoạt động của cơ quan đều được tiến hành dựa trên các quy tắc, thủ tục được quy định một cách chính thức	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Việc duy trì sự vận hành thông suốt, trơn tru của bộ máy rất được coi trọng trong cơ quan tôi	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Nhà lãnh đạo/quản lý được đánh giá cao với tư cách là nhà điều phối, nhà tổ chức hay nhà hành chính hơn là nhà cải cách	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Mọi người luôn sẵn sàng đối mặt với những rủi ro và thách thức	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cơ quan tôi cam kết với sự đổi mới và phát triển	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Các thành viên trong cơ quan được khuyến khích đề xuất tôi lãnh đạo các sáng kiến đổi mới, cải cách	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Có sự khen thưởng đối với những đề xuất cải tiến cách thức thực hiện công việc trong cơ quan của tôi	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Anh/chị đồng ý hay không đồng ý ở mức độ nào với các câu khẳng định dưới đây về sự ủng hộ của lãnh đạo cơ quan đối với việc áp dụng phương pháp lập kế hoạch mới?

Trong cơ quan của tôi, lãnh đạo cơ quan,

	Hoàn toàn không đồng ý	Cơ bản không đồng ý	Không đồng ý cũng không phản đối	Cơ bản đồng ý	Hoàn toàn đồng ý
Nhận thức rất rõ tầm quan trọng của phương pháp lập kế hoạch mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Gắn kết chặt chẽ tới quá trình lập kế hoạch theo phương pháp mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Duy trì áp lực đối với các đơn vị thực thi để đảm bảo lập kế hoạch theo phương pháp mới được thực hiện	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Luôn ủng hộ và khuyến khích cấp dưới thực hiện lập kế hoạch theo phương pháp mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cung cấp hầu hết những sự giúp đỡ và nguồn lực cần thiết nhằm tạo điều kiện thuận lợi cho cấp dưới thực hiện lập kế hoạch theo phương pháp mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Anh/chị đồng ý hay không đồng ý ở mức độ nào với các câu khẳng định dưới đây về các điều kiện cần thiết cho việc thực hiện lập kế hoạch theo phương pháp mới ở cơ quan mình?

	Hoàn toàn không đồng ý	Cơ bản không đồng ý	Không đồng ý cũng không phản đối	Cơ bản đồng ý	Hoàn toàn đồng ý
Chúng tôi nhận được sự trợ giúp về tài chính và kỹ thuật của các nhà tài trợ nước ngoài trong quá trình thực hiện lập kế hoạch theo phương pháp mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Chúng tôi được đảm bảo nguồn lực tài chính cần thiết để duy trì lập kế hoạch theo phương pháp mới ngay cả khi các dự án tài trợ của nước ngoài kết thúc.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Hầu hết cán bộ, công chức, viên chức tham gia vào quá trình lập kế hoạch ở cơ quan tôi đều được tập huấn về lập kế hoạch theo phương pháp mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Hầu hết cán bộ, công chức, viên chức tham gia vào quá trình lập kế hoạch ở cơ quan tôi đều có đủ kiến thức và kỹ năng cần thiết để thực hiện lập kế hoạch theo phương pháp mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tôi đã từng tham gia thực hiện các chương trình cải cách và đổi mới khác	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Việc áp dụng lập kế hoạch theo phương pháp mới được quy định rõ ràng bằng văn bản	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Các thông tin và dữ liệu cần thiết cho thực hiện lập kế hoạch theo phương pháp mới được cung cấp đầy đủ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Các thông tin và dữ liệu phục vụ cho việc lập kế hoạch theo phương pháp mới là đáng tin cậy	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Hệ thống quản lý thông tin, dữ liệu phục vụ cho việc lập kế hoạch của cơ quan tôi cơ bản đáp ứng yêu cầu	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Thời gian dành cho việc thực hiện lập kế hoạch theo phương pháp mới là phù hợp	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Chúng tôi nhận được sự hợp tác cần thiết từ các đơn vị, cơ quan nhà nước khác trong quá trình thực hiện lập kế hoạch theo phương pháp mới	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Theo quan điểm cá nhân của anh/chị, lợi ích lớn nhất của lập kế hoạch theo phương pháp mới (lập kế hoạch theo kết quả, có sự tham gia) đối với cơ quan anh/chị là gì? Xin vui lòng viết ý kiến của anh/chị ở dòng dưới đây.

