

**MYKOLAS ROMERIS UNIVERSITY**

**Dangis Gudelis**

**MUNICIPAL PERFORMANCE MEASUREMENT MODELS AND  
OPPORTUNITIES OF THEIR IMPLEMENTATION IN LITHUANIA**

**Summary of Doctoral Dissertation**

**Social Sciences, Management and Administration (03 S)**

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# MUNICIPAL PERFORMANCE MEASUREMENT MODELS AND OPPORTUNITIES OF THEIR IMPLEMENTATION IN LITHUANIA

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## Summary of Doctoral Dissertation

### INTRODUCTION

**General characteristics and relevance of the topic.** In 1995's issue of the scientific journal *Public Administration Review* Robert D. Behn (1995) referring to the analogy of the science of physics formulated three major questions which, in his opinion, scholars of public management should be concerned about in the 21st century. One of them was the measurement question: *how public managers can measure the achievements of their agencies in ways that help to increase those achievements?*

After a decade the emergence of multitude of books and articles in scientific journals, changes in public sector organizations caused by implementation of models of performance measurement, performance management and quality management, governmental initiatives to implement performance measurement programmes just confirm the Behn insight on the importance of performance measurement in public organizations. For many years performance measurement as one of the major tools in the package of the New Public Management reforms has remained a significant 'management fashion' (Abrahamson, 1996) and scholars as well as practitioners of traditionally more developed countries of the English speaking world and the Continental Western Europe are well aware of it. The fashion gradually comes to the post-communist Central European countries which recently joined the European Union or are in the way of doing so and which learn from the experience of more 'advanced' countries in different areas of public administration.

Lithuanian public sector organizations, including municipalities, also take part in the experience transferring process and, although up to now performance measurement practices are poorly institutionalised or do not exist at all, it is likely that in the nearest future significant changes will take place in this area.

Therefore, there is a great need for scientific research on public sector performance measurement of applicable nature that could provide guidelines for development of performance measurement systems, evaluate developmental opportunities and threats, and suggest prospective models.

**Research problem** –performance measurement practices in public sector organizations and municipalities are not sufficiently analysed in the Central and Eastern European scientific literature on public administration though this topic is broadly examined by scholars of the Western countries (especially Anglo-Saxon). The topic of public sector performance measurement in Lithuania up to now has not been analysed in scientific dissertations.

**Goal of the dissertation** is to examine the state and developmental perspectives of performance measurement in Lithuanian municipalities by applying results of scientific researches on performance measurement that were carried out in the municipalities of other countries.

**Tasks of the dissertation:**

1. To carry out a historical overview of performance measurement practices in the municipalities of different countries and the analysis of scientific researches on the topic;
2. To develop performance measurement models that could become practically applied tools in improving performance measurement systems in Lithuanian municipalities;
3. To analyse the organisation of performance measurement systems in Lithuanian municipalities and the conditions to improve them;
4. To examine the dependence of performance measurement practices on different political, social, structural and cultural factors.<sup>1</sup>

*Novelty of the dissertation* is conditioned by its goal and tasks because municipal performance measurement practices is a new phenomenon almost never researched before in Lithuania. The researches of this dissertation are based on the methodology of action research which may appear non-traditional and innovative to the Lithuanian academic community dominated by positivistic tradition.

The Local Governance Balanced Scorecard and the Municipal Performance Measurement Model developed in this dissertation are innovative models designed on the basis of the Balanced Scorecard, formulated by Kaplan and Norton in 1992 (1996, 2004), and the Common Assessment Framework which has been broadly implemented in public sector organizations as the means for evaluating quality management systems since 2000.

The dissertation suggests an advanced concept of strategic management and performance measurement in the context of local governance, according to which all stakeholders should take part in processes of strategic management and performance measurement, and strategic development plans should include all goals and tasks, implementation of which needs initiative from stakeholders. Such approach to strategic management and performance measurement proceeds from the modern understanding of *governance* as a phenomenon opposed to *government* which has entrenched itself in the academic community of public administration in the last decade. The Local Governance Balanced Scorecard could be a tool to realize this approach.

The Municipal Performance Measurement Model gives an opportunity to evaluate performance measurement practices that exist in municipalities. Self-evaluation of management systems according to the Municipal Performance Measurement Model can be the first step in realizing changes related to implementation of performance measurement systems in municipalities.

*Practical implications of the dissertation.* Performance measurement systems are not developed in Lithuanian municipalities, managers and employees of municipalities lacks knowledge and skills to successfully organize performance measurement systems. Municipalities do not or almost do not apply strategic management and quality management models. Therefore, the material on performance

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<sup>1</sup> Note: this research task was formulated in the first stage of preparation for the scientific research but methodological assumptions based on which it was hoped to implement the task did not prove (please refer. to explanation in the section 3 of the chapter 7).

measurement models and the experience of municipalities of different countries collected and summarised in this dissertation and the developed models of performance measurement may empower Lithuanian members of municipal councils, mayors, heads of municipality administration and employees to implement needed changes and provide with the necessary knowledge.

**Sources and methods of the dissertation.** The dissertation is grounded on the action research methodology which is based on the pragmatic theory of knowledge. It is being argued that the pragmatic theory of knowledge following the epistemological approach, developed in the works of W.James (1995), J.Dewey (1981), J.Habermas (2004), R.Rorty (1979, 1982), differs from positivistic and interpretative theories of knowledge because under this epistemological paradigm the goals of scientific research and transformation of social reality are closely interrelated. After evaluating the action research approaches of K.Lewin, Ch.Argyris (Argyris ir kt., 1985), P.Checkland (Checkland, 1999; Checkland, Poulter, 2006) (Reason, Bradbury, 2001), a modified concept of action research, providing justification to the tasks of the dissertation and methods of their implementation, is formulated. It is argued that scientific research is the process of learning under which assumptions about social phenomena, their changes and the effectiveness of the methods of acquiring knowledge about social phenomena as well as the influence to the changes of social phenomena are formulated and tested, assumptions that are not approved by empirical facts are rejected, more accurate assumptions are postulated, etc. In other words, in the process of scientific research one learns by ‘trial and error’, by raising ideas and implementing them, making mistakes and avoiding their recurrence. Knowledge acquisition process in social sciences is also equated to the process of innovation creation and management, because namely discoveries and novelties - new theories, models and methods – that directly or indirectly cause positive changes in human lives, have great value in scientific cognition. Therefore, by developing this concept of scientific cognition it is possible to refer to the insights provided by the discipline of innovation management.

In aiming to implement the tasks of the dissertation those research and data collection methods are used: modelling, expert survey, content analysis, e-mail survey.

## **OVERVIEW OF THE DISSERTATION STRUCTURE**

The constituent parts of the dissertation are the following: introduction, theoretical and research parts, and conclusions. The first part ‘The Theoretical Analysis of Performance Measurement in Municipalities’ analyses the process of performance measurement and its opportunities in improving local government, evaluates the international experience in municipal performance measurement and examines the results of scientific researches on performance measurement. This part consists of four chapters.

**The first chapter ‘The Concept and Context of Performance Measurement in Municipalities’** formulates the descriptions of the major concepts and discusses the problems of term usage, analyses the peculiarities of performance measurement in municipalities, evaluates factors and motives that determine performance measurement practices in municipalities, overviews performance measurement practices and

researches in Lithuania. In the section 1.1 it is stated that the meaning of the concepts 'performance measurement', 'productivity measurement', 'performance evaluation', 'performance observation' is similar and the definition of the chosen concept 'performance measurement' is presented. Other concepts fundamental for this work and terms denoting them are discussed. Aiming to simplify the understanding of the terms used in the dissertation the glossary of major terms indicating English terms and their equivalents in Lithuanian is made.

The section 1.2 raises a question, how performance measurement practices in municipalities are similar and specific as compared to other public and private sector organisations. An assumption that the differences of performance measurement practices in different organisations are conditioned by organizational similarities and differences is formulated. Comparisons of different organisations (municipalities, private sector organisations, service rendering organisations, social organizations / political parties, state institutions, regional government institutions) according to five characteristics: variety of goals, competition, public interest, relationship with service customers, opportunities for citizen participation in governance.

According to the characteristic of goal variety, municipalities are similar to regional state institutions and different from other organizations. According to the characteristic of competition, municipalities, competing with one another, are similar to other organizations except central state institutions. According to the characteristic of public interest, municipalities, together with other public sector organisations and many social organizations differ from private sector organizations because the latter do not declare public interest. In terms of the characteristic of relationships with service customers municipalities fall under group of organizations that have immediate relationship with service customers (private sector and service rendering organisations belong to this group) as well as organisations that do not have direct contact with service clients. According to the characteristic of citizen participation in governance, municipalities are similar to social organisations and political parties which ensure participation in governance by the principle of membership. All the above discussed characteristics have an impact on the specifics of performance measurement in municipalities.

The section also evaluates similarities and differences of structure of municipalities and other organisations. It is being stated that municipal organisational structure is analogous to that of joint-stock companies, state institutions, public institutions, political parties and social organizations because all those organisations consist of representative, executive and hierarchically organized administrative institutions, and differs from such organizations as departments, ministries, individual enterprises that do not have institutions representing stakeholders. It is also specific to organizational structure of municipalities that they are dependent on central and regional government institutions and can establish municipal companies and public service rendering institutions. The chapter also presents arguments that organisational structure of municipalities also conditions the specifics of performance measurement – performance measurement systems in municipalities should also involve complex relations of accountability occurring between



municipal institutions, inside the institutions and between municipalities and other organizations upon which municipalities are dependent.