Theo quan điểm cá nhân của anh/chị, trở ngại lớn nhất của lập kế hoạch theo phương pháp mới (lập kế hoạch theo kết quả, có sự tham gia) đối với cơ quan anh/chị là gì? Xin vui lòng viết ý kiến của anh/chị ở dòng dưới đây.

Anh/chị thuộc nhóm tuổi nào dưới đây?

- ☐ Dưới 30 tuổi
- ☐ Từ 30-40 tuổi
- ☐ Từ 40-50 tuổi
- ☐ Trên 50 tuổi

Anh/chị là:

- ☐ Nam
- ☐ Nữ

Bằng cấp cao nhất của anh/chị là gì?

- ☐ Chứng nhận tốt nghiệp phổ thông trung học
- ☐ Bằng trung cấp, cao đẳng nghề
- ☐ Bằng đại học
- ☐ Bằng sau đại học

Chúng tôi có thể liên lạc để trao đổi thêm về kinh nghiệm của các anh/chị đối với việc thực hiện lập kế hoạch theo phương pháp mới được không? Nếu có thể được, xin vui lòng cung cấp tên và địa chỉ liên hệ của anh/chị (email, số điện thoại). XIN TRÂN TRỌNG CAM ƠN!

Appendix E. Exploratory Factor Analysis and Common method variance

EXPLORATORY FACTOR ANALYSIS

Table E1. *KMO and Bartlett's Test*

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.	.925
Bartlett's Test of Sphericity Approx. Chi-Square	6241.072
df	325
Sig.	0.000

Table E2. *Communalities*

	Initial	Extraction
RBPTRAIN1	1.000	.715
RBPTRAIN2	1.000	.842
RBPTRAIN3	1.000	.744
RBPTRAIN6	1.000	.585
RBPpop1	1.000	.581
RBPpop2	1.000	.751
RBPpop3	1.000	.768
RBPpop4	1.000	.808
RBPpop5	1.000	.787
RBPpop6	1.000	.833
RBPoc1	1.000	.804
RBPoc2	1.000	.809
RBPoc3	1.000	.739
RBPoc4	1.000	.774
RBPoc5	1.000	.830
RBPoc6	1.000	.831
RBPoc7	1.000	.830
TLS1	1.000	.666
TLS2	1.000	.828
TLS3	1.000	.534
TLS4	1.000	.717
TLS5	1.000	.772
ES1	1.000	.628
ES3	1.000	.890
ES4	1.000	.882
ES5	1.000	.727

Table E3. *Pattern Matrix*

	Component			
	1	2	3	4
RBPoc1	.937			
RBPoc6	.932			
RBPoc6	.932			
RBPoc5	.923			
RBPoc2	.900			
RBPoc3	.897			
RBPoc5	.872			
RBPoc4	.872			
RBPoc4	.872			
RBPoc2	.866			
RBPoc3	.815			
RBPoc1	.690			
TLS5		.932		
TLS2		.910		
TLS1		.837		
TLS4		.820		
TLS3		.582		
ES3			1.011	
ES4			.972	
ES5			.852	
ES1			.504	
RBPTRAINI2				.955
RBPTRAIN3				.904
RBPTRAIN6				.734
RBPTRAINI1				.571

COMMON METHOD VARIANCE

Harmon's one-factor test

Table E4. *Total Variance Explained*

Component	Initial Eigenvalues			Extraction Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	13.677	47.161	47.161	13.677	47.161	47.161
2	3.462	11.938	59.099			
3	2.171	7.487	66.587			
4	1.748	6.027	72.613			
5	1.225	4.223	76.837			
6	.762	2.628	79.464			
7	.615	2.122	81.586			
8	.600	2.070	83.656			
9	.508	1.752	85.409			
10	.471	1.624	87.033			
11	.458	1.580	88.613			
12	.397	1.370	89.983			
13	.365	1.259	91.243			
14	.289	.997	92.240			
15	.272	.939	93.179			
16	.243	.839	94.018			
17	.224	.773	94.791			
18	.208	.719	95.510			
19	.195	.674	96.183			
20	.166	.573	96.757			
21	.158	.544	97.300			
22	.138	.475	97.775			
23	.132	.454	98.229			
24	.120	.414	98.643			
25	.100	.345	98.988			
26	.093	.321	99.309			
27	.087	.299	99.608			
28	.071	.243	99.851			
29	.043	.149	100.000			

Extraction Method: Principal Component Analysis.

Lindel and Whitney's (2001) marker variable approach

Table E5. *Results of test for CMV using Lindel and Witney's marker approach*

	BC	EC	FUND	LS	RBPact	RBPoc	RBPpop	RBPtrain	Marker
BC	1.000	0.323	0.214	0.332	0.118	0.268	0.270	0.242	0.282
EC	0.323	1.000	0.242	0.743	0.581	0.693	0.691	0.600	0.179
FUND	0.214	0.242	1.000	0.338	0.199	0.130	0.136	0.280	0.233
LS	0.332	0.743	0.338	1.000	0.714	0.773	0.780	0.661	0.198
RBPact	0.118	0.581	0.199	0.714	1.000	0.661	0.694	0.712	-0.008
RBPoc	0.268	0.693	0.130	0.773	0.661	1.000	0.900	0.619	0.067
RBPpop	0.270	0.691	0.136	0.780	0.694	0.900	1.000	0.618	0.088
RBPtrain	0.242	0.600	0.280	0.661	0.712	0.619	0.618	1.000	-0.001
Marker	0.262	0.179	0.233	0.198	-0.008	0.067	0.088	-0.001	1.000

Appendix G. Classical leadership theories and leadership styles

- *Leadership Trait theory*

Leadership traits, the early theories in leadership research focus upon the physical and personality attributes, skills and abilities, and interpersonal skills, sociability and socio-economic position of the leader. The argument was that effective leaders were supposed to possess extraordinary characteristics and abilities that improve leader's success (Bryman, 1992). Leadership trait studies have found certain traits that can lead to success or can help to predict the effectiveness of a leader including high energy level, responsibility, influence, and cooperativeness, stress tolerance, integrity, intelligence, emotional maturity, and self-confidence (Atwater et al., 1999; Yukl & Van Fleet, 1992). Nevertheless, the emphasis on abstract personality traits and intelligence, coupled with inadequate research methods, led to weak and inconsistent results (Yukl & Van Fleet, 1992). Recent studies on leadership traits and skills have focused more on traits such as empathy and tolerance of ambiguity and uncertainty (Noordegraaf, 2000; Simpson & Barnard, 2000) and indicate that traits in themselves are not a sufficient basis for the identification or development of effective leaders (Horton & Farnham, 2007)

- *Behavioral theory*

After the early disappointments of trait approach, studies in the late 1940s began examining leadership as an observable process rather than an inherent personal characteristic or trait. For this perspective, the focus was on how leaders behaved when interacting with followers and discusses what behaviors leaders should demonstrate to be effective (Yukl & Van Fleet, 1992; Stewart, 1982; Mintzberg, 1973). This leadership theory implies that the behavior of the leader influences organizational performance by having a direct and indirect effect on followers (Kathuria et al., 2010; Derue et al., 2011).

The earliest research at Ohio State University identified two key types of leadership behaviors: task-oriented behaviors and relationship-oriented behaviors.