The section 1.3 discusses the factors that determined public management reforms since the 9th decade of the 20th century: low trust in public sector institutions, management deficit, globalization, ineffectiveness and inefficiency of public sector institutions as compared to that of private sector, financial crisis, and the development of information and telecommunication technologies. Because many researchers consider performance measurement technologies as one of the major elements of public management (Hood, 1992; Osborne, Gaebler, 1992), it is stated that the discussed factors conditioned the development of performance measurement practices. Moreover, motives why the heads of public sector organisations including municipalities, are interested in the implementation of performance measurement systems are set out: evaluation, control, budget formation, motivation, promotion, celebration, learning, improvement (Behn, 2003, p.588). Together with these motives that correspond to rational instrumental approach it is possible to explain institutionally why heads of public sector organizations decide to implement performance measurement systems. In this approach one of the essential motives for implementing changes related to performance measurement is the striving for recognition (Modell, 2004) because in this way municipalities could guarantee the status of ‘progressive organizations’ for themselves.

The section 1.4 overviews historical context of public sector reforms in Lithuania after the Restoration of Independence and it is noted that performance measurement in Lithuanian public sector is not a radical novelty – certain attempts to measure performance results, to rate organizations according to their achievements were used to be carried out in soviet times as well as in state government after the Restoration of Independence. The significance of public management reforms at the beginning of the 21<sup>st</sup> century – strategic planning, program budgeting reforms - for the development of performance measurement in Lithuanian municipalities is evaluated. It is stated that many municipalities even those that have endorsed strategic development plans, have not prepared performance indicators corresponding to their goals and tasks. Practices of monitoring and benchmarking almost do not exist in strategic management processes of municipalities. The Strategy of Public Administration Development up to the Year 2010 provides goals and tasks, the implementation of which, hopefully, will enable to achieve that performance measurement systems will be more and more implemented in Lithuanian municipalities in the nearest future. Furthermore, works of Lithuanian scholars in the field of performance measurement are evaluated and it is stated that broader interest in public sector performance measurement is noticeable since the beginning of the 21<sup>st</sup> century. However, the majority of publications are descriptive, presenting performance measurement models and describing performance measurement practices. In some cases questionnaire-based surveys are carried out but qualitative research methods have not still been used in publications of Lithuanian scholars analysing the topic of performance measurement.

**The chapter 2 ‘Conditions for Effective Performance Measurement Systems in Municipalities’** analyses general structure and conditions of performance measurement process that need to be ensured for performance management systems to be effective. Constituent parts of the analysed performance

measurement process are adoption and implementation (i.e. use of performance measurement information) of performance measurement are analysed. Performance measurement dysfunctions and ways of their elimination as well as conditions to implement changes related to performance measurement are also dealt with. The analysis is carried out on the basis of the literature and documents of practical nature of the last two decades and the results of the analysis are applied by developing the Municipal Performance Measurement Model (in the chapter 6 of the dissertation).

The section 2.1 examines the topic of performance measurement adoption. Systemic model of public policy implementation developed by G.Bouckaert (Bouckaert, 2003, p.39) helps to define the variety of goals, tasks and performance indicators that are theoretically possible to determine in public sector organizations as well as to understand better the relations between goals, tasks and performance indicators. With the help of this model performance indicators can express inputs, product volume or, in other words, outputs and outcomes, that is product impact on group of the society. The section also discusses different evaluation criteria of public institutions: effectiveness, efficiency, expenditure effectiveness, and economy. Their definitions and examples of performance indicators corresponding to the criteria are provided. Classifications of performance indicators presented in different sources are compared (Poister, 2003; Ammons, 2001; Hatry, 1980; 3 E Conception), success criteria of performance indicators are discussed (Mayne, Zapico-Goni, 1999, p.14). Different sources of information in the performance measurement process are evaluated. Peculiarities of identification of targets in the process of performance measurement are also discussed - targets enable not only to measure but also to evaluate actually achieved results, the evaluation of results is possible by comparing them with the targets.

The section 2.2 analyses the implementation of performance measurement which is defined as the use of performance measurement information. The following ways of performance measurement information application in municipalities are highlighted and evaluated: monitoring and accountability, strategic planning and management, budgeting and finance management, program management and evaluation, performance management and human resource management, contract management, external and internal benchmarking, public relations, knowledge management. The ways of the use of public sector performance measurement information are analysed in the works of different scholars (Poister, 2003; van Dooren, 2005), but the focus of this section is on the specifics of the use of performance measurement information in municipalities.

The section 2.3 discusses possible dysfunctions of performance measurement – cases when performance measurement systems in public sector organizations, including municipalities, may be ineffective, inefficient, and damaging to organizations - as well as strategies for diminishing them. It is argued that it is difficult to measure the impact of many processes of policy making and organizational management. Different theories analysing dysfunctional consequences of performance measurement are also dealt with. It is concluded that negative consequences of performance measurement processes depend on inappropriately formulated indicators, insufficiently allocated resources, inadequate organization of the use of performance measurement information. Performance measurement may cause the following dysfunctional

subsequencies: to pervert employee motivation (Blau, 1955; Ridgeway, 1957); cause tension, role and value conflicts, moral decline, antagonism, apathy, communicational distortions, decrease in integration degrees (Wagner, 1954); may cause 'the principle of racket' (Berliner, 1956). The classification of undesirable performance measurement outcomes by Smith (1995) and Radnor (2005) are also presented in the scientific work. At the end of the section the strategies for reducing dysfunctional consequences of performance measurement developed by different researchers including Smith (1995), Batterham (1995), Carter (1991), Jackson (1988), Hatry (1980), Mayne and Zapico-Goni (1999) are overviewed.

The section 2.4 analyses conditions for changes necessary to develop performance measurement systems in municipalities. It is assumed that municipalities are not able to implement management innovations that can improve their performance results because of three reasons: 1) lack of motivation; 2) lack of knowledge; 3) lack of resources (institutional, financial, technological, human). In order the changes related to the implementation of performance measurement systems and broader use of performance measurement information to occur in municipalities, appropriate tasks of change management are recommended. The section also discusses measures with the help of which these tasks could be implemented.

**The chapter 3 'The Historic Overview of Performance Measurement in Municipalities'** studies historical development of intellectual movements and reform initiatives that have influenced modern perception and practice of performance measurement. The section 3.1 evaluates and compares possible alternative classifications of historical stages of performance measurement: chronological, based on localisation in different historical periods, based on distinction of intellectual movements. Van Dooren developed the latter classification and highlighted fifteen movements that had had an impact on modern formation of conception of performance measurement in government institutions (van Dooren, 2005). Arguments why van Dooren's classification has to be modified are presented. Other sections of the chapter more profoundly analyse all eight intellectual movements according to the modified classification and discusses the relationship of every stage to the municipal performance measurement models that are presented in the chapter 6.

The section 3.2 overviews the impact of the movements that formed the science of statistics – political arithmetic in England of the 17th century, German university statistics in the 18th century, public health movement in England of the beginning of the 19th century, moral statistics in Belgium of the 19th century, population census - on the development of theory and practice of performance measurement in municipalities and evaluates relationships of every movement with modern practices of municipal performance measurement – benchmarking, outcome measurement.

The section 3.3 analyses the significance of applied social and management researches at the end of the 19th century and beginning of the 20th century – social surveys, cost accounting, scientific management - for the development of performance measurement practices in the municipalities of Great Britain and the USA. While the movement of social surveys can be related to practices of outcome measurement, cost

accounting and scientific management movements gave rise to output, efficiency and productivity measurements in municipalities.

The section 3.4 evaluates the impact of several non-governmental organizations – International City Managers' Association (since 1914 up to now), New York Bureau of Municipal Research and other bureaus of municipal research established on its lead (the 1st part of the 20th century), Urban Institute (since 1968 up to now ) - on the development of performance measurement in the USA municipalities. These organizations collect comparative information on state and performance of municipalities in the USA, carry out researches on management and implementation of means of performance measurement in municipalities.

The section 3.5 overviews the budgeting and performance measurement reform initiatives in the USA federal government: the Performance Budgeting in the 6th -7th decades of the 20th century, the Planning, Programming and Budgeting System (PPBS) of the sixties, the Management by Objectives and the Zero-Based Budgeting in the seventies, implementation of the Government Performance and Results Act in the nineties. Although the reforms were first implemented on the federal government level, they had an impact on the USA municipalities as well. The section also discusses the project of the Service Efforts and Accomplishments (SEA) that has been implemented in the USA municipalities and states since the middle of the nineties.

The section 3.6 examines several management models related to the New Public Management. It discusses new managerial technologies initially designed for the private sector and being applied in the public sector: conceptions and models of the Total Quality Management (the Malcolm Balridge Award, the EFQM Excellence Model, the Common Assessment Framework, the SERVQUAL model, quality management standards of the ISO 9000 series), as well as the Balanced Scorecard as a tool for improving strategic management and performance measurement processes in municipalities. It also evaluates opportunities to apply those technologies in municipalities.

The section 3.7 overviews reform initiatives of central, regional and local government in the United Kingdom and Australia aimed at the implementation of performance measurement systems in municipalities. Governmental programmes of the United Kingdom aimed at evaluation of municipal performance at the eighties, bottom-up initiatives of performance measurement, the implementation of the Best Value at the turn of the century and the implementation of the Comprehensive Performance Assessment in the United Kingdom in the beginning of the 21st century are evaluated. Examples of performance measurement reforms in the states of South Wales and Victoria, Australia, at the end of the last decade of the 20th century are dealt with.

The section 3.8 overviews performance measurement reforms initiated by central, regional, and local governments and municipal performance measurement practices in the countries of the continental Europe – Germany, Switzerland, and Sweden. The implementation of the New Steering Model, kik and kompass, the IKO network and other benchmarking projects in German municipalities in the 10th decade of the 20th century, the experience on performance measurement in Swiss cities Thun and Zurich, the experience of quality assessment in Stockholm and other Swedish municipalities are discussed.