Task-oriented behaviors (*initiating structure*) describe a leader who initiates group activity and organization, and outlines the manner in which tasks are to be done. Relationship-oriented behaviors explain the concern (Bass, 1990), the praise and contingent rewards (Padsakoff et al., 1984), or clarifying and problem-solving behavior (Yukl, 1989). The most comprehensive framework of leadership behaviors is given by Bass (1985, 1990) which describes two behavioral types, transactional and transformational leadership, with foci on the latter. Both these leadership styles have various behavioral attributes. For example, transformational leadership has four dimensions (charisma, inspiration, individual consideration, intellectual stimulation) and transactional has three dimensions (contingent reward, active and passive management-by-exception) (Den Hartog et al., 1997). These two types of leadership styles are at opposite ends of a continuum (Burn, 1978, as cited in Derue et al., 2011) but this does not imply that these models are unrelated (Hater & Bass, 1988), even a leader can be both transactional and transformational, and transformational leadership can be viewed as a special case of transactional leadership (Bass, 1985; Hater & Bass, 1988)

- *Universal vs Contingent or situational Theories*

Meanwhile certain approaches make the assumption that successful or effective leadership does not depend on the features of the circumstance in which the leader operates, and leadership is proposed as a universal phenomenon, alternative approaches propose that effective leadership is contingent upon different situations encountered by the leader (e.g., features of the tasks, characteristics of followers). Accordingly, the exact conditions under which different leadership traits or leadership behaviors would be effective required identification. The situational approach focuses on contextual factors such as the authority of a leader, the nature of the job task, the attributes of the followers, and the nature of the external environment which can impact the style and effectiveness of the leader and the leadership relationship (Yukl & Van Fleet, 1992; Horton & Farnham, 2007). The situational leadership theory (Hershey & Blanchard, 1959, as cited in Horton & Farnham, 2007), least preferred co-worker contingency

theory (Fiedler, 1967, as cited in Horton & Farnham, 2007), and path-goal theory (House, 1971, as cited in Horton & Farnham, 2007) are considered as key contributions to this approach.

Hershey and Blanchard (1959) identify delegating leadership, participating leadership, selling and telling leadership. This seeks the influence of the task and the leadership relationship and suggests that the maturity level of employees indicates the effectiveness of each style. Fielder (1967) stated that the effectiveness of leader behavior is contingent upon situational demands. A leader should be matched with the situations which are most conducive to the way they lead. The least preferred co-worker contingency theory identifies the task achievement needs of the leader. The path-goal theory of leadership (House, 1971) indicates directive leadership, supportive leadership, participative leadership and achievement-oriented leadership which can be adopted by the same leader in different situation. This theory emphasizes that an effective leader chooses his or her behavior wisely to benefit from the personal attributes of subordinates and context characteristics.

- *Alternative leadership styles*

Moral or spiritual leadership: Spiritual or moral leadership refers to the leader chooses to engage in ethical behaviors, moral values, altruism, and role modeling because of an inherent sense of purpose, mission, and vision (Burns, 1978; Bass, 1985; Podsakoff et al., 1990; Reed et al., 2011). Spiritual leaders exhibit more empathy toward followers than irresponsible, unethical, or bully leaders (Holt & Marques, 2012). A spiritual leader promotes close interpersonal relationships with followers, assists followers in recognizing the meaning and purpose of life, and emphasize attitudes and behaviors the facilitate honesty and integrity in the workplace (Cheng & Yang, 2012). Such a leader treats people according to their virtues and does not use authority to seek special privileges, does not take advantage of followers for personal. Followers are likely to respect and identify with leaders who show high morality and integrity, and they may try to imitate those qualities (Yang, 1994, as cited in Cheng & Yang, 2012).

Benevolent leadership: Benevolent leadership refers to leadership behaviors that demonstrate individualized concern for follower personal needs (Wang & Cheng, 2010). Key benevolent leadership behaviors include devoting energy to take care of followers, showing concern for followers' comfort, and encouraging followers when they encounter problems, understanding and forgiving (Cheng et al., 2004). The cultural roots of benevolent leadership originate in the Confucian ideology of the five cardinal relationships and the norm of reciprocity. Benevolent leadership was found positively related to followers' identification, compliance and gratitude to the leader, loyalty and trust in leader, and to extra-role performance, such as organizational citizenship behavior (Chan et al., 2013; Cheng et al., 2004).