The section 3.9 examines concepts of public governance as an alternative to government (Rhodes, 1992) and the characteristics of governance as formulated by different authors (Peters, Pierre, 2004). The principles of good governance – responsibility, accountability, participation, efficiency, social justice, transparency- are overviewed. The section also presents proposals of Bovaird and Löffler (2002, 2003) to transform such quality assessment models as the EQFM Excellence Model, the Common Assessment Framework to assess implementation of principles of good governance and quality of life in municipalities. The good governance assessment model - the Governance Health Check – developed by the organization *Governance International* is presented.

**The chapter 4 ‘Analysis of the Most Recent Scientific Publications on Performance Measurement’** presents the analysis of the most recent scientific publications on municipal performance measurement published in international scientific journals. The selection criteria of scientific publications - databases, keywords for selection of publications as well as publication periods - are presented in the section 4.1. It is stated that the criteria are based on the literature analysis as presented in the dissertation of van Dooren (2005). The differences in ways of doing analysis and selecting publications as compared to the analysis by van Dooren are provided as well. Six research questions based on which scientific publications were analysed are formulated. The results of the analysis according to each of the questions are presented in other sections of the chapter.

The section 4.2 analyses the question: ‘What major questions are raised in the researches on municipal performance measurement?’ Fifteen categories of research questions are highlighted and they are generalised into six categories on the basis of which such research questions of scientific publications as ‘the distribution of performance measurement practices’, ‘implementation of performance measurement’, ‘the use of performance measurement information’, ‘the impact of different factors on performance measurement and performance results’, ‘ensuring successful performance measurement’, ‘the impact and outcomes of performance measurement practices’ are grouped. Allocation of publications according to these categories is presented in the scheme. Examples of publications that correspond to every category are presented as well.

The analysis of scientific publications according to the question ‘Of which countries performance measurement practices are analysed?’ is presented in the section 4.3. Performance measurement practices in the municipalities of the United States of America, the United Kingdom, and Australia are analysed the most. Some scientific articles deal with the issues of performance measurement in the municipalities of Canada and New Zealand. The Netherlands distinguishes among the continental European countries by researchers’ interest in its performance measurement practices. Two articles examine Italian municipal performance measurement practices and one by one article studies public sector performance measurement practices on all EU countries as well Germany, Spain, Switzerland, Belgium, Ireland, and Norway. Some articles examine general regularities of performance measurement process or examples of several states are compared. Assumptions why publications examining performance measurement practices in the Eastern

Europe, South America, Asia or Africa were not selected are raised and the conclusion is formulated that the Anglo-Saxon countries are the leaders of reforms on performance measurement.

The section 4.4 analyses scientific publications according to the question ‘What is the time of publishing?’. Most scientific publications selected from the data bases according to search criteria were published in the period between 1999 and 2005. Up to 1999 every year several scientific publications satisfying search criteria were published and in some years (for example, in 1997, 1990, 1987, 1983, 1982, 1980) such publications were not published at all. It is assumed that the tendency of increased number of publications since 1999 can suggest that in this period scientists got especially interested in municipal performance measurement practices.

The section 4.5 analyses scientific publications according to the question ‘What is the research object?’. In the majority of the analysed scientific publications the research object is municipal performance measurement practices because the publications were searched according to certain key words. Many publications researching performance measurement practices in the institutions of all government levels – central, regional, local government – were selected as well. Other selected publications examine performance measurement practices in one or several sectors of municipal performance: police, libraries, treatment of waste, drinkable or drain water, parks and recreation, transport infrastructure, social services, etc. Some selected publications analyse performance measurement practices in central and regional state institutions, public and private sectors because the research results have an impact on municipalities.

The section 4.6 analyses a question ‘What is the orientation and range of theories developed in scientific publications?’. Three possible theoretical orientations of scientific publications are discussed: positivist, interpretative and pragmatic. After carrying the analysis 37 scientific publications were subsumed to pragmatic paradigm, 34 publications to positivistic paradigm and 14 publications – to interpretative paradigm. 12 scientific publications presented scientific researches which have the characteristic of both traditions – positivistic and pragmatic. Mixed research methods are used in some publications; therefore, it is suggested that they combine positivistic and interpretative traditions and some scientific publications present historical analysis of performance measurement practices. The section also presents the classification of small, medium and broad range theories as suggested by Robert Merton (1968). After carrying out the analysis (similar to the one carried out in the dissertation of van Dooren (2005)), small range are detected in the majority of publications. Other publications are subsumed to the group of medium range theories and just in a few publications it is attempted to formulate broad range theories or to refer to such theories.

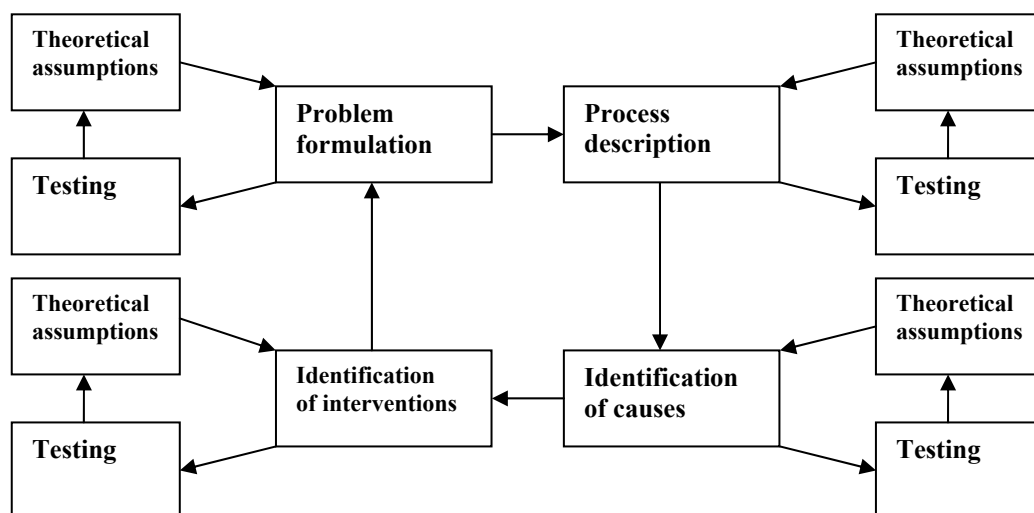
The section 4.7 analyses the question ‘What research and data gathering methods are used in the researches on municipal performance measurement?’. Arguments that data gathering methods should be differentiated from research methods are provided. After analysing the selected scientific publications it became evident that case study or several cases study is the most used research method. Descriptive statistics and hypothesis testing by using different ways of statistical analysis are broadly used. Other research methods include regression, correlation and factorial analysis, longitudinal research and modelling,

critical analysis and action research, meta-analysis and literature analysis, data envelopment analysis, historical research, cluster analysis, logit analysis, Delphi analysis, content analysis, benchmarking, ANOVA analysis, grounded theory research, comparison of standard deviations, conformity to criteria analysis, and statistical significance tests. Many publications use several research methods for the study of performance measurement. The most widely used data collecting methods in the researches on performance measurement include surveys, document (legal documents, plans, reports, budget documents) analysis and interviews. Other data collection methods used in scientific publications are the following: literature analysis, analysis of statistical data, participant observation, expert surveys, textual analysis, archival data analysis, performance indicator analysis, participation in meetings, discussions, focus groups interviews. Different data sources are used in the majority of publications.

The second part of the dissertation ‘The Research of Performance Measurement Practices in Municipalities’ presents the methodology and results of the research. This part includes chapters 5 through 7.

Methodological justification of the researches carried out in the dissertation is presented in **the chapter 5 ‘Research Methodology’**. The section 5.1 reviews major epistemological paradigms in social sciences: positivistic, interpretative and pragmatic and it is argued that pragmatic paradigm provides the most opportunities in applied academic disciplines of management and public administration. Historical origins of action research method as a way of researching in pragmatic paradigm are surveyed and the concepts of action research as the process of learning (by trial and error) and innovation management are formulated. The strategy of the dissertation research is explained with the help of the concept of the cycle of action research (as presented in Scheme No. 1).

Scheme No. 1 Cycle of action research



Major methods of scientific research and data collecting - modelling, expert survey, content analysis, questionnaire-based survey – used in the researches of this dissertation as well as the advantages and disadvantages of the methods are overviewed and evaluated in the sections 5.2. – 5.5.

By using the methods of modelling and expert survey, normative models that could be used in improving municipal performance measurement processes are developed in the **chapter 6 ‘Modelling of Performance Measurement Processes in Municipalities’**. The Local Governance Balanced Scorecard is developed in the section 6.1 by using the example of the traditional Balanced Scorecard. The new model differs from its predecessor by the fact that the systems of strategic management and performance measurement designed under the Local Governance Balanced Scorecard could cover all governance processes in which municipalities and state government institutions are not the only agents as well as the results of the processes. The Local Governance Balanced Scorecard is made of four perspectives: financial, quality of life, local governance processes and learning and growth. Every perspective is discussed in detail and typical goals and tasks, processes, indicators, possible sources of information and personal commitments of every perspective are formulated and presented in the tables.

Financial perspective is discussed in the section 6.2. Separate goals and indicators for municipal institutions, business companies, non-governmental organizations and communities are formulated in this perspective.

Quality of life perspective is discussed in the section 6.3. This perspective is divided into nine dimensions: environment, education, public security, demographical / health, social, business, home environment and infrastructure, moral/ cultural, service quality. Every dimension in the tables is provided with goals, objective and subjective indicators, and the sources of information. The indicators of this perspective include the outcomes to be reached that depend not only on a municipality but on all inhabitants and organizations operating in the territory of a municipality.

The local governance processes’ perspective in all nine dimensions is discussed in the section 6.4. As the processes of local governance are needed in order to achieve the quality of life goals it is necessary to settle the tasks to improve the processes and indicators to measure them. Beside indicators for each process, sources of information and commitments of all persons and organizations that take part in these processes are marked in the tables.

Learning and growth perspective is discussed in the section 6.5. Indicators, sources of information, commitments of persons and organizations are formulated in the tables. Human and technological resources, necessary for the maintenance and development of local governance processes: knowledge, moral attitudes, and various technologies - are planned and measured under the learning and growth perspective.

By the example of the Common Assessment Framework the Municipal Performance Measurement Model is formulated in the section 6.6. The Model is made of four general criteria: change management, preparation and implementation of performance measurement, use of performance measurement information, understanding of performance measurement dysfunctions and strategies to minimize them. Every general criterion is made of constituent criteria that are defined by certain attributes. According to this model the conformity between municipal performance measurement systems and the attributes and criteria can be rated from 0 to five points.



The results of the condition of performance measurement in Lithuanian municipalities are presented in the **chapter 7 ‘Analysis of the Performance Measurement Condition in Lithuanian Municipalities’**. Seeking to ensure the principle of triangulation performance measurement practices in Lithuanian municipalities were examined by using different methods. The major goal of all researches was to evaluate the existing practices according to the criteria of the Municipal Performance Measurement Model.

The analysis of legal conditions for municipal performance measurement with critical interpretation of law of the Republic of Lithuania related to performance measurement (laws, Government resolutions, orders of ministers) is presented in Part 7.1 The legal documents regulating strategic planning, internal audit, performance evaluation of state officials, and processes of public policy monitoring are examined.

The research analysing the content of municipal strategic plans which was carried out by the students of Mykolas Romeris University led by Dangis Gudelis is presented in the section 7.2. 50 different strategic development plans of Lithuanian municipalities as provided in the websites of municipalities were analysed. Research data are used to evaluate the performance measurement systems in the Lithuanian municipalities according to some attributes of constituent criteria of the Municipal Performance Measurement Model. The section also evaluates deficiencies of municipal strategic development plans and provides the results of additional qualitative content analysis of municipal strategic planning documents.

The section 7.3 presents the structure of questionnaire-based survey which was designed on the basis of the Municipal Performance Measurement Model. Respondents of the survey were heads, deputy heads and heads of subdivisions of municipal administration. Reasons that determined remote respondent activity and methodological assumptions that proved to be inaccurate in the course of research are evaluated as well. After providing arguments why research objectives had to be changed and evaluating medium values of responses to survey questions according to the general and constituent criteria of the Municipal Performance Measurement Model, benchmarking analysis of performance measurement systems in Lithuanian municipalities is presented. The results of the analysis as well as comparison of implementation of the Municipal Performance Measurement Model in the surveyed Lithuanian municipalities are presented in the tables (Table No 1).

Table No. 1. Comparison of municipalities according to the degree of implementation of the Municipal Performance Measurement Model

<b>Municipalities</b>	<b>Points</b>	<b>Municipalities</b>	<b>Points</b>
Anykščiai district	525	Skudodas district	329,33
Elektrėnai	495	<b>Medium</b>	<b>326,5</b>
Alytus	489	Mažeikiai district	319
Kėdainiai district	451,5	Rokiškis district	316,3
Marijampolė	448,5	Vilkaviškis district	313,75
Pasvalys district	446,5	Kazlų Rūda	310,5
Šalčininkai district	417	Vilnius district	304,28
Radviliškis district	402	Kaišiadoriai district	292
Jonava district	393,37	Šiauliai district	292
Ukmergė district	392,5	Utena district	292
Joniškis district	388	Varėna district	281,5
Šilutė district	370,91	Kaunas	281

Kelmė district	367,33	Pagėgiai	277,5
Birštonas	360	Vilnius	264,4
Palanga	360	Šakiai district	256,17
Trakai district	345	Kretinga district	255
Druskininkai	341	Širvintos district	248,5
Biržai district	340,8	Jurbarkas district	211,5
Plungė district	339,83	Kaunas district	210,25
Klaipėda	333,77	Molėtai district	154
Visaginas	333	Raseiniai district	134
Panevėžys	331,33	Telšiai district	25

## CONCLUSIONS

One of the major achievements of this research is indirect, that is it was not planned in the beginning of the work when the goals and tasks of the scientific research were formulated. In the research process it became clear that the most relevant epistemological paradigm for the measurement of municipal performance practices is pragmatic and the object of this scientific research is to be understood both as the trial and error process and innovation management process and is to be carried out as action research by formulating factual, normative and methodological assumptions, examining and changing them. The structure of this research work can be justified by reflecting on the constituent parts of the dissertation as the stages of action research cycle. Also it should be noted that the validity of the theoretical and empirical analyses of the research is secured by the conception of the scientific research as the trial and error process - some methodological assumptions postulated in the beginning of the work were not proved and thus can be identified as errors that one could learn from in the future.

1. After examining performance measurement history since the 17th century the assumption is proved that the development of performance measurement practices in the public sector institutions (including municipalities) is closely related to the development of performance measurement researches (both theoretical and empirical). The overview of eight performance measurement movements has revealed that the ideas of researchers analyzing the public sector performance measurement stimulated performance measurement practices of public sector organizations. On the other hand, performance measurement practices themselves was an object of scholars' interest and, thus, the source of scientific research development. .

The historical overview has only partly proved the approach widely spread among management scholars that the public sector intercepted performance measurement and other management models and practices from the private sector. This assumption proves to be legitimate only in the cases of some management models and practices of the 20<sup>th</sup> century (scientific management, the Total Quality Management, strategic management and the New Public Management) but the period up to the 20th century is more characterized by the opposite statement – the ideas of management (and performance measurement) were first implemented in the government sector.

The historical performance measurement movements in the public sector have been overviewed as regards to their impact on municipal performance measurement practices. It is noticed that in some cases the

spreading of the movements was limited to municipal territories (for example, W. Petty researches of English towns, Ch. Booth researches in London, the activities of municipal research bureaus in the USA) and in other cases the movements were developed on the central government level and later intercepted by municipalities (for example, the reform initiatives of the US presidents of the 20<sup>th</sup> century).

Moreover, the assumption is proved that in the centralized states municipal performance measurement reforms are implemented 'top down', in a centralized way (for example, the Best Value and the Comprehensive Performance Assessment initiatives in the United Kingdom) and in more decentralized states performance measurement initiatives are started 'bottom up', as experiments of individual municipalities, and other municipalities, central and regional governments learn from them (for instance, the Tilburg model, the New Steering Model in Germany, performance measurement reforms in Swiss municipalities).

The historical overview has presented the facts that partly prove a widely spread assumption that Anglo-Saxon states pioneered in performance measurement field. Namely the 19th century England, the United States of America and Australia at the end of the 20th century witnessed significant performance measurement movements. Yet the impact of other countries, especially those of continental Europe should be valued (for example, moral statistics of the 19th century Belgium, German universities' statistics of the 18th century, etc.)

Eight performance measurement movements discussed in the historical overview can be grouped according to the kind of results that received the major notice by performance measurement practices. It is possible to claim that up to the beginning of the 20th century outcome (effectiveness) measurement dominated and since the beginning of the 20th century scientists and practitioners focus on input and output (efficiency) (for example, cost accounting, scientific management, municipal research bureaus, the New Public Management). The end of the 20th century and the beginning of 21st century is marked by the renewed interest on outcome management (for example, the movement of quality of life indicators).

The resumptive conclusion of this part of the research is that performance measurement historical development can not be judged as constantly progressing. It is better to claim that in the 21st century the interest in performance measurement is not smaller than in the beginning of the 20th century and scholars of every new generation rediscover the ideas of their predecessors (for example, reforms of the New Public Management have many similarities with Hoover recommendations on performance budgeting in the United States in 6th decade of the 20th century and the PPBS in the 7th decade). True, informational technologies of the 21st century provide more opportunities to realize performance measurement ideas than sometime earlier.

2. The analysis of scientific publications on municipal performance measurement has made it possible to evaluate the dominating tendencies of scientific research in the international academic public administration community - what questions are being raised and in what theoretical paradigms they are formulated, what research and data collection methods are used to achieve research results. The analysis served in choosing and justifying factual, normative and methodological assumptions for the dissertation.

While analyzing scientific publications it has become clear that scholars specializing in performance measurement are most interested in the topic of performance measurement implementation (how performance measurement projects, programmes and legislation regulating performance measurement procedures are put into effect, how performance measurement process is proceeded, how performance measurement information is used). They also take much interest in what factors condition performance measurement practices and performance results. Scholars are also interested in how different performance measurement models and related practices are spread throughout municipalities. Another group of scientific publications formulates recommendations on how to ensure the success of performance measurement process, the validity and reliability of performance measurement and how to design appropriate performance indicators.

The analysis of scientific publications has revealed the increasing interest in performance measurement at the turn of the century and that it is not decreasing up to now (since 1998 more and more scientific publications analyzing the topic of municipal performance measurement has been published). Municipal performance measurement practices attract the highest scientific interest in the United States of America and other Anglo-Saxon countries including the United Kingdom, Australia, and Canada. Holland distinguishes from other continental European countries by its interest with this topic.