Laissez-faire leadership: Laissez-faire leadership is described as a passive-avoidant leadership behavior (Bass & Avolio, 2004). A laissez-faire leader frequently avoids getting involved and delays when critical issues emerged. This leader often exhibits absence when needed and avoids making decisions. This type of leadership is generally described as the least effective leadership style and rarely gets support from followers in organizations (Eagly et al., 2003; Avolio & Bass, 2004; Lowe et al., 1996, as cited in Bass, 1997).

- *Impacts of leadership styles*

Organizational performance: Ljungholm (2014) found the relationship between transformational leadership and success of performance management, and positive effects of transformational leadership on organization performance through examining the process by which managerial actions affect employee behavior and how leadership can improve public sector organizational effectiveness. Muchiri et al. (2012) through their study of relationship between transformational leadership behavior and social process of leadership and organizational outcomes within Australian local councils suggest that transformational leadership style practiced by work unit managers may establish the foundation for higher and better organizational performance. As an attempt to examine whether a consistent pattern of transformational leadership exists from the recent studies and to explore the generalizability of this concept within various

cultural and geographical settings, Chully and Sandhya (2014) established a positive and direct link between transformational leadership style and organization outcome. Wang et al.'s (2014) study, a meta-analytic review of 25 years of research in transformational leadership and performance across criteria and levels, shows that transformational leadership is positively related to organizational performance across criterion types.

Leadership effectiveness: Many researchers have attempted for years to explore what leadership behaviors are associated with their effectiveness. In their study, Jayasingam and Cheng (2009) indicated the current state of leadership style among Malaysian managers and its effect on the perception of effectiveness and found that respondents attributed leadership effectiveness to the use of participative and nurturant-task leader behavior. The findings of Chan & Chan's (2005) study suggest that all five of the transformational elements and three of the transactional elements are significantly related to leadership effectiveness. In the earlier research, Barling et al. (1996) also indicated that transformational leadership behaviors are positively related to their effectiveness.

Follower's performance: Leadership styles have been shown to have positive and negative relationships with subordinate performance in many recent leadership studies. Muchiri et al. (2011) and Skogstad et al. (2007) indicated that the contingent reward component of transactional leadership is positively correlated with subordinate outcomes such as extra effort, organization commitment, and managerial satisfaction and effectiveness, whereas passive management-by-exception and active management-by-exception have shown negative relationships with subordinate performance. Toor and Ofori (2009) explored the relationships between ethical leadership and employee outcomes in the context of Singapore. Findings from Lee's (2012) and Wang et al.'s (2014) studies revealed that there is a positive relationship between transformational leadership styles and employee outcome. Previous research also revealed that transformational leadership behaviors are positively related to employee performance (Barling et al., 1996; Patterson et al., 1995; Lowe et al., 1996; De Groot et al., 2000).

More interestingly, the study of Chan & Chan (2005) revealed that more transformational leadership would result in greater employee performance than transactional leadership.

Employee commitment to change: Herscovitch and Meyer (2002) proposed a three-component model of commitment to organizational change (affective, normative, and continuance) and defined it as a force that binds an individual to a set of actions that are necessary for the successful implementation of a change initiatives. There exists a number of leadership research examining the link between leadership styles and employee commitment to change (Van de Voet, 2016; Herold et al., 2008; Kool & Dierendonck, 2012). Van de Voet (2016) through examining the relationship between direct supervisors' change leadership and the commitment to change of change recipients, indicates that change leadership contributes to employee commitment to change by providing high-quality change communication and stimulating employee participation in the implementation of change. Studies also have found the positive effect on employee commitment to change of transformational leadership style (Goodwin et al., 2001; Judge & Bono, 2000; Machin et al., 2009; Herold et al., 2008), of transactional leadership style (Sosik & Dionne, 1997), and of servant leadership (Kool & Dierendonck, 2012). To be more specific, the studies of Machin et al. (2009) and Ahmad and Gelaidan (2013) demonstrated that transformational leadership style is the strong predictor of the employees' affective and normative commitment to change. Sosik and Dionne (1997) indicate that transactional leadership has significant relationship with normative employee commitment to change.