The scientific publications have been classified according to research orientation and range of theories. Almost the same number of scientific publications is attributed to positivistic and pragmatic paradigms (the latter paradigm is characterized by application of scientific research results aiming to improve social practices, in this case – performance measurement practices). Somewhat less scientists analysed performance measurement practices under interpretative paradigm. The fact that majority scientists analyse performance measurement from the pragmatic paradigm approach was one more argument for choosing this paradigm as an epistemological basis for the dissertation research.

Also it is possible to draw a conclusion that small range theories (that is, individual case studies) dominate the research of performance measurement researches. The conclusion is also supported by the fact that the case or several cases studies is the most widely used research method in the screened scientific publications. Middle range theories based on assumptions from which it is possible to derive empirically tested hypotheses about the relations among different social phenomena (the hypotheses can be tested invoking the methods of statistical analysis – correlation, regressive and factorial) are used more rarely. Broad range theories providing comprehensive explanations of social phenomena almost do not appear among the screened scientific publications.

The analysis of publications also has revealed that questionnaire-based surveys is not the only possible data collection method in the researches on performance measurement. Although questionnaires are used over one third of all screened scientific publications, there are many publications that apply other data collection methods: document analysis, literature analysis, interview, analysis of statistical data, participant observation, expert surveys. The conclusion can be referred to when arguing why the questionnaire-based

survey of heads of municipal administrative subdivisions used in the dissertation research is not underlying one, that it is just one of several data collection methods.

3. One of the most significant innovations of this work is the formulation of the Local Government Balanced Scorecard and the Municipal Performance Measurement Model. The development of these models conforms to the stage of creating normative assumptions on performance measurement processes and interventions in the cycle of action research, i.e. the models present a prospect about the ideal performance measurement processes in municipalities and on the basis of the prospect it is possible to evaluate real processes. The prospect can also serve as a motivational factor stimulating municipalities to improve their performance measurement practices. The perspectives, processes and performance indicators marked in the Local Government Balanced Scorecard can be directly applied to the improvement of performance measurement systems. Thus, the model can serve as a specific intervention to improve municipal performance measurement and ensure the principles of good governance.

Four perspectives of the Local Governance Balanced Scorecard - financial, quality of life, local governance processes, learning and growth – makes it possible to apply this model when preparing and implementing strategic plans in territorially bounded inter-sectional, inter-organizational and inter-institutional networks the entirety of which is defined by the concept of ‘local governance’ suggested in the dissertation research. In the Lithuanian context it would be matter-of-course to apply the model when preparing and implementing strategic development plans in municipalities. Given the model is implemented, strategic development plans could project commitments not only of municipalities, but also of different stakeholders – communities, non-governmental organizations, business companies, non-associated inhabitants grouped according certain characteristics (for example parents, students, the unemployed) – operating in the territories of municipalities, to pursue goals beneficial for the general society.

The Municipal Performance Measurement Model was developed as a means to evaluate performance measurement systems in municipalities. The model includes four criteria – change management, performance measurement adoption and implementation, the use of performance measurement information, the identification of performance measurement dysfunctions and strategies of their elimination. Each criterion is split into constituent criteria that are defined by certain attributes. According to the model municipal performance measurement systems could be evaluated regularly (for instance, annually) and the evaluation could be carried out by special working groups within a municipality. Every attribute should be rated from 0 to 5 and then the indexes of constituent and general criteria as well as the general index of the model implementation, evaluating the state of performance measurement systems, could be calculated. The structural principle of the model is analogous to the Malcolm Balridge, the EQFM Excellence Model and the Common Assessment Framework, however, the Municipal Performance Measurement Model differs from the mentioned ones because it is used not for the comprehensive evaluation of organizational management systems, but only for the evaluation of performance management systems.

4. In the general cycle of action research the research on the condition of performance measurement state in Lithuanian municipalities corresponds to the stages of testing of factual assumptions about

performance measurement processes and normative assumptions on performance measurement interventions. The research evaluated the condition of performance measurement in Lithuanian municipalities on the basis of the criteria of the Municipal Performance Measurement Model.

The analysis of legislation of the Republic of Lithuania, which were put into effect since 2002, has revealed that although legal acts precondition the elements of performance measurement systems, the legal basis is not developed enough to obligate municipalities to implement performance measurement systems corresponding to the criteria of the Municipal Performance Measurement Model in a centralized way. The major shortcomings of the legislation are the following: 1) the legal acts do not provide for the clear procedures how should institutions report about the achievements of the goals set in the strategic plans; 2) the procedures on how to apply performance measurement information in the stage of environment analysis are not designed; 3) the process of strategic planning is not related to the processes of strategic planning and performance measurement on the subdivision and individual employee levels; 4) the legal acts do not determine how to quantitatively measure such criteria as economy, effectiveness and efficiency; 5) the legal acts do not regulate the use of monitoring information for strategic planning and other organizational management processes.

The results of content analysis revealed the following discrepancies between municipal performance measurement systems and the criteria of the Municipal Performance Measurement Model: 1) strategic development plans do not set performance indicators for goals and tasks; 2) they do not provide for cause-effect relations between goals and tasks; 3) they do not set targets; 4) strategic development plans do not clearly define commitments of social partners (stakeholders) for preparing and implementing strategic development plans and ensuring their monitoring; 6) financial goals are not formulated; 7) the reports do not account for the implementation of specific goals and tasks, do not provide quantitative information; 8) the plans of subdivisions, institutions and municipal companies are not related to the strategic development plans and do not include performance indicators and targets; 9) the wording of performance indicators is not always correct.

Aiming to evaluate the condition of performance measurement in Lithuanian municipalities, the questionnaire-based survey, the respondents of which were heads or deputy-heads of municipal administration and heads of administrative subdivisions was carried out. Based on the survey results it is assessed how, in subjective opinion of heads of municipal administration, performance measurement practices conform to the criteria of the Municipal Performance Measurement Model. After calculating the variable values according to the criteria of Municipal Performance Measurement Model (as the medium values of answers to certain questions of the questionnaire) benchmarking of municipalities was carried out. After analysing the responses of 107 respondents, the benchmarking of 43 municipalities according to general index of conformity to the model revealed that municipalities of Anykščiai district, Elektrėnai and Alytus towns are evaluated the best and Telšiai, Raseiniai and Molėtai district municipalities are evaluated the worst.

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2. Gudelis D., Rozenbergaitė V. Opportunities of the Public Private Partnerships, *Public Policy and Administration*, No.8, Vilnius: LUL Publishing Center, , No.8, 2004.
3. Guogis A., Gudelis D. Theoretical and Practical Aspects of the Application of the New Public Management, *Public Policy and Administration*, Vilnius: LUL Publishing Center, No. 4, 2003.
4. Guogis A., Gudelis D. Opportunities of Development of Social Services' Sector in Lithuania, *Public Policy and Administration*, Vilnius: MRU Publishing Center, No.12, 2005.
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1. Gudelis D. Viešojo valdymo tobulinimas, panaudojant veiklos vertinimą ir žinių vadybą, *Viešoji politika ir administravimas*, Vilnius: LTU Leidybos centras, Nr. 10, 2004 (anglų kalba).
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**SAVIVALDYBIŲ VEIKLOS MATAVIMO MODELIAI IR JŲ ĮGYVENDINIMO GALIMYBĖS  
LIETUVOJE**

**Reziumė**

**Bendroji temos charakteristika ir aktualumas.** 1995-aisiais metais Robertas D. Behnas (1995) žurnale *Public Administration Review*, pasiremdamas fizikos mokslų analogija, suformulavo tris didžiuosius klausimus, kurie, jo požiūriu, turėtų rūpėti viešajai vadybai XXI-ame amžiuje. Vienas iš jų buvo matavimo klausimas: *kokiais būdais viešųjų organizacijų vadovai gali matuoti jų vadovaujamų įstaigų pasiekimus, kad matavimas pasiekimus teigiamai veiktų?*

Prabėgus dešimtmečiui nuo Behno straipsnio pasirodymo, daugybė knygų ir straipsnių moksliniuose žurnaluose, viešojo sektoriaus organizacijų pokyčiai, kuriuos sąlygoja diegiami veiklos matavimo, veiklos vadybos ir kokybės vadybos modeliai, įvairių šalių Vyriausybių iniciatyvos įgyvendinti veiklos matavimo programas tik patvirtina Behno išvalgą apie viešųjų organizacijų veiklos matavimo svarbą. Veiklos matavimas (angl. *performance measurement*), viena iš pagrindinių Naujosios viešosios vadybos reformų paketo priemonių, daugelį metų išlieka reikšminga „vadybos mada“, kuria seka mokslininkai ir praktikai tradiciškai labiau išsivysčiusiomis vadinamose angliškai kalbančio pasaulio ir kontinentinės Vakarų Europos šalyse. Ši mada pamažu ateina ir į po-komunistines Vidurio Europos šalis, kurios neseniai tapo ar planuoja tapti Europos Sąjungos narėmis, ir kurios įvairiose viešojo administravimo srityse perima ‘pažangesnių’ šalių patirtį.

Lietuvos viešojo sektoriaus organizacijos, tarp jų ir savivaldybės, taip pat dalyvauja minėtame patirties perėmimo procese, ir, nors iki šiol veiklos matavimo praktikos viešojo sektoriaus organizacijose tebėra menkai institucionalizuotos arba iš viso neegzistuoja, tikėtina, kad artimiausioje ateityje šioje srityje vyks reikšmingi pokyčiai. Todėl taikomojo pobūdžio mokslinis viešojo sektoriaus veiklos matavimo problematikos tyrimas, kuris numatytų viešojo sektoriaus veiklos matavimo sistemų plėtros gaires, įvertintų tokios plėtros galimybes ir grėsmes, siūlytų perspektyvius modelius, yra labai reikalingas.

**Mokslinė problema:** Veiklos matavimo praktikoms viešojo sektoriaus organizacijose ir savivaldybėse skiriama nepakankamai dėmesio Vidurio ir Rytų Europos šalių viešojo administravimo mokslinėje literatūroje, nors šią problematiką plačiai tyrinėja Vakarų šalių (ypač anglosaksų šalių) mokslininkai. Lietuvoje viešojo sektoriaus veiklos matavimo problematika iki šiol nebuvo nagrinėta mokslininkų disertacijose.

**Mokslinio tyrimo tikslas:** Šio mokslinio darbo tikslas yra, pasinaudojus kitų šalių mokslininkų atliktų savivaldybių veiklos matavimo problematikos tyrimų rezultatais, iširti veiklos matavimo būklę ir plėtros galimybes Lietuvos savivaldybėse.

**Mokslinio tyrimo uždaviniai:**

1. Atlikti veiklos matavimo įvairių šalių savivaldybių praktikos ir mokslinių tyrimų istorinę apžvalgą, mokslinių tyrimų problematikos analizę;
2. Sudaryti veiklos matavimo modelius, kurie galėtų tapti praktiškai panaudojamais įrankiais, tobulinant Lietuvos savivaldybių veiklos matavimo sistemas;
3. Ištirti, kaip organizuojamas veiklos matavimas Lietuvos savivaldybėse ir kokios yra sąlygos tobulinti savivaldybių veiklos matavimo sistemas;
4. Ištirti, kaip savivaldybių veiklos matavimo praktikos priklauso nuo įvairių politinių, socialinių, struktūrinių ir kultūrinių veiksnių.<sup>2</sup>

**Darbo mokslinis naujumas.** Mokslinio darbo naujumą sąlygoja iškeltas mokslinio tyrimo tikslas ir uždaviniai, kadangi savivaldybių veiklos matavimo praktikos yra naujas reiškinys Lietuvoje, šio reiškinio Lietuvos mokslininkai beveik nėra tyrinėję. Taip pat mokslinio darbo tyrimai remiasi veiklos tyrimo metodologija, kuri Lietuvos socialinių mokslų bendruomenei, kurioje vyrauja pozityvistinės mokslinių tyrimų tradicijos, turėtų pasirodyti netradicinė ir naujoviška.

Moksliniame darbe plėtojami Vietovaldos subalansuotų rodiklių modelis ir Savivaldybių veiklos matavimo modelis yra naujoviški modeliai, sudaryti, remiantis Subalansuotų rodiklių modeliu (angl. *the Balanced Scorecard*), kurį 1992-aisiais metais suformulavo Kaplanas ir Nortonas (1996, 2004), ir Bendruoju vertinimo modeliu, nuo 2000-ųjų metų plačiai taikomu viešojo sektoriaus organizacijose kaip kokybės vadybos sistemų įsivertinimo priemonė.

Moksliniame darbe siūloma pažangi strateginio valdymo ir veiklos matavimo vietovaldos kontekste samprata, pagal kurią savivaldybės strateginio valdymo ir veiklos matavimo procesuose turėtų dalyvauti visos suinteresuotos grupės, o strateginiame plėtros plane būtų numatyti tikslai ir uždaviniai, kurių įgyvendinimui reikalinga įvairių suinteresuotų grupių iniciatyva. Vietovaldos subalansuotų rodiklių modelis gali būti įrankiu tokiam požiūriui realizuoti.

Savivaldybių veiklos matavimo modelis sudaro sąlygas įvertinti savivaldybėje egzistuojančias veiklos matavimo praktikas. Valdymo sistemos įsivertinimas pagal Savivaldybių veiklos matavimo modelį savivaldybėje gali būti pirmasis žingsnis įgyvendinant su veiklos matavimo sistemos diegimu susijusius pokyčius.

**Praktinė darbo reikšmė.** Lietuvos savivaldybėse veiklos matavimo praktikos nėra plačiai paplitusios, savivaldybių vadovams ir darbuotojams trūksta žinių ir įgūdžių sėkmingoms veiklos matavimo sistemoms organizuoti. Savivaldybėse tik pradedami taikyti strateginio valdymo ir kokybės valdymo modeliai. Moksliniame darbe surinkta ir apibendrina medžiaga apie veiklos matavimo modelius ir patirtį įvairių šalių savivaldybėse bei išplėtoti veiklos matavimo modeliai, galėtų paskatinti Lietuvos

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<sup>2</sup> Pastaba: šis tyrimo uždavinys buvo suformuluotas pirmajame mokslinio darbo rengimo etape, tačiau metodologinės prielaidos, kuriomis remiantis buvo tikimasi šį uždavinį įgyvendinti, nepasitvirtino.

savivaldybių tarybų narius, merus, savivaldybių administracijų vadovus ir darbuotojus įgyvendinti reikalingus pokyčius, suteikti jiems reikalingų žinių.

**Mokslinio tyrimo šaltiniai ir metodai.** Moksliniame darbe remiamasi veiklos tyrimo (angl. *action research*) metodologija, kuriai pagrindimą suteikia pragmatinė pažinimo teorija. Moksliniame darbe argumentuojama, jog pragmatinė pažinimo teorija, kuri atitinka epistemologinį požiūrį, plėtojama W.Jameso, J.Dewey, J.Habermaso, R.Rorty darbuose, skiriasi nuo pozityvistinės ir interpretatyvinės pažinimo teorijų, nes šioje epistemologinėje paradigmoje mokslinio pažinimo ir socialinės tikrovės transformavimo tikslai yra glaudžiai tarpusavyje susiję. Šiame moksliniame darbe, įvertinus K.Lewino, Ch., P.Checklando veiklos tyrimo (angl. *action research*) požiūrius, formuluojama veiklos tyrimo ciklo samprata, suteikianti pagrindimą pasirinktiems mokslinio tyrimo uždaviniams ir jų įgyvendinimo metodams.

Siekiant įgyvendinti mokslinio tyrimo uždavinius, panaudojami šie tyrimo ir duomenų rinkimo metodai: modeliavimas, ekspertų apklausa, turinio analizė, anketinė apklausa.

## DARBO STRUKTŪROS APŽVALGA

Disertaciją sudaro įvadas, teorinė ir tyrimo dalys, išvados. Pirmojoje dalyje analizuojamas veiklos matavimo procesas ir jo galimybės tobulinant valdymą savivaldybėse, įvertinama veiklos matavimo savivaldybėse pasaulinė patirtis ir analizuojami veiklos matavimo mokslinių tyrimų rezultatai. Šią disertacijos dalį sudaro 1-4 skyriai.

**Pirmame skyriuje** formuluojami pagrindinių sąvokų apibrėžimai bei aptariamos terminų vartojimo problemos, nagrinėjami veiklos matavimo savivaldybėse ypatumai, įvertinami veiklos matavimo praktikas savivaldybėse lemiantys veiksniai ir motyvai, apžvelgiama veiklos matavimo praktika ir tyrimai Lietuvoje. Skyriaus dalyje 1.1. konstatuojama, jog sąvokų „veiklos matavimas“, „produktyvumo matavimas“, „veiklos vertinimas“, „veiklos stebėsena“ reikšmės yra panašios, pateikiami darbe pasirinktos sąvokos „veiklos matavimas“ apibrėžimai. Aptariamos ir kitos šiam darbui esminės sąvokos ir jas žymintys terminai.

Skyriaus dalyje 1.2 keliamas klausimas, kuo veiklos matavimo praktikos savivaldybėse yra specifinės ir kuo panašios, lyginant su kitomis viešojo sektoriaus organizacijomis ir privataus sektoriaus organizacijomis. Formuluojama prielaida, jog veiklos matavimo praktikų skirtumai skirtingose organizacijose yra sąlygojami organizacijų skirtumų ir panašumų, šie skirtumai ir panašumai įvertinami, palyginus įvairias organizacijas.

Skyriaus dalyje 1.3 aptariami viešosios vadybos reformos nuo XX-o amžiaus devintojo dešimtmečio nulėmę veiksniai. Kadangi veiklos matavimo technologijas daugelis tyrinėtojų laiko vienu pagrindinių viešosios vadybos elementų, teigiama, jog minėti veiksniai sąlygojo ir veiklos matavimo praktikų plėtrą. Taip pat išdėstomi motyvai, dėl kurių viešojo sektoriaus organizacijų, taip pat ir savivaldybių, vadovai yra suinteresuoti diegti veiklos matavimo sistemas.

Skyriaus dalyje 1.4 apžvelgiamas viešojo sektoriaus reformų Lietuvoje po Nepriklausomybės atkūrimo istorinis kontekstas, įvertinama XXI-o a. pradžios viešojo valdymo reformų – strateginio

planavimo, programinio biudžeto – reikšmė, plėtojant veiklos matavimą Lietuvos savivaldybėse. Taip pat įvertinami Lietuvos mokslininkų darbai veiklos matavimo srityje.

**Antrame skyriuje** nagrinėjama veiklos matavimo proceso bendroji sandara ir sąlygos, kurias reikalinga užtikrinti, kad veiklos matavimo sistemos būtų veiksmingos. Skyriaus dalyje 2.1. nagrinėjama veiklos matavimo parengimo problematika. Pristatomas G.Bouckaerto sudarytas sisteminis viešosios politikos įgyvendinimo modelis (Bouckaert, 2003, p.39), pateikiami tipinių veiklos rodiklių ir vertinimo kriterijų apibrėžimai. Tarpusavyje palyginamos skirtinguose šaltiniuose pateiktos veiklos rodiklių klasifikacijos, aptariami veiklos rodiklių sėkmingumo kriterijai. Įvertinami įvairūs informacijos šaltiniai veiklos matavimo procese. Taip pat aptariami siekinių nustatymo veiklos matavimo procese ypatumai.

Skyriaus dalyje 2.2 nagrinėjamas veiklos matavimo įgyvendinimas, kuris apibrėžiamas kaip veiklos matavimo informacijos panaudojimas. Išskiriami ir įvertinami tokie veiklos matavimo informacijos panaudojimo savivaldybėse būdai.

Skyriaus dalyje 2.3 aptariamos galimos veiklos matavimo disfunkcijos. Aptariamos skirtingos veiklos matavimo disfunkcinės pasekmės analizuojančios teorijos. Taip pat pristatomos nepageidaujamų veiklos matavimo pasekmių klasifikacijos, apžvelgiamos įvairių tyrinėtojų suformuluotos strategijos veiklos matavimo disfunkcinėms pasekmėms sumažinti.

Skyriaus dalyje 2.4 analizuojamos sąlygos, kurios reikalingos, kad savivaldybėse būtų įgyvendinti veiklos matavimo sistemoms atsirasti reikalingi pokyčiai. Daroma prielaida, jog savivaldybės nėra pajėgios įdiegti jų veiklos rezultatus galinčių pagerinti vadybos naujovių dėl trijų priežasčių: motyvacijos stygiaus, žinių stygiaus, išteklių (institucinių, finansinių, technologinių, žmogiškųjų) stygiaus. Savivaldybėms, kad jose vyktų su veiklos matavimo sistemų tobulinimu susiję pokyčiai, rekomenduojami atitinkami pokyčių valdymo uždaviniai ir priemonės.

**Trečiajame skyriuje** apžvelgiama šiuolaikiniam veiklos matavimo supratimui ir praktikai turėjusių įtakos intelektualinių judėjimų ir reformų iniciatyvų istorinė raida. Skyriaus dalyje 3.1 yra įvertinamos ir palyginamos galimos alternatyvios veiklos matavimo istorinių etapų klasifikacijos. Kitose skyriaus dalyse giliau nagrinėjamas kiekvienas iš aštuonių intelektualinių judėjimų pagal modifikuotą van Dooreno (2005) klasifikaciją, taip pat aptariamos kiekvieno etapo sąsajos su 6-oje šio darbo dalyje plėtojama savivaldybių veiklos matavimo modeliais.

Skyriaus dalyse 3.2 – 3.9. apžvelgiami šie savivaldybių veiklos matavimo raidai įtakos turėję intelektualiniai ir reformų sąjūdžiai: 1) XVII – XIX a. statistikos mokslo sąjūdžiai (politinės aritmetika, Vokietijos universitetų statistika, Anglijos visuomenės sveikatos judėjimas, moralinės statistika, gyventojų surašymas), 2) XIX a. pabaigos – XX a. pradžios taikomieji socialiniai ir vadybos tyrimai (socialinės apklausos, sąnaudų apskaita, mokslinė vadyba), 3) Tarptautinės miestų vadovų asociacijos, Niujorko municipalinių tyrimų biuro ir jo pavyzdžių įsteigtų municipalinių tyrimų biurų Urbanistikos instituto veikla, 4) JAV federalinės valdžios biudžeto formavimo ir veiklos rezultatų matavimo reformų iniciatyvos (Veiklos biudžeto formavimas, Planavimo, programavimo ir biudžeto formavimo sistema, Užduočių vadyba ir nulinio pagrindo biudžeto formavimas, Vyriausybės veiklos ir rezultatų įstatymo įgyvendinimas) ir Paslaugų

kokybės tobulinimo pastangų ir pasiekimų (SEA) projektas, 5) su Naująja viešąja vadyba (angl. *New Public Management*) siejami valdymo modeliai: Malcolmo Balridge'o apdovanojimas, EKVF Tobulumo modelis, Bendrasis vertinimo modelis, SERVQUAL modelis, ISO 9000 serijos kokybės vadybos standartai, Subalansuotų rodiklių modelis), 6) Jungtinės Karalystės ir Australijos centrinės, regioninės ir vietos valdžių reformų iniciatyvos, 7) kontinentinės Europos šalių – Vokietijos, Šveicarijos, Švedijos - centrinės, regioninės ir vietos valdžių reformos ir šių šalių savivaldybių veiklos matavimo praktikos, 8) gyvenimo kokybės ir geros valdos matavimo modeliai.

**Ketvirtajame skyriuje** pateikiama tarptautiniuose moksliniuose žurnaluose paskelbtų mokslinių publikacijų analizė. Skyriaus dalyje 4.1 pristatoma mokslinių publikacijų atrankos metodika - nurodomos duomenų bazės, iš kurių buvo atrinktos mokslinės publikacijos, paieškos žodžiai, pagal kuriuos buvo atrenkamos mokslinės publikacijos duomenų bazėse, publikavimo laikotarpis.

Skyriaus dalyse 4.2 – 4.3. pristatomi analizės rezultatai pagal šiuos tyrimo klausimus: 1) Kokie yra pagrindiniai tyrimo klausimai savivaldybių veiklos matavimo tyrimuose?; 2) Kokių šalių veiklos matavimo praktikos yra tyrinėjamos?; 3) Koks yra mokslinių publikacijų paskelbimo laikas?; 4) Koks yra mokslinių publikacijų tyrimo objektas?; 5) Koks yra mokslinių publikacijų tyrimo objektas?; 6) Kokia yra mokslinėse publikacijose plėtojamų teorijų orientacija ir apimtis?; 7) Kokie tyrimo ir duomenų rinkimo metodai panaudojami savivaldybių veiklos matavimo tyrimuose?.

Antroje disertacijos dalyje pateikiama disertacijos tyrimų metodologija ir pristatomi atliktų tyrimų rezultatai. Šią dalį sudaro 5-7 disertacijos skyriai.

**Penktame skyriuje** plėtojamas metodologinis disertacijoje vykdomų tyrimų pagrindimas. Skyriaus dalyje 5.1 apžvelgiamos pagrindinės epistemologinės paradigmos socialiniuose moksluose, pateikiami argumentai, jog taikomojo pobūdžio vadybos ir viešojo administravimo mokslinėse disciplinose daugiausiai galimybių suteikia pragmatinė paradigma. Apžvelgiamos veiklos tyrimo (angl. *action research*) metodo kaip tyrimo būdo pragmatinėje paradigmoje istorinės ištakos, formuluojamos veiklos tyrimo kaip mokymosi (bandymų ir klaidų) proceso ir inovacijų valdymo proceso sampratos. Disertacijos tyrimų strategija pagrindžiama, pasitelkus veiklos tyrimo ciklo sampratą.

Skyriaus dalyse 5.2 – 5.5 apžvelgiami ir įvertinami pagrindiniai disertacijos tyrimuose panaudoti mokslinio tyrimo ir duomenų rinkimo metodai: modeliavimas, ekspertų apklausa, turinio analizė, anketinė apklausa, - įvertinami šių metodų privalumai ir trūkumai.

**Šeštajame skyriuje** panaudojant modeliavimo ir ekspertų apklausos metodus, sudaromi normatyviniai modeliai, kurie galėtų būti panaudoti savivaldybių veiklos matavimo procesams tobulinti. Skyriaus dalyje 6.1 Subalansuotų rodiklių modelio pavyzdžiu formuluojamas Vietovaldos subalansuotų rodiklių modelis, kuris nuo savo pirmtako skiriasi tuo, jog pagal šį modelį sudarytos strateginio valdymo ir veiklos matavimo sistemos galėtų apimti valdos procesus, kuriuose savivaldybės valdžios institucijos nėra vieninteliai agentai, ir tų procesų rezultatus. Vietovaldos subalansuotų rodiklių modelį sudaro keturios perspektyvos: finansinė, gyvenimo kokybės, vietovaldos procesų ir mokymosi bei augimo. Skyriaus dalyse 6.2 – 6.5 detalai aptariama kiekviena iš šių perspektyvų, kiekvienai perspektyvai lentelėse formuluojami

tipiniai tikslai ir uždaviniai, procesai, rodikliai, nurodomi galimi informacijos šaltiniai, asmenų įsipareigojimai.

Skyriaus dalyje 6.6 Bendrojo vertinimo modelio pavyzdžiu formuluojamas Savivaldybių veiklos matavimo modelis, kuri sudaro keturi bendrieji kriterijai: pokyčių valdymas, veiklos matavimo parengimas ir įgyvendinimas, veiklos matavimo informacijos panaudojimas, veiklos matavimo disfunkcijų suvokimas ir jų minimizavimo strategijos. Kiekvieną bendrąjį kriterijų sudaro sudėtiniai kriterijai, kuriuos apibūdina tam tikri požymiai.

**Septintajame skyriuje** pristatomi savivaldybių veiklos matavimo būklės Lietuvoje tyrimų rezultatai. Siekiant užtikrinti trianguliacijos principą, Lietuvos savivaldybių veiklos matavimo praktikos buvo tiriamos, panaudojant skirtingus metodus. Pagrindinis visų tyrimų tikslas buvo įvertinti esamas praktikas, orientuojantis į Savivaldybių veiklos matavimo modelio kriterijus. Skyriaus dalyje 7.1 pateikiama teisinių sąlygų veiklos matavimui Lietuvos savivaldybėse analizė, kritiškai interpretuojant su savivaldybių veiklos matavimu susijusius Lietuvos Respublikos teisės aktus.

Skyriaus dalyje 7.2 pristatomas savivaldybių strateginių plėtros planų turinio analizės tyrimas, kurį atliko MRU studentai vadovaujami Dangio Gudelio. Tyrimo duomenys panaudojami, įvertinant Lietuvos savivaldybių veiklos matavimo sistemas pagal Savivaldybių veiklos matavimo modelio sudėtinių kriterijų kai kuriuos požymius.

Skyriaus dalyje 7.3 pristatomi savivaldybių administracijų direktorių, direktorių pavaduotojų ir padalinių vadovų anketinės apklausos rezultatai, įvertinamos priežastys, nulėmusios nedidelį respondentų aktyvumą, ir klaidingos metodologinės prielaidos, kurios tyrimo eigoje nepasitvirtino. Apskaičiavus atsakymų į anketos klausimus vidutines reikšmes pagal Savivaldybių veiklos matavimo modelio sudėtinius ir bendruosius kriterijus, pateikiama lyginamoji veiklos matavimo sistemų Lietuvos savivaldybėse analizė. Analizės rezultatai pateikiami lentelėse, taip pat pateikiamas Savivaldybių veiklos matavimo modelio įgyvendinimo Lietuvos savivaldybėse palyginimas.

## **IŠVADOS**

Vienas iš pagrindinių šio mokslinio darbo pasiekimų yra supratimas, jog savivaldybių veiklos matavimo praktikoms tyrinėti tinkamiausia epistemologinė paradigma yra pragmatinė, ir jog šio objekto mokslinis tyrimas turi būti suvokiamas kaip bandymų ir klaidų procesas bei kaip inovacijų valdymo procesas, o vykdomas kaip veiklos tyrimas, keliant faktines, normatyvines ir metodologines prielaidas, jas tikrinant ir keičiant. Šio mokslinio darbo struktūra gali būti pagrįsta, reflektuojant šio mokslinio tyrimo sudėtinės dalis kaip veiklos tyrimo ciklo etapus.

1. Išnagrinėjus veiklos matavimo istoriją nuo XVII-o a., pasitvirtino prielaida, jog veiklos matavimo praktikų viešojo sektoriaus institucijose (ir savivaldybėse) raida yra glaudžiai susijusi su veiklos matavimo tyrimų (teorinių ir empirinių) raida.

Istorinė apžvalga tik iš dalies patvirtino požiūrį, jog viešasis sektorius veiklos matavimo ir kitus valdymo modelius ir praktikas perėmė iš privataus sektoriaus. Ši prielaida pasirodė teisinga tik kai kurių XX-o a. valdymo modelių ir praktikų atveju, tačiau laikotarpį iki XX-o a. veikiau charakterizuoja priešingas teiginys – valdymo (ir veiklos matavimo) idėjos buvo pritaikomos pirmiausiai viešosios valdžios sektoriuje valstybės ar vietos valdžios tikslams.

Kai kuriais atvejais veiklos matavimo sąjūdžių raiška apsiribodavo savivaldybių teritorijomis, kitais atvejais šie sąjūdžiai plėtojosi valstybės mastu ir vėliau buvo perimami savivaldybių.

Buvo patvirtinta prielaida, jog centralizuotose valstybėse savivaldybių veiklos matavimo reformos įgyvendinamos „iš viršaus į apačią“, centralizuotai, o labiau decentralizuotose šalyse veiklos matavimo iniciatyvos kyla „iš apačios“, kaip bandymai pavienėse savivaldybėse, o iš šių savivaldybių patirties vėliau mokosi kitos savivaldybės, centrinės ir regioninės valdžios institucijos.

Iš dalies buvo patvirtinta plačiai paplitusi prielaida, jog anglosaksų šalys yra veiklos matavimo pionierės. Būtent XIX- a. Anglijoje, XX-o a. pradžios ir vidurio Jungtinėse Valstijose, XX-o a. pabaigos Jungtinėje Karalystėje ir Australijoje kilo reikšmingi veiklos matavimo sąjūdžiai.

Aštuonis istorinėje apžvalgoje nagrinėtus veiklos matavimo sąjūdžius galima suskirstyti pagal tai, kokių veiklos rezultatų matavimui buvo skiriamas pagrindinis dėmesys. Galima teigti, jog iki XX-o a. pradžios vyravo būtent išdavų (veiksmingumo) matavimas, nuo XX-o a. pradžios mokslininkų ir praktikų dėmesio centre atsiduria sąnaudų ir išėigos (efektyvumo) matavimas, o XX-o a. pabaigoje ir XXI-o a. pradžioje vėl atgimsta susidomėjimas išdavų matavimu.

Negalima veiklos matavimo istorinės raidos vertinti kaip nuolatinio progreso. XXI-ame a. susidomėjimas veiklos matavimu yra ne mažesnis nei XX-o a. pirmoje pusėje, o kiekvienos naujos kartos mokslininkai ir praktikai iš naujo atranda idėjas, kuriomis gyveno jų pirmtakai. XXI-ame a. informacinės technologijos sudaro daugiau galimybių veiklos matavimo idėjas realizuoti nei kada nors anksčiau.

2. Savivaldybių veiklos matavimo problematiką nagrinėjančių mokslinių publikacijų analizė sudarė galimybes įvertinti, kokios mokslinių tyrimų tendencijos vyrauja tarptautinėje viešojo administravimo mokslininkų bendruomenėje.

Veiklos matavimo mokslininkus labiausiai domina veiklos matavimo įgyvendinimo problematika. Taip pat nemažai domimasi, kokie veiksniai sąlygoja veiklos matavimo praktikas ir veiklos rezultatus.

Mokslininkų susidomėjimas veiklos matavimu ypač išaugo XX-o – XXI-o amžių sandūroje ir nemažėja iki šiol. Daugiausiai dėmesio savivaldybių veiklos matavimo praktikos susilaukia Jungtinėse Valstijose, Jungtinėje Karalystėje, Australijoje, Kanadoje. Iš kontinentinės Europos šalių domėjimusi šia problematika išsiskiria Olandija.

Veiklos matavimo moksliniai tyrimai dažniausiai atliekami, vadovaujantis pragmatine arba pozityvistine paradigma. Interpretatyvinėje paradigmoje tyrimo klausimus formuluojantys tyrėjai menčiau domisi veiklos matavimo problematika. Veiklos matavimo tyrimuose vyrauja siauros apimties teorijos (t.y. individualių atvejų aprašymai).



Anketinės apklausos nėra vienintelis galimas duomenų rinkimo metodas veiklos matavimo tyrimuose. Daugelyje nagrinėtų publikacijų buvo pritaikyti ir kiti duomenų rinkimo metodai.

3. Viena iš reikšmingų šio darbo inovacijų yra Vietovaldos subalansuotų rodiklių modelio ir Savivaldybių veiklos matavimo modelio suformulavimas. Šiais modeliais pateikiamas vaizdas, kokie idealiau atveju turi būti veiklos matavimo procesai savivaldybėse, kad pagal šį vaizdinį galima būtų vertinti realius procesus. Toks vaizdinys taip pat gali pasitarnauti kaip motyvacinis veiksnys, kuris skatintų savivaldybes tobulinti savo veiklos matavimo praktikas.

Vietovaldos subalansuotų rodiklių modelio keturios perspektyvos – finansinė, gyvenimo kokybės, vietovaldos procesų ir mokymosi bei augimo – sudaro galimybes šiuo modeliu pasinaudoti, rengiant ir įgyvendinant strateginius planus tam tikrose teritorijose lokalizuotuose tarpgrupiniuose, tarporganizaciniuose, tarpinstituciniuose tinkluose, kurių visumą ir apibūdina šiame darbe pasiūlyta ‘vietovaldos’ sąvoka.

Savivaldybių veiklos matavimo modelis parengtas kaip priemonė veiklos matavimo sistemoms savivaldybėse įvertinti. Pagal šį modelį savivaldybių veiklos matavimo sistemos galėtų būti reguliariai vertinamos, tokį vertinimą galėtų atlikti savivaldybėse sudarytos specialios darbo grupės.

4. Veiklos matavimo būklės Lietuvos savivaldybėse tyrimas bendrajame veiklos tyrimo cikle atitinka faktinių prielaidų apie veiklos matavimo procesus, taip pat ir normatyvinių prielaidų apie veiklos matavimo intervencijas tikrinimo etapus. Tyrimas pateikė veiklos matavimo būklės Lietuvos savivaldybėse įvertinimą pagal Savivaldybių veiklos matavimo modelio kriterijus.

Atlikus Lietuvos Respublikos teisinių dokumentų, įsigaliojusių laikotarpyje nuo 2002-ųjų metų, analizę, buvo nustatyta, jog, nors teisės aktais ir sukuriamos prielaidos veiklos matavimo sistemų elementams savivaldybėse, tačiau teisinė bazė yra nepakankamai išplėtotą, kad savivaldybės būtų centralizuotu būdu įpareigojamos diegti Savivaldybių veiklos matavimo modelio kriterijus atitinkančias veiklos matavimo sistemas.

Atlikus kokybinę strateginio planavimo dokumentų turinio analizę, buvo nustatytos tokios savivaldybių veiklos matavimo sistemų neatitiktys Savivaldybių veiklos matavimo modelio kriterijams.

Apibendrinus savivaldybių administracinių padalinių vadovų anketinės apklausos atsakymų duomenis ir apskaičiavus Savivaldybių veiklos matavimo modelio kriterijus atitinkančių kintamųjų reikšmes (kaip atsakymų į atitinkamus anketos klausimus vidurkius), buvo atlikti palyginimai tarp savivaldybių. 43 savivaldybių, išanalizavus 107 respondentų atsakymus, palyginimas pagal bendrąjį atitikimo modeliui indeksą atskleidė, jog geriausiai savo savivaldybes vertina respondentai iš Anykščių rajono, Elektrėnų ir Alytaus miesto savivaldybių, prasčiausiai – respondentai iš Telšių, Raseinių ir Molėtų rajonų savivaldybių.